

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Collins, Thad J.	2. Court or Organization U.S. Bankruptcy Court - ND of Iowa	3. Date of Report 02/04/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Chief Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address 111-Seventh Ave. SE Box 23 Cedar Rapids, IA 52401		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☒ **NONE** *(No reportable non-investment income.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.		
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☐ **NONE** *(No reportable non-investment income.)*

DATE	SOURCE AND TYPE
1. 2018	Self-Employed Dentist
2.	
3.	
4.	

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☐ **NONE** *(No reportable reimbursements.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. Commercial and Bankruptcy Law Seminar	April 19-20, 2018	Des Moines, IA	Speaker	Food/Lodging
2. Iowa State Bar Conference	June 18-20, 2018	Des Moines, IA	Speaker	Food/Lodging
3. All-Iowa Bankruptcy Conference	September 27-28, 2018	Cedar Rapids, IA	Speaker	Food
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	Matsco (A division of Wells Fargo)	Dental Practice Loan	M
2.	Bank of America	Business Credit Card	J
3.			
4.			
5.			

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Amerian Funds Growth Fund of America	A	Dividend	L	T	Buy (add'l)	01/03/18	J		
2. Europacific Growth CL F2 (AEPFX)	A	Dividend	J	T	Buy	02/27/18	J		
3. American Funds Washington Mutual Investment Fund	A	Dividend			Sold	02/27/18	J		
4. American Funds EuroPacific Growth Fund	A	Dividend			Sold	02/27/18	J		
5. American Funds New World	A	Dividend	K	T	Buy (add'l)	01/03/18	J		
6. American Funds Growth Portfolio	A	Dividend	K	T	Buy (add'l)	01/03/18	J		
7. Iowa Advisor 529 Voya Government Money Market Fund	A	Dividend	J	T	Buy (add'l)	01/03/18	J		
8. Iowa Advisor 529 Conservative Option	A	Dividend	J	T	Buy (add'l)	01/03/18	J		
9. Iowa Advisor 529 Voya Government Money Market Fund	A	Dividend	J	T	Buy (add'l)	01/03/18	J		
10. Iowa Advisor 529 Conservative Option	A	Dividend	J	T	Buy (add'l)	01/03/18	J		
11. Delaware Small Cap Core (DCCIX)	A	Dividend			Sold	02/27/18	J		
12. Diamond Hill Large Cap (DHLX)****	A	Dividend	J	T	Buy (add'l)	01/03/18	J		
13. Oakmark Intl Instl (OANIX)	A	Dividend			Sold	02/27/18	J		
14. Ishares Core MSCI EAFE ETF (IEFA)	A	Dividend			Sold	02/27/18	J		
15. Ishares Core L 2000 ETF (IWM)	A	Dividend	J	T	Buy (add'l)	01/03/18	J		
16. Ishares Russell 1000 Value ETF (IWD)	A	Dividend			Sold	02/27/18	J		
17. Ishares Russell 1000 Growth ETF (IWF)	A	Dividend	J	T	Buy (add'l)	01/03/18	J		

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes	F = \$50,001 - \$100,000 (See Columns C1 and D3)	J = \$15,001 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000
3. Value Method Codes	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

18. Ishares Russell Mid-Cap ETV (IWR)	A	Dividend	J	T	Buy (add'l)	01/03/18	J		
19. JP Morgan Emerging Markets Equity (JMIEX)	A	Dividend			Sold	02/27/18	J		
20. Oppenheimer Intl Growth (OIGYX)	A	Dividend			Sold	02/27/18	J		
21. T Rowe Price Growth Stock (PRGFX)	A	Dividend	J	T	Buy (add'l)	01/03/18	J		
22. Principal Mid Cap Instl (PCBIX)	A	Dividend			Sold	02/27/18	J		
23. Vanguard FTSE All World EX US ETF (VEU)	A	Dividend	J	T	Buy (add'l)	01/03/18	J		
24. Blackrock Strategic Income OPPTY S INSTL CL (BSHIX)	A	Dividend	J	T	Buy	02/27/18	J		
25. John Hancock Income CL 1 (JSTIX)	A	Dividend	J	T	Buy	02/27/18	J		
26. SPDR Portfolio Short Term Corp Bond ETF (SPSB)	A	Dividend	J	T	Buy	02/27/18	J		
27. Sterling Capital Stratton Small Cap Value Instl CL (STSCX)	A	Dividend	J	T	Buy	02/27/18	J		
28. Ishares Core MSCI EAFE ETF (IEFA)	A	Dividend	J	T	Buy	12/24/18	J		
29. Ishares Russell 1000 Value ETF (IWF)	A	Dividend	J	T	Buy	12/24/18	J		
30. Ishares Russell 2000 ETF (IWM)	A	Dividend	J	T	Buy	12/24/18	J		
31. Europacific Growth CL F2 (AEPFX)	A	Dividend	J	T	Buy	12/24/18	J		
32. Sterling Capital Stratton Small Cap Value Instl CL (STSCX)	A	Dividend	J	T	Buy	12/24/18	J		
33.									

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **Thad J. Collins**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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