

FINANCIAL DISCLOSURE REPORT

INITIAL FILING

*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) Roberts, Mark A.	2. Court or Organization U.S. District Court Northern District of Iowa	3. Date of Report 04/29/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☒ Initial ☐ Date ☐ Annual ☐ Final	6. Reporting Period 01/01/2017 to 04/25/2019
5b. ☒ Amended Report		
7. Chambers or Office Address 111 7th Avenue SE 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Partner (through Sept. 14, 2018)	Simmons Perrine Moyer Bergman PLC
2. Board member (through April 26, 2018)	Simmons Perrine Moyer Bergman PLC
3.	
4.	
5.	

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

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 2017-2019	Simmons Perrine Moyer Bergman, former employer. Returned partnership capital contribution 03/19. Earned but unpaid final payment for 2018 income due 06/19.
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2018-2019

Self-employed, Researcher

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. Exempt

2. _____

3. _____

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.)*

	SOURCE	DESCRIPTION	VALUE
1.	Exempt		
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*

☒ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
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. Simmons Perrine Moyer Bergman PLC Partnership	G	Distribution	O	W	Exempt				
2. MR Investment Account (H)									
3. - DFA GLBL REAL ESTATE	B	Dividend	K	T	Exempt				
4. - DFA INVESTMENT GRADE	C	Dividend	N	T	Exempt				
5. - DFA US CORE EQTY 2	C	Dividend	N	T	Exempt				
6. - DFA INTL CORE EQTY	B	Dividend	M	T	Exempt				
7. - DFA EMERGING MKTS CORE EQTY	A	Dividend	L	T	Exempt				
8. - OppenheimerFunds Main Street Fund Class A	A	Dividend	K	T	Exempt				
9. - Steele Capital Management Strategic Roadmap Balanced	A	Dividend	O	T	Exempt				
10. DR Investment Account (H)									
11. - SPDR S&P 600 SMALL CAP VALUE	A	Dividend	J	T	Exempt				
12. - SCHWAB US AGGREGATE BOND	A	Dividend	K	T	Exempt				
13. - SCHWAB US LARGE CAP	A	Dividend	K	T	Exempt				
14. - SCHWAB SHORT TERM US TREASURY	A	Dividend	K	T	Exempt				
15. - SCHWAB EMERGING MARKETS EQUITY	A	Dividend	J	T	Exempt				
16. - SCHWAB US LARGE CAP VALUE	A	Dividend	K	T	Exempt				
17. - SCHWAB INTERNATIONAL EQUITY	A	Dividend	K	T	Exempt				

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

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	(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. - SCHWAB INTERNATNAL SMALLCAP EQY	A	Distribution	J	T	Exempt				
19. - SCHWAB US SMALL CAP	A	Dividend	J	T	Exempt				
20. - PNC Bank ESA CD	A	Interest	J	T	Exempt				
21. - State Farm S&P 500 Large Cap	B	Dividend	L	T	Exempt				
22. - OppenheimerFunds Global Fund Class A	B	Dividend	K	T	Exempt				
23. - OppenheimerFunds Main Street Fund Class A	A	Dividend	K	T	Exempt				
24. - Iowa Public Employees' Retirement System Fund	A	Dividend	J	T	Exempt				
25. U.S. Bank Cash Accounts	A	Interest	M	T	Exempt				
26. Wells Fargo Cash Account	A	Interest	J	T	Exempt				
27. Coverdell 529 Plan - Aggressive Growth Portfolio (H)									
28. - Vanguard Institutional Total Stock Market Index Fund 60%	A	Dividend	J	T	Exempt				
29. - Vanguard Total International Stock Index Fund 40%	A	Dividend	J	T	Exempt				
30. Country Financial Whole Life 1	A	Dividend	J	T	Exempt				
31. Country Financial Whole Life 2	A	Dividend	J	T	Exempt				
32. Country Life Whole Life 3	A	Dividend	J	T	Exempt				
33. Northwestern Mutual Whole Life 1	A	Dividend	J	T	Exempt				
34. Northwestern Mutual Whole Life 2	A	Dividend	J	T	Exempt				

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
2. Value Codes (See Columns C1 and D3)	J = \$15,000 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	
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35. Northwestern Mutual Whole Life 3	A	Dividend	J	T	Exempt				
36. Northwestern Mutual Whole Life 4	A	Dividend	J	T	Exempt				
37. Voya Whole Life 1	A	Dividend	J	T	Exempt				
38. Voya Whole Life 2	A	Dividend	J	T	Exempt				

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

The following amendments have been made to Part VII Investments and Trusts:

- 1) Added rows 8 and 9 (pre-rollover accounts) to "MR Investment Account (H)" section.
- 2) Added rows 20-24 (pre-rollover accounts and one additional account) to "DR Investment Account (H)" section.
- 3) Edited row 38 (row 31 on the Initial report). Changed Description of Asset from "Voya Whole Life 1" to "Voya Whole Life 2". Simply changed the ending character from 1 to 2.

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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/ Mark A. Roberts**

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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