

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) 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 ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
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.)*

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, 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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.

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.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.	Simmons Perrine Moyer Bergman PLC (former employer)	Judicial robe as congratulatory gift for federal judgeship	\$600.00
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.			
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					
2. MR Investment Account (H)									
3. - DFA GLBL REAL ESTATE	B	Dividend	K	T	Buy	12/03/18	K		
4. - DFA INVESTMENT GRADE	C	Dividend	N	T	Buy	12/03/18	N		
5. - DFA US CORE EQTY 2	C	Dividend	N	T	Buy	8/14/18	K		
6.					Buy	12/03/18	N		
7. - DFA INTL CORE EQTY	B	Dividend	M	T	Buy	12/03/18	M		
8. - DFA EMERGING MKTS CORE EQTY	A	Dividend	L	T	Buy	12/03/18	L		
9. - OppenheimerFunds Main Street Fund Class A	A	Dividend			Sold	08/08/18	K		
10. - Steele Capital Management Strategic Roadmap Balanced	A	Dividend			Sold	11/28/18	O		
11. DR Investment Account (H)									
12. - SPDR S&P 600 SMALL CAP VALUE	A	Dividend	J	T	Buy	08/14/18	J		
13.					Buy	08/27/18	J		
14. - SCHWAB US AGGREGATE BOND	A	Dividend	K	T	Buy	08/14/18	J		
15.					Buy	08/27/18	J		
16. - SCHWAB US LARGE CAP	A	Dividend	K	T	Buy	08/14/18	J		
17.					Buy	08/27/18	J		

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 H = \$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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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18. - SCHWAB SHORT TERM US TREASURY	A	Dividend	K	T	Buy	08/14/18	J		
19.					Buy	08/27/18	J		
20. - SCHWAB EMERGING MARKETS EQUITY	A	Dividend	J	T	Buy	08/14/18	J		
21.					Buy	08/27/18	J		
22. - SCHWAB US LARGE CAP VALUE	A	Dividend	K	T	Buy	08/14/18	J		
23.					Buy	08/27/18	J		
24. - SCHWAB INTERNATIONAL EQUITY	A	Dividend	K	T	Buy	08/14/18	J		
25.					Buy	08/14/18	J		
26.					Buy	08/27/18	J		
27. - SCHWAB INTERNATNAL SMALLCAP EQY	A	Distribution	J	T	Buy	08/14/18	J		
28.					Buy	08/27/18	J		
29. - SCHWAB US SMALL CAP	A	Dividend	J	T	Buy	08/14/18	J		
30.					Buy	08/27/18	J		
31. - PNC Bank ESA CD	A	Interest			Sold	02/07/18	J		
32. - State Farm S&P 500 Large Cap	B	Dividend			Sold	08/24/18	L		
33. - OppenheimerFunds Global Fund Class A	B	Dividend			Sold	08/08/18	K		
34. - OppenheimerFunds Main Street Fund Class A	A	Dividend			Sold	08/08/18	K		

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35. - Iowa Public Employees' Retirement System Fund	A	Dividend	J	T					
36. U.S. Bank Cash Accounts	A	Interest	M	T					
37. Wells Fargo Cash Account	A	Interest	J	T					
38. Coverdell 529 Plan - Aggressive Growth Portfolio (H)									
39. - Vanguard Institutional Total Stock Market Index Fund 60%	A	Dividend	J	T					
40. - Vanguard Total International Stock Index Fund 40%	A	Dividend	J	T					
41. Country Financial Whole Life 1	A	Dividend	J	T					
42. Country Financial Whole Life 2	A	Dividend	J	T					
43. Country Life Whole Life 3	A	Dividend	J	T					
44. Northwestern Mutual Whole Life 1	A	Dividend	J	T					
45. Northwestern Mutual Whole Life 2	A	Dividend	J	T					
46. Northwestern Mutual Whole Life 3	A	Dividend	J	T					
47. Northwestern Mutual Whole Life 4	A	Dividend	J	T					
48. Voya Whole Life 1	A	Dividend	J	T					
49. Voya Whole Life 2	A	Dividend	J	T					

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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/ **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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544