

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) Walters, Ross A.	2. Court or Organization USDC, SDIA	3. Date of Report 5/8/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge- Full-Time (Recalled)	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 United States Courthouse 123 E. Walnut, Room 425 Des Moines, IA 50309		
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.	Trustee	Trust #1
2.	Trustee	Trust #2
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.		
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.

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.			
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. Principal Ins. Cos. - IRA -- Diversified Growth Fund- Variable Annuity	E	Int./Div.	N	T					
2. Principal Ins. Cos. - Common Stock	A	Dividend	J	T					
3. Pfizer Common Stock	A	Dividend	J	T					
4. Wells Fargo Bank - Cash Accounts	A	Interest	K	T					
5. Wells Fargo Bank - IRA	A	Interest	J	T					
6. Principal Ins. Cos. - IRA -- SAM Balanced Portfolio Fund	B	Dividend	K	T					
7. Principal Ins. Cos. - Var. Life Ins. -- SAM Bal. Portfolio Fund	C	Dividend	K	T					
8. Trust #1									
9. --Harbor Int'l Fund Inst.	A	Dividend			Sold	10/19/18	K		
10. --Pimco Total Return Fd. Inst.	B	Dividend			Sold	10/19/18	K		
11. --Principal Preferred Sec. Fd.	B	Dividend			Sold	10/19/18	K		
12. --Vanguard Inflation Protected Fd.	A	Dividend			Sold	10/19/18	K		
13. --Vanguard Index Trust Small Cap	A	Dividend			Sold	10/19/18	K	D	
14. --Third Ave. Real Estate Value Fd.	A	Dividend			Sold	10/19/18	K		
15. --Vanguard Index Fds. Lg. -Cap ETF	C	Dividend	L	T					
16. --SPDR Ser Tr S&P Div. ETF	A	Dividend	K	T					
17. --Principal Midcap Blend Inst.	A	Dividend	K	T					

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 \$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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	(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. --Principal High Yield Class I	B	Dividend			Sold	10/19/18	K		
19. --Vanguard Short Term Inv. Fd.	C	Dividend			Sold	10/19/18	M		
20. --Vanguard Int. Term Bond Index Fd.	A	Dividend			Sold	10/19/18	K		
21. --iShares Trust Core MSCI Emerg Mkts ETF	A	Dividend	J	T	Buy	10/22/18	J		
22. --iShares Core 1-5 Bond ETF	A	Dividend	M	T	Buy	10/22/18	L		
23. --iShares Core MSCI/ETF	B	Dividend	L	T	Buy (add'l)	10/22/18	L		
24. --iShares Floating Rate Bond ETF	A	Dividend	L	T	Buy	10/22/18	L		
25. --iShares Core S&P Small-Cap	A	Dividend	J	T	Buy	10/22/18	J		
26. --Fidelity Advisor Total Bond Z	A	Dividend	L	T	Buy	10/19/18	L		
27. --Fidelity US Bond Index Inst 1 Prem	A	Dividend	L	T	Buy	10/19/18	L		
28. --AB High Income Advisor	A	Dividend	J	T	Buy	10/19/18	J		
29. --Cash (Fidelity Gains Cash Reserves)	A	Interest	K	T					

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

Parts I and VII. Trust #1 is a testamentary trust. Trust #2 is a revocable inter vivos trust in which I have only a remainder interest. Neither I, my spouse, nor any dependent child is the grantor. It is my understanding that under current regulations Part VII information is not required for Trust #2.

Part VII(D)(4) -- If no gain code is provided for a sale, a transaction resulted in a loss.

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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/ **Ross A. Walters**

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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