

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 11/04/2019
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 01/01/2017 to 12/31/2017
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.		
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. 2017	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. Iowa State Bar Conference	June 20-21, 2017	Des Moines, IA	Speaker	Food/Lodging
2. All Iowa Bankruptcy Conference	November 2-3, 2017	Des Moines, IA	Speaker	Food/Lodging
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.	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)	01/01/17	J		
2. Prudential Small Cap Value	A	Dividend			Sold	02/05/17	J		
3. American Funds Washington Mutual Investment Fund	A	Dividend	L	T	Buy (add'l)	01/01/17	J		
4. American Funds EuroPacific Growth Fund	A	Dividend	K	T	Buy (add'l)	01/01/17	J		
5. Munder MidCap Core	A	Dividend			Sold	02/05/17	J		
6. American Funds New World	A	Dividend	K	T	Buy	02/05/17	J		
7. American Funds Growth Portfolio	A	Dividend	K	T	Buy	02/05/17	J		
8. Iowa Advisor 529 Voya Government Money Market Fund	A	Dividend	J	T	Sold	04/28/17	J		
9. Iowa Advisor 529 Conservative Option	A	Dividend	J	T	Buy	04/18/17	J		
10. Iowa Advisor 529 Voya Government Money Market Fund	A	Dividend	J	T	Buy	04/18/17	J		
11. Iowa Advisor 529 Conservative Option	A	Dividend	J	T	Buy	05/18/17	J		
12. Delaware Small Cap Core (DCCIX)	A	Dividend	J	T	Buy	05/01/17	J		
13. Diamond Hill Large Cap (DHLX)	A	Dividend	J	T	Buy	05/01/17	J		
14. Oakmark Intl Instl (OANIX)	A	Dividend	J	T	Buy	05/01/17	J		
15. Ishares Core MSCI EAFE ETF (IEFA)	A	Dividend	J	T	Buy	05/01/17	J		
16. Ishares Core L 2000 ETF (IWM)	A	Dividend	J	T	Buy	05/01/17	J		
17. Ishares Russell 1000 Value ETF (IWD)	A	Dividend	J	T	Buy	05/01/17	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 (See Columns C1 and D3)	F = \$50,001 - \$100,000 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	
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. Ishares Russell 1000 Growth ETF (IWF)	A	Dividend	J	T	Buy	05/01/17	J		
19. Ishares Russell Mid Cap ETV (IWR)	A	Dividend	J	T	Buy	05/01/17	J		
20. JP Morgan Emerging Markets Equity (JMIEX)	A	Dividend	J	T	Buy	05/01/17	J		
21. Oppenheimer Intl Growth (OIGYX)	A	Dividend	J	T	Buy	05/01/17	J		
22. T Rowe Price Growth Stock (PRGFX)	A	Dividend	J	T	Buy	05/01/17	J		
23. Principal Mid Cap Instl (PCBIX)	A	Dividend	J	T	Buy	05/01/17	J		
24. Vanguard FTSE All World EX US ETF (VEU)	A	Dividend	J	T	Buy	05/01/17	J		
25.									

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

These assets were not listed on the 2016 report, because the purchases occurred in 2017. They were not listed in the 2017 report due to an oversight. The funds listed in the 2017 report reflected accurately the simple IRA for [REDACTED] and the 529 plan investments [REDACTED]. I failed to put the new information in for my rollover IRA that normally continued on with little or no change in investment. The 2017 year included a change in investment providers and I failed to record this. It was my oversight.

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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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