

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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) Grasz, Leonard S.	2. Court or Organization U.S. Court of Appeals for the Eighth Circuit	3. Date of Report 06/12/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge - Active Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address United States Court of Appeals for the Eighth Circuit Roman L. Hruska Federal Courthouse 111 S. 18th Plaza, Suite 4303 Omaha, Nebraska 68102-1322		
IMPORTANT NOTES: <i>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>		

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

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Board Member	Judicial Education Advisory Board, Law and Economics Center
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2019	First National Bank of Omaha - Salary
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Antonin Scalia Law School at George Mason University	5-6-19 to 5-7-19	Arlington, VA	LEC - Board meeting	Lodging and meals
2. Antonin Scalia Law School at George Mason University	1-23-19 to 1-27-19	Islamorada, FL	Education - Economics Course	Course materials, lodging and meals
3. Antonin Scalia Law School at George Mason University	10-7-19 to 10-8-19	Denver, CO	Symposium panelist	Lodging and meals
4. Liberty University School of Law	9-20-19 to 9-22-19	Lynchburg, VA	Moot court competition judge	Lodging and meals
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.		
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.		

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. AIG Flex. Prem. Adj. Whole Life Ins.	A	Int./Div.	J	T					
2. Conestoga Small Cap FD - CCALX X		None			Sold	07/22/19	K	D	
3. Deuel County, NE real estate	B	Rent	L	W					
4. Doubleline Shiller EHNCD - DSEEX X	B	Interest	L	T					
5. First National Bank of Omaha	B	Interest	M	T					
6. Gosper County, NE real estate parcel #1	D	Rent	N	W					
7. Gosper County, NE real estate parcel #2	B	Rent	M	W					
8. Gosper County, NE real estate parcel #3		None	M	W					
9. Harding Loevner Inst - HLMEX X	A	Dividend	K	T	Sold (part)	07/22/19	K		
10. NEST 529 Age-based Aggressive 19+	A	Dividend			Distributed	07/24/19	J		
11. NEST 529 Age-based Aggressive 19+	A	Dividend			Distributed	03/07/19	J		
12. NEST 529 Trust	A	Dividend			Distributed	03/07/19	J		
13. PALMER SQUARE INCM Plus - PSYPX		None	K	T	Buy	01/05/19	K		
14. PALMER SQUARE OPPTNSTC - PSOIX	D	Dividend	M	T					
15. Phelps County, NE real estate	B	Rent	L	W					
16. Primecap Odyssey Growth - POGRX X	C	Interest	L	T					
17. Schwab Bank - Cash and bank sweep	E	Interest	K	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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☐ 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)
18. SCHWAB US LARGE CAP - SCHG		None	K	T	Buy (add'l)	07/22/19	J		
19. SCHWAB US LARGE CAP - SCHV	A	Dividend	K	T	Buy (add'l)	07/22/19	J		
20. SCHWAB US LARGE CAP - SCHX		None	K	T	Buy	07/22/19	K		
21. SCHWAB US MID CAP - SCHM		None			Buy	07/22/19	K		
22.					Sold	09/22/19	K	A	
23. Thrivent Financial Whole Life	A	Int./Div.	J	T					
24. Tortoise MLPFC NTG X	B	Dividend	K	T	Sold (part)	07/22/19	K		
25.	B	Dividend			Sold (part)	11/19/19	J		
26. Undiscovered MGRS - UBVLX X	B	Dividend	K	T	Sold (part)	07/22/19	K		
27. Versus Capital Multi Mgr Real Estate Inc. I (LSG) (VCMIX) X		None	K	T	Sold (part)	10/18/19	K	A	
28. American New Perspective Fund Class F3 (FNPFEX)	C	Int./Div.	L	T	Buy	07/22/19	L		
29.					Buy (add'l)	10/22/19	K		
30. Artisan Int'l Iinvestor (ARTIX)		None	K	T	Buy	07/22/19	J		
31.					Buy (add'l)	10/22/19	J		
32. Cohen & Steers Real Estate Securities (CSDIX)		None	K	T	Buy	10/22/19	K		
33. Dodge & Cox Income (DODIX)		None	K	T	Buy	07/22/19	K		
34. Metropolitan West Total Return Bond I (MWTIX)		None	K	T	Buy	07/22/19	K		

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	
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	

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

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35. Parnassus Core Equity Instl (PRILX)		None	J	T	Buy	09/12/19	J		

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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/ Leonard S. Grasz**

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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