

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) Collins, Thad J.	2. Court or Organization U.S. Bankruptcy Court - ND of Iowa	3. Date of Report 08/12/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
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	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.)*

	<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.	Iowa State Bar Association Seminar	April 4-5, 2019	Des Moines, Iowa	Speaker	Lodging and Food
2.	8th Circuit Judge's Conference	May 21-24, 2019	Little Rock, Arkansas	Conference	Lodging and Food
3.	Iowa State Bar Association Annual Meeting	June 11, 2020	Des Moines, Iowa	Speaker	Food
4.	Annual Federal Bar Association Meeting	October 10-11, 2019	Des Moines, Iowa	Speaker	Loding and Food
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. 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)	(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. Amerian Funds Growth Fund of America	A	Dividend	L	T	Buy (add'l)	01/03/19	J		
2. Europacific Growth CL F2 (AEPFX)	A	Dividend			Sold	01/03/19	J		
3. American Funds-The Bond Fund of America-C	A	Dividend	J	T	Buy	11/13/19	J		
4. American Funds New World	A	Dividend	K	T	Buy (add'l)	01/03/19	J		
5. American Funds Growth Portfolio	A	Dividend	K	T	Buy (add'l)	01/03/19	J		
6. Iowa Advisor 529 Voya Government Money Market Fund	A	Dividend	J	T	Buy (add'l)	01/03/19	J		
7. Iowa Advisor 529 Conservative Option	A	Dividend	J	T	Buy (add'l)	01/03/19	J		
8. Iowa Advisor 529 Voya Government Money Market Fund	A	Dividend	J	T	Buy (add'l)	01/03/19	J		
9. Iowa Advisor 529 Conservative Option	A	Dividend	J	T	Buy (add'l)	01/03/19	J		
10. Diamond Hill Large Cap (DHLX)~~~~	A	Dividend			Sold	01/03/19	J		
11. Ishares Core L 2000 ETF (IWM)	A	Dividend			Sold	01/03/19	J		
12. Ishares Russell 1000 Growth ETF (IWF)	A	Dividend			Sold	01/03/19	J		
13. Ishares Russell Mid-Cap ETV (IWR)	A	Dividend			Sold	01/03/19	J		
14. T Rowe Price Growth Stock (PRGFX)	A	Dividend	J	T	Buy (add'l)	01/03/19	J		
15. Vanguard FTSE All World EX US ETF (VEU)	A	Dividend	J	T	Buy (add'l)	01/03/19	J		
16. Blackrock Strategic Income OPPTY S INSTL CL (BSHIX)	A	Dividend			Sold	01/03/19	J		
17. John Hancock Income CL 1 (JSTIX)	A	Dividend			Sold	01/03/19	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 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.)

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)
18. SPDR Portfolio Short Term Corp Bond ETF (SPSB)	A	Dividend	J	T	Buy (add'l)	01/03/19	J		
19. Sterling Capital Stratton Small Cap Value Instl CL (STSCX)	A	Dividend	J	T	Buy (add'l)	01/03/19	J		
20. Ishares Core MSCI EAFE ETF (IEFA)	A	Dividend			Sold	06/03/19	J		
21. Ishares Russell 1000 Value ETF (IWF)	A	Dividend			Sold	06/03/19	J		
22. Ishares Russell 2000 ETF (IWM)	A	Dividend			Sold	06/03/19	J		
23. Europacific Growth CL F2 (AEPFX)	A	Dividend	J	T	Buy (add'l)	12/24/19	J		
24. Sterling Capital Stratton Small Cap Value Instl CL (STSCX)	A	Dividend	J	T	Buy (add'l)	12/24/19	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.)*

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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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