

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) Colloton, Steven M.	2. Court or Organization US Ct. of Appeals-8th Circuit	3. Date of Report 05/15/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge - Active	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 110 E. Court Avenue, Suite 461 Des Moines, IA 50309-2053		
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. Co-Trustee	Family Trust #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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 7

Name of Person Reporting

Colloton, Steven M.

Date of Report

05/15/2020

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 provider of health care business services
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. Boston University Law School	Apr. 3-5, 2019	Boston, MA	Moot Court	Travel, meals, hotel
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Colloton, Steven M.	05/15/2020

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. MidWestOne - Accounts	A	Interest	J	T					
2. MidWestOne Financial Group Inc - Common Stock	B	Dividend	L	T					
3. Vanguard Long-Term Tax-Exempt Fund Investor Shares	A	Dividend	K	T					
4. Vanguard Total International Stock Index Admiral Shares	C	Dividend	L	T	Sold (part)	12/09/19	J		
5. Vanguard Ext. Market Index Fund Admiral Shares	B	Dividend	L	T					
6. Vanguard 500 Index Fund Admiral Shares	C	Dividend	M	T					
7. Vanguard Intermediate Term Tax-Exempt Admiral Shares	D	Dividend	N	T	Buy (add'l)	09/23/19	J		
8. Vanguard Stock Mkt Index Admiral Shares	C	Dividend	N	T					
9. Vanguard Total Intl Bond Index Admiral Shares	B	Dividend	K	T					
10. Nationwide Life Insurance Company - Whole Life Policy	A	Dividend	J	U					
11. Coll Svgs IA 529 Plan, Mod Gr Age-Based Track: Bl Con Gr Port(no ctrl)		None	O	T					
12. Coll Svgs IA 529 Plan, Mod Gr Age-Based Track: Con Gr Port (no ctrl)		None			Buy (add'l)	02/28/19	J		
13.					Distributed (part)	08/07/19	J	B	
14. IA SUI Bond, 3.6%, Due - 7/1/2019	A	Interest			Matured	07/01/19	J		
15. Iowa St Brd Regents Hosp Rev, 3.4%, Due - 9/1/2023	A	Interest	K	T					
16. Johnston Comm Sch District Bond, 3.5%, Due - 7/1/2024	A	Interest	K	T					
17. TIAA-CREF Equity Index - RTL	A	Dividend	J	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 \$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. KNDR HealthCare LLC, Series A units (provider of health care bus svc)		None	J	T					
19. Family Trust #1 (H)									
20. -Baxter Intl Inc - Common Stock	B	Dividend	M	T					
21. -Takeda Pharmaceutical Co. (formerly Shire PLC)	B	Dividend	K	T	Sold (part)	01/22/19	K		
22. -Edwards Lifesciences Corp - Common Stock		None	K	T					
23. -MidWestOne Financial Group Inc - Common Stock	C	Dividend	M	T					
24. -Johnston Comm Sch District Infrastructure Bd, 3.5%, Due - 7/1/2024	A	Interest	K	T					
25. -MidWestOne Bank - Cash Accounts	A	Interest	J	T					
26. -Vanguard Mun Bd Fd Inc Intr Tax-Exempt Admiral	C	Dividend	L	T	Buy (add'l)	02/21/19	K		

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

FINANCIAL DISCLOSURE REPORT

Page 6 of 7

Name of Person Reporting	Date of Report
Colloton, Steven M.	05/15/2020

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

Part VII, lines 11-13: On February 20, 2019, all funds in College Savings Iowa were exchanged within the 529 Plan out of the Moderate Growth Portfolio (no control) and into the Moderate Growth Age-Based Track (no control). In the Age-Based Track, the ages of the beneficiaries determine the particular portfolio(s) in which funds are invested. Part VII, lines 12-13, describe the asset and one portfolio at the time of the reported transactions. Due to a change in a beneficiary's age, filer did not hold the portfolio described in lines 12-13 at the end of the reporting period. Part VII, line 11, describes the asset and portfolio at the end of the reporting period.

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

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Date of Report

05/15/2020

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/ Steven M. Colloton**

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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