

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) Grasz, Leonard S.	2. Court or Organization U.S. Court of Appeals for the Eighth Circuit	3. Date of Report 06/12/2019
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
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: 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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2018	Husch Blackwell LLP - Compensation for law practice	\$4,689.00
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. 2018	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	10-3-18 to 10-5-18	Arlington, VA	Scalia Tribute	Lodging and meals
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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. AIG Flex. Prem. Adj. Whole Life Ins.	A	Int./Div.	J	T					
2. Conestoga Small Cap FD - CCALX X		None	K	T	Buy	01/02/18	K		
3. Deuel County, NE real estate	B	Rent	L	W					
4. Doubleline Shiller EHNC D - DSEEX X		None	L	T	Buy	01/08/18	L		
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		None	K	T	Buy	01/02/18	L		
10. NEST 529 Age-based Aggressive 19+	A	Dividend	J	T					
11. NEST 529 Age-based Aggressive 19+	A	Dividend	J	T					
12. NEST 529 Trust	A	Dividend	J	T					
13. PALMER SQUARE INCM Plus - PSYPX X		None	K	T	Buy	01/02/18	K		
14.					Sold	01/05/18	K	A	
15. PALMER SQUARE OPPTNSTC - PSOIX		None	M	T					
16. Phelps County, NE real estate	B	Rent	L	W					
17. Primecap Odyssey Growth - POGRX X		None	L	T	Buy	01/02/18	L		

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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P = \$500,001 - \$1,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 Q = \$250,001 - \$500,000	R = \$500,001 - \$1,000,000 S = More than \$1,000,000
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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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 I (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 Bank - Cash and bank sweep	A	Interest	K	T					
19. Schwab Advisor Cash Reserves Sweep Shares - (B) SWQXX	A	None		T	Buy	06/29/18	J		
20.					Sold	07/26/18	J		
21. SCHWAB US LARGE CAP - SCHG	D	Dividend	J	T	Sold (part)	01/05/18	J	C	
22. SCHWAB US LARGE CAP - SCHV	D	Dividend	J	T					
23. Thrivent Financial Whole Life	A	Int./Div.	J	T					
24. Tortoise MLP CF NTG X		None	J	T	Buy	01/02/18	J		
25. Undiscovered MGRS - UBVLX X		None	K	T	Buy	01/02/18	K		
26. Schwab US Treasury Money (A) - SWUXX X	A	None		T	Buy	03/01/18	J		
27.					Buy (add'l)	06/01/18	J		
28.					Sold	08/22/18	J		
29. Schwab US Treasury Money (C) - SWUXX					Buy	01/02/18	N		
30.					Sold (part)	01/03/18	N		
31.					Sold (part)	01/04/18	J		
32.					Sold (part)	01/05/18	L		
33.					Sold (part)	01/09/18	L		
34.					Sold (part)	07/19/18	J		

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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35.					Sold	08/22/18	J		
36. Schwab US Treasury Money (D) - SWUXX					Buy	01/09/18	K		
37.					Sold	01/10/18	K		
38.					Buy	01/12/18	J		
39.					Sold	08/22/18	J		
40. Versus Capital Multi Mgr Real Estate Inc. I (LSG) (VCMIX) X	A	Dividend	L	T	Buy	01/02/18	L		
41. FPA Crescent (FPACX)	C	Dividend	K	T	Sold	01/05/18	K	C	

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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	

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

III. Non-investment income: This was compensation received in 2018 for legal work prior to my judgeship.

VII. Upon becoming a judge I sold most of my individual securities and moved my investments to mutual funds/widely-held investments. These transactions occurred in January 2018. I note that my nomination disclosure is dated 8-8-2017 while the present disclosure covers calendar year 2018 pursuant to the filing instructions.

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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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544