

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) Reade, Linda R.	2. Court or Organization District Court ND Iowa	3. Date of Report 08/06/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Senior 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 U.S. Courthouse 111 7th Ave SE 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. Director	Federal Judges Association
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. 08/01/93	State of Iowa and filer-Iowa Judicial Retirement Plan. The state is paying me retirement income as of February 2013.
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. 2019	State of Iowa judicial retirement annuity	\$31,958.00
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.	
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. Federal Judges Association	May 15-16, 2019	Dallas, TX	Board Meeting	transportation, lodging and food
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.)

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.		

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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. US Bank Accounts	A	Interest	M	T					
2. CSCO Stock	A	Dividend	J	T					
3. Medtronic Inc. Stock	A	Dividend	J	T					
4. Deferred Comp Plan	A	Distribution							
5. -Stock Index Fund-Valic	A	Dividend	J	T					
6. -Science & Technology Fund-Valic	A	Dividend	J	T					
7. -Putnam New Opportunity Fund-Valic	A	Dividend	J	T					
8. -Putnam Global Gr Fund-Valic	A	Dividend	J	T					
9. -American Cent Ultra Fund-Valic	A	Dividend	J	T					
10. Retirement Account (H)									
11. -Schwab bank	A	Interest	J	T					
12. -ABTEC		None			Spinoff (from line 36)	02/26/19	J		
13.					Sold	03/28/19	J		
14. -AT&T	D	Dividend	M	T					
15. -Abeona (ABEO)		None	J	T	Buy	03/29/19	J		
16. -Altria Group, Inc (MO)	B	Dividend			Sold	08/27/19	L	D	
17. -American Airlines (AAL)	A	Dividend	K	T					

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

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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)

18. -American Int'l Grp (AIG)	A	Dividend			Sold	08/08/19	L	A	
19. -Annaly Capital Mgmt Reit (NLY)	E	Dividend	M	T	Sold (part)	10/08/19	J		
20. -Apple (APPL)	E	Dividend	P1	T	Sold (part)	12/06/19	K	E	
21. - Alamos Gold (AGI)	A	Dividend	J	T					
22. -Applied Materials (AMAT)	A	Dividend	K	T					
23. -Bank of America (BAC)	A	Dividend	K	T	Buy	12/27/19	K		
24. -Barrick Gold Corp (ABX)	A	Dividend	K	T					
25. -Blackrock Health Sciences Fund (SHSAX)	C	Distribution	M	T					
26.	A	Dividend							
27. -Boeing (BA)	C	Dividend	M	T	Sold (part)	12/31/19	M	F	
28. -British Petro (BP)	B	Dividend	K	T					
29. -Carlyle Grp (CG)	D	Dividend	M	T	Sold (part)	11/19/19	J		
30. -Caterpillar (CAT)	D	Dividend	K	T	Buy (add'l)	01/28/19	K		
31. -Cytokinetics Inc (CYTK)		None	K	T	Sold (part)	05/06/19	J	C	
32. -Doubleline Inc (DSL)	D	Dividend	L	T					
33. -Enbridge Inc. (ENB)	A	Dividend			Sold	09/06/19	J	A	
34. -First Data Corp (FDC)		None			Sold (part)	01/16/19	K	D	

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35.					Sold	03/11/19	K	D	
36. -General Electric Co (GE)	A	Dividend	K	T					
37. -Goldcorp Inc. F (GG)	A	Dividend			Merged (with line 48)	04/26/19	J		
38. -High-Crush Partners LP(HCLP)		None	J	T	Buy (add'l)	10/29/19	J		
39. -Hovnanian (HOV)		None	J	T					
40. -Icahn Ent (IEP)	C	Dividend	K	T					
41. -Lam Research (LRCX)	B	Dividend	L	T	Sold (part)	09/18/19	K	C	
42. -Lumentum Holdings (LITE)		None	L	T	Buy (add'l)	08/12/19	K		
43.					Buy (add'l)	08/23/19	J		
44. -MGM Resorts (MGM)	A	Dividend	K	T	Buy	05/28/19	K		
45. -JP Morgan Chase (JPM)	C	Dividend	M	T					
46. -Microsoft (MSFT)	B	Dividend	M	T					
47. -Morgan Stanley (MS)	B	Dividend	L	T	Buy (add'l)	06/13/19	K		
48. -Newmont (NEM)	A	Dividend	J	T					
49. -Orion(OEC)	B	Dividend	L	T					
50. -Millendo Therapeutics (MLND)		None	J	T					
51. -Performance Food Group (PFGC)		None	K	T	Sold (part)	04/16/19	K	D	

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52. -Pfizer (PFE)	B	Dividend	L	T					
53. -Pimco (PTY)	E	Dividend	M	T	Sold (part)	11/04/19	K	B	
54. -Principal Financial (PFG)	D	Dividend	M	T					
55. -Royal Dutch Shell (RDSA)	B	Dividend	K	T	Buy (add'l)	12/18/19	K		
56. -Safe Bulkers (SB)		None			Sold	08/21/19	J		
57. -Schlumberger (SLB)	A	Dividend	K	T					
58. -Taiwan (TSM)		None	K	T	Buy	10/07/19	K		
59. -Triplepoint Venture (TPVG)	B	Dividend	K	T	Buy	07/17/19	K		
60. -Tsakos Energy (TNP)	A	Dividend	K	T					
61. -Verastem (VSTM)		None	K	T	Buy	02/04/19	K		
62.					Buy (add'l)	07/29/19	J		
63.					Buy (add'l)	08/16/19	J		
64. -Viewray (VRAY)		None	K	T	Buy	08/01/19	J		
65.					Buy (add'l)	09/13/19	K		
66. -VISA	A	Dividend	M	T					
67. -Vodafone (VOD)	A	Dividend	K	T					
68. -Yeti (YETI)		None	K	T	Buy	02/21/19	J		

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69. -Xerox (XRX)	A	Dividend			Sold (part)	02/25/19	K	A	
70.					Sold	07/03/19	K	D	
71. -Yamana Gold Incoo (AVY)	A	Dividend	J	T					
72. McVean Trading and Investment		None	K	T					
73. Farm 1 Dallas Co., IA	E	Distribution	M	W					
74. Farm 3 Dallas Co. IA	D	Distribution	L	W					
75. Farm 5 Adair Co, IA	E	Rent	N	W					
76. Farm 7 Adair Co, IA	D	Distribution	L	W					
77. Farm 10 Adair Co, IA	E	Rent	N	W					
78. Farm 14 Adams Co, IA	E	Rent	M	W					
79. Farm 15 Adams Co, IA	D	Rent	L	W					
80. Farm 20 Decatur County, IA	B	Distribution	J	W					
81. USDA Farm Program 2019 ONLY (Y)	C	Distribution							
82. Cincinnati Life Insurance Whole Life Policy		None	M	T					
83. Mineral Interest,Dallas County, IA (Y)	A	Royalty							
84. Scout Energy	A	Royalty	J	W					
85. Continental Resources (X)	B	Royalty	J	W					

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86. Denbury(X)	A	Royalty	J	W					
87. Brokerage 1									
88. -Schwab bank	A	Interest	J	T					
89. -Abeona Therap (ABEO)		None	J	T	Buy	03/29/19	J		
90. -American Airlines Grp (AAL)	A	Dividend			Sold (part)	05/29/19	J		
91.					Sold	07/15/19	K	C	
92. -At & T (T)	C	Dividend	L	T					
93. -Agenius(AGEN)		None	L	T					
94. -Air Canada (ACDVF)		None	L	T	Sold (part)	02/14/19	K	D	
95. -Apache Corp (APA)	A	Dividend	J	T					
96. -Applied Materials (AMAT)	B	Dividend	L	T	Buy (add'l)	02/19/19	K		
97.					Sold (part)	08/13/19	K		
98. -Bank of America (BAC)	A	Dividend	K	T	Buy	07/12/19	K		
99. -Blackstone (BX)	C	Dividend	M	T					
100. -Boeing (BA)	B	Distribution	L	T					
101. -Career Education Co (CECO)		None	K	T	Buy	11/13/19	K		
102. -Caterpillar Inc (CAT)	B	Dividend	L	T	Buy (add'l)	06/14/19	K		

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103. -Carlyle Grp (CG)	D	Distribution	M	T	Buy (add'l)	01/10/19	K		
104.					Sold (part)	10/07/19	L	D	
105. --Cytokinetics (CYTK)		None	K	T	Sold (part)	05/06/19	K	D	
106. -Delta (DAL)	B	Dividend	L	T	Sold (part)	07/11/19	K	D	
107. -Entegris Inc (ENTG)	A	Dividend			Buy	02/21/19	K		
108.					Sold	06/11/19	K	B	
109. -First Solar Inc (FSLR)		None	K	T	Buy	11/04/19	K		
110. -Incyte		None	K	T					
111. -Iron Mountain (IRM)		None	K	T	Buy	11/04/19	K		
112. -JP Morgan Chase (JPM)	B	Dividend	M	T	Buy	06/13/19	K		
113.					Buy (add'l)	06/14/19	L		
114. -Invesco (IVZ)	B	Dividend	K	T					
115. Microsoft (MSFT)	A	Dividend	K	T					
116. -Orion Eng ((OEC)	A	Dividend	K	T					
117. -Principal Finan (PFG)	A	Dividend	J	T					
118. -Royal Dutch Shell (RDSA)	C	Dividend	K	T					
119. -Skyworks Solutions (SWKS)	A	Dividend	L	T	Buy	10/21/19	K		

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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	

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)
120. -Softbank Grp (SFTBY)	A	Dividend	K	T	Buy	07/23/19	K		
121. -Taiwan Semiconductor (TSM)		None	K	T	Buy	10/08/19	K		
122. -Total SA (TOT)	C	Dividend	L	T					
123. -Triplepoint Venture (TPVG)	B	Dividend	K	T	Buy	07/17/19	K		
124. -Vanguard (VTSMX)	B	Dividend			Merged (with line 126)	07/28/19	M		
125. -Vanguard (VTSAX)	B	Dividend	M	T					
126. -Veracyte(VCYT)		None	M	T					
127. -Verastem (VSTM)		None	K	T	Buy (add'l)	01/28/19	J		
128.					Buy (add'l)	06/20/19	J		
129.					Buy (add'l)	10/11/19	J		
130. -Viewray (VRAY)		None	K	T	Buy (add'l)	09/13/19	J		
131. -Vodafone (VOD)	A	Dividend	K	T	Buy (add'l)	09/11/19	J		
132.					Buy (add'l)	12/20/19	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

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Name of Person Reporting

Reade, Linda R.

Date of Report

08/06/2020

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

Line 5 Required Minimum Distribution for 2019

Lines 6-9 The dividend amounts (if there are any) are not detailed in the statement I receive

Lines 74,75, 77, The distribution is crops/crop insurance

Line 81 The income is CRP (\$1913)

FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

Reade, Linda R.

Date of Report

08/06/2020

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/ **Linda R. Reade**

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)

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Administrative Office of the United States Courts
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