

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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) Shields, Thomas J.	2. Court or Organization U.S. District Court, Southern District of Iowa	3. Date of Report 08/06/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge, full time/recall	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address 131 East 4th Street Room 220 Davenport, IA 52801		
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.)*

DATE

SOURCE AND TYPE

INCOME
(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.)*

DATE

SOURCE AND TYPE

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.				
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. TBK, formerly Triumph Community Bank	A	Dividend	K	T					
2. Metropolitan Life Insurance Co. (whole life)	A	Dividend	J	T					
3. Mass Mutual Life Insurance Co. (whole life)	A	Dividend	M	T					
4. Northwest Mutual Life Insurance Co. (whole life)	A	Dividend	M	T					
5. Vanguard Keogh Plan (H)									
6. - American Fds Global Balanced FD (GBLFX) *	A	Dividend	K	T					
7. - American Balanced Fd Inc (AMBFX) *	A	Dividend	K	T					
8. - Capital World Growth & Incm * (WGIFX)	A	Dividend	J	T					
9. - DFA INVT Dimensions Grp Inc (DFTEX) *	A	Dividend	K	T					
10. - DFA INVT Dimen WRld Instl CL (DFFIX) *	A	Dividend	J	T					
11. - DFA Real Estate Securities (DFREX) *	A	Dividend	J	T					
12. - New Perspective FD (ANWFX) *	A	Dividend	J	T					
13. - Vanguard Index -Funds Vanguard Extended Market ETF (VXF) *	A	Dividend	J	T					
14. - Vanguard S&P 500 ETF (VOO) *	A	Dividend	K	T					
15. - Vanguard FTSE Developed Markets ETF (VEA) *	A	Dividend	J	T					
16. - Vanguard FTSE Emerging Markets ETF (VWO) *	A	Dividend	J	T					
17. - Washington Mut Invs FD Inc (WMFFX) *	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	

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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.									
19. IRA Morgan Stanley: (H)									
20. Morgan Stanley Private Bank NA *	A	Interest	M	T					
21. Abbott Laboratories (ABT) *	A	Dividend	K	T					
22. Ally Financial Inc (ALLY) *	A	Dividend	K	T					
23. Alger Spectra A (ASPZX) *		None	L	T					
24. American Balanced Fund *	B	Dividend	K	T					
25. Amgen (AMGN) *	A	Dividend	J	T					
26. Apple, Inc, *	A	Dividend	M	T					
27. Bank of America Corp. *	A	Dividend	J	T					
28. CISCO SYS Inc (CSCO) *	A	Dividend	J	T					
29. Citigroup, Inc.	B	Dividend	L	T					
30. Duke Energy Corp. *	A	Dividend	J	T					
31. Eaton Vance HI, Inc. Opport	B	Dividend	M	T					
32. Entergy Corp.*	A	Dividend	J	T					
33. E V Adv Floating Rate (EIFAX)*	A	Dividend	J	T					
34. Exxon Mobil Corp.	A	Dividend	K	T					

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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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35. Facebook, Inc.	A	Dividend	J	T					
36. Facebook, Inc. Class A	A	Dividend	J	T					
37. FirstEnergy Corp. *	B	Dividend	K	T					
38. Ford Motor Company *	A	Dividend	K	T					
39. Gaming & Leisure PPTYS Inc Com (GLIP) *		None	J	T					
40. Goldman Sachs Grp Inc (GS) *	A	Dividend	L	T					
41. Goldman Sachs Hi Yld Mui Inst (GHYIX) *	A	Dividend	J	T					
42. Goldman Sachs MLP Energy Fund	A	Dividend	J	T					
43. Goldman Sachs Short Duration Taxable Fund	A	Dividend	K	T					
44. Home Depot *	B	Dividend	K	T					
45. Invesco Comstock Select Y (CGRYX) *	C	Dividend	L	T					
46. IShares Select Dividend ETF (DVY) *	A	Dividend	K	T					
47. IShares S&P *	A	Dividend	L	T					
48. Janus Henderson Euro Focus I (HFEIX) *	A	Dividend	L	T					
49. Janus Henderson Intl Opp I (HFOIX) *	A	Dividend	L	T					
50. JP Morgan Chase & CO (JPM) *	A	Dividend	J	T					
51. KKR &Coo., LLP *	B	Dividend	L	T					

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52. Lord Abbett RLT RT F (LFREX) *	D	Dividend	M	T					
53. Lowes, Inc. *	A	Dividend	K	T					
54. Mainstay Mckay Hgyld Co Bd (MHYIX) *	B	Dividend	K	T					
55. MSIF Global Opportunity PTF (MGGIX) *	A	Dividend	N	T					
56. NVIDIA Corp (NVDA) *	A	Dividend	K	T					
57. Principal Financial Group (PFG) *	A	Dividend	J	T					
58. Pioneer Bond Y (PICYX) *	B	Dividend	L	T					
59. Putnam Diversified Inc Tr Y (PDVYX) *	A	Dividend	L	T					
60. Putman Ultra Sht Dur Inc Y (PSDYX) *	B	Dividend	M	T					
61. SALESFORCE .COM, Inc, *	A	Dividend	K	T					
62. Service PPTYS TR Sh Ben Int (SVC) *	A	Dividend	J	T					
63. Southern Copper Corp. *	B	Dividend	L	T					
64. Texas Instruments *	A	Dividend	K	T					
65. Travelers Companies, Inc. * Common	A	Dividend	J	T					
66. UGI Corporation *	A	Dividend	K	T					
67. Unitedhealth GP Inc (UNH) *	A	Dividend	K	T					
68. Verizon Communications (VZ) *	A	Dividend	J	T					

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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)
69. Victory Munder MDCP CR Growth *	B	Dividend	L	T					
70. Victory RS Value Y (RSVYX) *		None	K	T					
71. Virgin Islands Water & Power Bonds *	A	Interest	J	T					
72. Visa, Inc. *	B	Dividend	N	T					
73. Vanguard FTSE Emerging Markets ETF *	A	Dividend	J	T					
74. Walt Disney Co Hldg Co. (DIS) *		None	K	T					
75. Wells Fargo *	A	Dividend	J	T					
76.									

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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/ Thomas J. Shields**

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