

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) Walters, Ross A.	2. Court or Organization US District Court, Southern District of Iowa	3. Date of Report 05/05/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge full-time (Recalled)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 1/1/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address United States Courthouse 123 E. Walnut, Room 420 Des Moines, 50309		
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. Trustee	Trust #1
2. Trustee	Trust #2
3. Trustee	Trust #3
4. Trustee	Trust #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.		
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. 2020	Iowa Public Employee Retirement System Annuity
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.				
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. Principal Ins. Cos. - IRA --Diversified Growth Fund - Variable Annuity	E	Int./Div.	N	T					
2. Wells Fargo Bank - Cash Accounts	A	Interest	L	T					
3. Principal Ins. Co. - IRA									
4. --SAM Balanced Portfolio Fund	A	Dividend			Sold	3/05/20	K		
5. --Fidelity 500 Index Fund	A	Dividend	J	T	Buy	03/05/20	J		
6.					Sold (part)	06/18/20	J		
7.					Buy (add'l)	10/14/20	J		
8. --Fidelity Small Cap Index Fund	A	Dividend	J	T	Buy	03/05/20	J		
9.					Sold (part)	10/14/20	J	A	
10. --Fidelity Mid Cap Index Fund	A	Dividend			Buy	03/05/20	J		
11.					Sold	10/14/20	J		
12. --Fidelity Global Index Fund	A	Dividend			Buy	03/05/20	J		
13.					Sold	06/18/20	J		
14. --Fidelity US Bond Index Fund	A	Dividend			Buy	03/05/20	J		
15.					Sold (part)	06/18/20	J	A	
16.					Sold	10/14/20	J	A	
17. --Fidelity Advisor Total Bond Fund	A	Dividend	J	T	Buy	03/05/20	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	

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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				
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18.					Sold (part)	06/18/20	J	A	
19. --Fidelity Short Term Bond Index Fund	A	Dividend	J	T	Buy	03/05/20	J		
20. --JP Morgan Global Allocation Fund	A	Dividend			Buy	03/05/20	J		
21.					Sold	06/18/20	J		
22. --Fidelity Advisor Tech Fund	A	Dividend	J	T	Buy	03/05/20	J		
23.					Sold (part)	10/14/20	J	A	
24. --Fidelity Intl. Index Fund	A	Dividend	J	T	Buy	03/05/20	J		
25.					Sold (part)	10/14/20	J	A	
26. --Fidelity Large Cap Value Index Fund	A	Dividend	J	T	Buy	06/18/20	J		
27. --Fidelity Select Med Tech Fund	A	Dividend	J	T	Buy	06/18/20	J		
28. --PGIM Short High Yield Fund	A	Dividend	J	T	Buy	06/18/20	J		
29. --Fidelity Advisory Mortgage Sec. Fund	A	Dividend	J	T	Buy	10/14/20	J		
30. --Fidelity Total Mkt Bond Fund	A	Dividend	J	T	Buy	10/14/20	J		
31. --Fidelity Emerg. Mkts Index Fund	A	Dividend	J	T	Buy	10/14/20	J		
32. --Fidelity Inter. Treas. Bond Index Fund	A	Dividend	J	T	Buy	10/14/20	J		
33. Principal Ins. Cos. - Var. Life Ins. -- SAM Bal. Portfolio Fund	C	Dividend	K	T					
34. Trust #2									

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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35. --Cash	A	Interest	J	T					
36. Trust #3									
37. --Principal Mid Cap Instl	A	Dividend	K	T					
38. --ABH High Income Advisor Fund	A	Dividend			Sold	2/21/20	J	A	
39. --Blackrock Strategic Income Instl	A	Dividend	K	T	Sold (part)	6/17/20	J		
40. --Fidelity Advisory Total Bond CLZ	B	Dividend	L	T	Buy (add'l)	2/21/20	J		
41. --Fidelity Inflation Protected Bond Index Fd.	A	Dividend			Sold	6/17/20	K	A	
42. --Fidelity U.S. Bond Index Fund	B	Dividend	L	T					
43. --Ishares Core S&P Mid-Cap ETF	A	Dividend			Sold	6/17/20	J		
44. --Ishares Core S&P Small Cap ETF	A	Dividend	J	T					
45. --Ishares Core S&P 500 ETF	A	Dividend	J	T	Buy (add'l)	02/21/20	L		
46. ---Ishares Edge Quality Factor ETF	A	Dividend			Buy (add'l)	02/21/20	K		
47.					Sold	06/17/20	L		
48. --Ishares Core Emerg. Mkts. ETF	A	Dividend	K	T	Buy (add'l)	02/21/20	K		
49.					Sold (part)	06/17/20	J		
50. --Ishares Trust Core EAFE ETF	A	Dividend	K	T	Buy (add'l)	02/21/20	J		
51.					Sold	06/17/20	K	A	

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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)
52. --SPDR Ser TR S&P Div. ETF	A	Dividend			Sold	06/17/20	J	C	
53. --Vanguard Index FDS Large Cap	A	Dividend	K	T	Sold (part)	06/17/20	J	A	
54. --Ishares Core 1-5 Year Bond ETF	A	Dividend			Sold	02/21/20	K	B	
55. --Ishares TR FLTG Rate NT ETF	A	Dividend			Sold	02/21/20	L	A	
56. --Ishares Treasury Floating RA	A	Dividend			Sold	02/21/20	K	A	
57. --Pfizer/Viatis Common Stock	A	Dividend	J	T					
58. --Principal Financial Group, Inc.Common Stock	A	Dividend	J	T					
59. --SPDR Bloomberg	A	Dividend	K	T	Buy	10/06/20	K		
60. --Ishares TR EAFE Growth ETF	A	Dividend	K	T	Buy	06/17/20	K		
61. --Ishares TR MSCI Min. Vol.	A	Dividend	J	T	Buy	06/17/20	J		
62. --Ishares Core S&P Total US Stock Mkt	B	Dividend	M	T	Buy	06/17/20	M		
63. --Principal Bank	A	Interest	K	T					

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

Parts I and VII. Trust #1 was a testamentary trust. All assets of Trust #1 were distributed to the ultimate beneficiaries on January 2, 2020. There are no reportable assets in Trust #1. Trust #2 is a revocable inter vivos trust. For reasons indicated in prior disclosure reports I have had no reportable interest in Trust #2. All assets of Trust #2 were distributed to the ultimate beneficiaries on January 2, 2020 except for a cash reserve. I have elected to report the cash reserve in Part VII. Trust #3 is a revocable inter vivos trust. I am a grantor. Trust #3 was funded on January 2, 2020 with distributions from Trusts #1 and #2. Trust #4 is unfunded. There are no reportable assets.

Part VII(A)(28)(29). Pfizer and Principal Financial stock separately listed in previous reports are now an asset of Trust #3.

Part VII(D)(2). Buy dates for Fidelity Advisor Tech Fund and Fidelity Int'l Index Fund listed under Principal IRA are estimated.

Part VII (D)(4). If no gain is reported the transaction resulted in a loss or no gain.

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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/ Ross A. Walters**

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