

**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) Colloton, Steven M.	2. Court or Organization US Ct. of Appeals-8th Circuit	3. Date of Report 05/07/2021
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 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address 110 E. Court Avenue, Suite 461 Des Moines, IA 50309-2053		
IMPORTANT NOTES: <i>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>		

I. POSITIONS. *(Reporting individual only; see pp. 9-13 of filing instructions)*

☐ NONE *(No reportable positions.)*

POSITION

NAME OF ORGANIZATION/ENTITY

1. Co-Trustee	Trust #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.)*

<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	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. George Washington University Law School	Jan. 29-30, 2020	Washington, DC	Moot Court	Travel, meals, hotel
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.		

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	L	T					
2. MidWestOne Financial Group Inc - Common Stock	B	Dividend	K	T					
3. Vanguard Long-Term Tax-Exempt Fund Investor Shares	A	Dividend	K	T					
4. Vanguard Total International Stock Index Admiral Shares	B	Dividend	L	T	Sold (part)	03/03/20	J	A	
5. Vanguard Ext. Market Index Fund Admiral Shares	B	Dividend	M	T	Sold (part)	02/19/20	J	D	
6. Vanguard 500 Index Fund Admiral Shares	C	Dividend	N	T					
7. Vanguard Intermediate Term Tax-Exempt Admiral Shares	D	Dividend	N	T					
8. Vanguard Total Stock Mkt Index Admiral Shares	C	Dividend	N	T					
9. Vanguard Total Intl Bond Index Admiral Shares	A	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: B1 Con Gr Port(no ctrl)		None	N	T	Distributed (part)	01/07/20	J	B	
12. Coll Svgs IA 529 Plan, Mod Gr Age-Based Track: Inc. Port. (no ctrl)		None	N	T					
13. Iowa St Brd Regents Hosp Rev, 3.4%, Due - 9/1/2023	A	Interest	K	T					
14. Johnston Comm Sch District Bond, 3.5%, Due - 7/1/2024	A	Interest	K	T					
15. TIAA-CREF Equity Index - RTL	A	Dividend	J	T					
16. KNDR HealthCare LLC, Series A units (provider of health care bus svc)		None	J	T					
17. Trust #1 (H)									

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

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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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				
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	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. -Baxter Intl Inc - Common Stock	B	Dividend	M	T					
19. -Takeda Pharmaceutical Co. (formerly Shire PLC)	B	Dividend	K	T					
20. -Edwards Lifesciences Corp - Common Stock		None	L	T					
21. -MidWestOne Financial Group Inc - Common Stock	C	Dividend	L	T					
22. -Johnston Comm Sch District Infrastructure Bd, 3.5%, Due - 7/1/2004	A	Interest	K	T					
23. -MidWestOne Bank - Cash Accounts	A	Interest	J	T					
24. -Vanguard Mun Bd Fd Inc Intr Tax-Exempt Admiral	B	Dividend	M	T	Buy (add'l)	03/02/20	J		
25.					Buy (add'l)	07/01/20	J		
26.					Buy (add'l)	07/29/20	J		
27.					Buy (add'l)	12/23/20	J		

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(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

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

Part VII, Line 8: The name of the fund is clarified by adding the word "Total." There is no change in the holding from previous years.

Part VII, Line 12: On May 4, 2020, all units in the Moderate Growth Age-Based Track: Conservative Growth Portfolio were automatically exchanged for units in the Income Portfolio based on the age of the beneficiary.

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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/ 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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Washington, D.C. 20544