

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) Grasz, Leonard S.	2. Court or Organization U.S. Court of Appeals for the Eighth Circuit	3. Date of Report 05/24/2021
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 01/01/2020 to 12/31/2020
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Board Member	Judicial Education Advisory Board, Law and Economics Center
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	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	2-5-20 to 2-9-20	Key West, FL	Education - Economics Course	Course materials, lodging and meals
2. Antonin Scalia Law School at George Mason University	9-26-20 to 10-2-20	Pray, MT	Education - Economics Course	Course materials, lodging and meals
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. AIG Flex. Prem. Adj. Whole Life Ins.	A	Int./Div.	J	T					
2. Deuel County, NE real estate	B	Rent	L	W					
3. Doubleline Shiller EHNCD - DSEEX		None			Sold	02/18/20	L	D	
4. First National Bank of Omaha	B	Interest	M	T					
5. Gosper County, NE real estate parcel #1	D	Rent	N	W					
6. Gosper County, NE real estate parcel #2	B	Rent	M	W					
7. Gosper County, NE real estate parcel #3		None	M	W					
8. Harding Loevner Inst - HLMEX		None			Sold	02/20/20	K		
9. PALMER SQUARE INCM Plus - PSYPX		None			Sold	02/18/20	K	A	
10. PALMER SQUARE OPPTNSTC - PSOIX	B	Dividend			Sold	05/11/20	L		
11. Phelps County, NE real estate	B	Rent	L	W					
12. Primecap Odyssey Growth - POGRX		None			Sold	02/18/20	L	D	
13. Schwab Bank - Cash and bank sweep		None			Closed	02/13/20	J	A	
14. SCHWAB US LARGE CAP - SCHG		None			Sold	02/19/20	K	D	
15. SCHWAB US LARGE CAP - SCHV		None			Sold	02/19/20	K	D	
16. SCHWAB US LARGE CAP - SCHX		None			Sold	02/19/20	K	C	
17. Thrivent Financial Whole Life	A	Int./Div.	J	T					

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

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Name of Person Reporting

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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)
18. Tortoise MLPCF NTG		None			Sold	02/19/20	K		
19. Undiscovered MGRS - UBVLX		None			Sold	02/18/20	K		
20. Versus Capital Multi Mgr Real Estate Inc. I (LSG) (VCMIX)	A	Dividend	J	T	Sold (part)	04/21/20	K		
21. American New Perspective Fund Class F3 (FNPFX)		None			Sold	02/19/20	L	D	
22. Artisan Int'l Investor (ARTIX)		None			Sold	02/18/20	K	A	
23. Cohen & Steers Real Estate Securities (CSDIX)		None			Sold	02/18/20	J	A	
24. Dodge & Cox Income (DODIX)		None			Sold	02/18/20	K	A	
25. Metropolitan West Total Return Bond I (MWTIX)	A	Dividend			Sold	02/18/20	K	A	
26. Parnassus Core Equity Instl (PRILX)		None			Sold	02/18/20	J	A	
27. Investment Account #1 (H)									
28. - First TR Exchange Traded FD (FDN)		None	J	T	Buy	03/04/20	J		
29.					Buy (add'l)	05/14/20	J		
30. - Invesco Exchange Traded FD (SPGP)	A	Dividend	L	T	Buy	02/20/20	J		
31.					Buy (add'l)	03/04/20	K		
32.					Buy (add'l)	05/14/20	K		
33. - Invesco QQQ Tr Unit (QQQ)	A	Dividend	L	T	Buy	03/04/20	K		
34.					Buy (add'l)	05/14/20	K		

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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	(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)
35. - Ishares S&P Midcap 400 Index (IJH)	A	Dividend	J	T	Buy	03/04/20	J		
36.					Buy (add'l)	05/14/20	J		
37. - Ishares Tr Rus 2000 GRW ETF (IWO)	A	Dividend	J	T	Buy	03/04/20	J		
38.					Buy (add'l)	05/14/20	J		
39. - Ishares Tr US AER Def ETF (ITA)	A	Dividend			Buy	03/04/20	J		
40.					Buy (add'l)	05/14/20	J		
41.					Sold	10/30/20	J		
42. - SPDR Portfolio Intermediate Term (SPIB)	A	Dividend	K	T	Buy	03/04/20	K		
43.					Buy (add'l)	05/14/20	K		
44. - Goldman Sachs Bank Cash Account	A	Interest	J	T	Open				
45. Investment Account #2 (H)									
46. - First TR Exchange Traded FD (FDN)		None	J	T	Buy	02/20/20	J		
47. - Invesco Exchange Traded FD (SPGP)	A	Dividend	J	T	Buy	02/20/20	J		
48. - Invesco QQQ Tr Unit (QQQ)	A	Dividend	K	T	Buy	02/20/20	J		
49. - Ishares S&P Midcap 400 Index (IJH)	A	Dividend	J	T	Buy	02/20/20	J		
50. - Ishares Tr Rus 2000 GRW ETF (IWO)	A	Dividend	J	T	Buy	02/20/20	J		
51. - Ishares Tr US AER Def ETF (ITA)	A	Dividend			Buy	02/20/20	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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52.					Sold	10/30/20	J		
53. - SPDR Portfolio Intermediate Term (SPIB)	A	Dividend	J	T	Buy	02/20/20	J		
54. - Goldman Sachs Bank Cash Account	A	Interest	J	T	Open				
55. IRA #1 (H)									
56. - First TR Exchange Traded FD (FDN)		None	K	T	Buy	04/24/20	J		
57. - Invesco Exchange Traded FD (SPGP)	B	Dividend	M	T	Buy	02/20/20	M		
58. - Invesco QQQ Tr Unit (QQQ)	A	Dividend	M	T	Buy	02/20/20	M		
59. - Ishares S&P Midcap 400 Index (IJH)	A	Dividend	K	T	Buy	02/20/20	K		
60. - Ishares Tr Rus 2000 GRW ETF (IWO)	A	Dividend	K	T	Buy	02/20/20	K		
61. - Ishares Tr US AER Def ETF (ITA)	A	Dividend			Buy	04/24/20	J		
62.					Sold	10/30/20	J	A	
63. - SPDR Portfolio Intermediate Term (SPIB)	B	Dividend	M	T	Buy	02/20/20	M		
64. - Goldman Sachs Bank Cash Account	A	Interest	K	T	Open				
65. IRA #2 (H)									
66. - First TR Exchange Traded FD (FDN)		None	J	T	Buy	02/20/20	J		
67. - Invesco Exchange Traded FD (SPGP)	A	Dividend	K	T	Buy	02/20/20	J		
68. - Invesco QQQ Tr Unit (QQQ)	A	Dividend	K	T	Buy	02/20/20	J		

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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. - Ishares S&P Midcap 400 Index (IJH)	A	Dividend	J	T	Buy	02/20/20	J		
70. - Ishares Tr Rus 2000 GRW ETF (IWO)	A	Dividend	J	T	Buy	02/20/20	J		
71. - Ishares Tr US AER Def ETF (ITA)	A	Dividend			Buy	02/20/20	J		
72.					Sold	10/30/20	J		
73. - SPDR Portfolio Intermediate Term (SPIB)	A	Dividend	J	T	Buy	02/20/20	J		
74. - Goldman Sachs Bank Cash Account	A	Interest	J	T	Open				

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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R =Cost (Real Estate Only)

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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/ **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