

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 05/15/2017
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 110 E. Court Avenue, Suite 461 Des Moines, IA 50309-2053		
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.	Co-Trustee	Family Trust #1
2.		
3.		
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. 2016	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. Pace Law School	Feb. 19-21, 2016	White Plains, NY	Moot court	Travel, meals, hotel
2. Newseum Institute	Mar. 19-20, 2016	Washington, DC	Moot court	Travel, meals, hotel
3. The Federalist Society	Nov. 18-19, 2016	Washington, DC	Panel moderator	Travel, meals, hotel
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.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
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. MidWestOne - Accounts	A	Interest	J	T					
2. MidWestOne Financial Group Inc - Common Stock	A	Dividend	L	T					
3. Vanguard Prime Money Market Fund	A	Dividend			Sold	05/16/16	J		
4. Vanguard Long-Term Tax-Exempt Fund Investor Shares	B	Dividend	K	T					
5. Vanguard Total International Stock Index Admiral Shares	C	Dividend	L	T	Sold (part)	09/15/16	J		
6. Vanguard Ext. Market Index Fund Admiral Shares	B	Dividend	L	T					
7. Vanguard 500 Index Fund Admiral Shares	C	Dividend	M	T					
8. Vanguard Intermediate Term Tax-Exempt Admiral Shares	C	Dividend	M	T					
9. Vanguard Stock Mkt Index Admiral Shares	C	Dividend	M	T					
10. Vanguard Total Intl Bond Index Admiral Shares	A	Dividend	K	T					
11. Nationwide Life Insurance Company - Whole Life Policy	A	Dividend	J	U					
12. Coll. Svgs Iowa 529 Plan Accts, Mod. Gr. Port. (no control)		None	O	T					
13. U of IA, Recs Facs Rev Bond, 4.1%, Due - 7/1/2019	A	Interest	J	T					
14. U of IA, Rec Facs Rev Bond, 4.5%, Due - 7/1/2027	A	Interest	J	T					
15. U of IA, Rec Acad Bldg Bond, 4%, Due - 7/1/2017	A	Interest	J	T					
16. U of IA, Rec Facs Rev Bond, 4%, Due - 7/1/2018	A	Interest	K	T					
17. IA SU1 Bond, 3.6%, Due - 7/1/2019	A	Interest	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	P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$5,000,000	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 I (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. Univ IA Hosp & Clinics Bond, 6.125%, Due - 9/1/2028	B	Interest	K	T					
19. West Branch Iowa Comm School Dist Bond, 4.1%, Due - 7/1/2023	A	Interest	K	T					
20. Iowa St Brd Regents Hosp Rev, 3.4%, Due - 9/1/2023	A	Interest	K	T					
21. Johnston Comm Sch District Bond, 3.5%, Due - 7/1/2024	A	Interest	K	T					
22. St Univ of IA Acad Bldg-Ser SUI Bond	A	Interest	J	T					
23. TIAA-CREF Equity Index - RTL	A	Dividend	J	T					
24. Founders LLC, common units		None	J	U					
25. KNDR HealthCare LLC, Series A units		None	K	T					
26. Family Trust #1 (H)									
27. -Baxter Intl Inc - Common Stock	A	Dividend	L	T					
28. -Shire PLC - ADR (formerly Baxalta Inc - Common Stock)	A	Dividend	K	T					
29. -Edwards Lifesciences Corp - Common Stock		None	K	T					
30. -Medasets Inc - Common Stock		None			Sold	01/28/16	K	C	
31. -MidWestOne Financial Group Inc - Common Stock	B	Dividend	M	T					
32. -Johnston Comm Sch District Infrastructure Bd, 3.5%, Due 7/1/2024	A	Interest	K	T					
33. -MidWestOne Bank - Cash Accounts	A	Interest	J	T					
34. -Vanguard Mun Bd Fd Inc Intr Tax-Exempt Admiral	A	Dividend	L	T	Buy	04/25/16	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	
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35.					Buy (add'l)	07/01/16	K		
36.					Buy (add'l)	08/01/16	J		
37.					Buy (add'l)	09/09/16	J		
38.					Buy (add'l)	09/15/16	J		
39.					Buy (add'l)	10/05/16	J		
40.									
41.									
42.									
43.									
44.									
45.									
46.									

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

In Part VII, line 28, the asset name is changed due to a merger.

In Part VII, line 33, cash equivalent accounts are listed without the type of account, in accordance with 2016 Filing Instructions, p. 34.

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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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