

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 06/28/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge/Recall	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address 131 East 4th Street, 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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE 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.)*SOURCEDATESLOCATIONPURPOSEITEMS 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. Triumph Community Bank	A	Dividend	K	T					
2. Metropolitan Life Ins.	A	Dividend	J	T					common stock
3. Mass Mutual Life Ins.	A	Dividend	M	T					whole life
4. Northwest Mutual Life Ins.	A	Dividend	M	T					whole life
5. Vanguard Keogh-Lane & Waterman	A	Dividend	K	T					
6. IRA Morgan Stanley:									
7. Chicago Bridge & Iron	A	Dividend			Sold	12/28/17	J		
8. EBay, Inc.	A	Dividend	J	T					
9. Glaxo Smith Kline	A	Dividend			Sold	12/28/17	J		
10. Goldman Sachs Group	A	Dividend	J	T					
11. United Health	A	Dividend	J	T					
12. Wells Fargo	A	Dividend	J	T					
13. PAYPAL Holdings	A	Dividend	J	T					
14. Amgen	A	Dividend	J	T					
15. IShares Select Dividend ETF	A	Dividend			Sold	12/28/17	J		
16. TR S&P 500 Index Fund	A	Dividend			Sold	12/28/17	J		
17. Eaton Vance HI Inc.	A	Dividend	J	T					

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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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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18. General Electric	A	Dividend			Sold	12/28/17	J		
19. Henderson European	A	Dividend	K	T					
20. Henderson International	A	Dividend	K	T					
21. Loomis Sayles Small Capital Value Institutional Fund	A	Dividend			Sold	12/28/17	J		
22. S&P 500 Index Fund	B	Dividend			Sold	12/28/17	J		
23. Oppenheimer Value Y Fund	A	Dividend	K	T					
24. RS Value Fund	A	Dividend	J	T					
25. Royce Premier	A	Dividend	J	T					
26. AB Global Bond ADV	B	Dividend	K	T					
27. Eaton Vance HI, Inc. Opport	G	Dividend	M	T					
28. AB Global Gov't Income	A	Dividend			Sold	12/28/17	J		
29. Victory RS Value Y	A	Dividend			Sold	12/28/17	J		
30. Principal Financial Group	A	Dividend	J	T					
31. Apple, Inc.	E	Dividend	K	T	Buy	01/10/17	K		
32. Ford Motor Co.	A	Dividend	J	T					
33. Goldman Sachs TR	A	Dividend	L	T					
34. Hartford Fin. Services	A	Dividend	J	T					

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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. Home Depot	E	Dividend	K	T	Buy	01/10/17	J		
36. Janis Forty Fund	A	Dividend			Sold	12/28/17	J		
37. MBIA	A	Dividend	J	T					
38. IShares S&P	A	Dividend	L	T					
39. Visa Inc. Com.	A	Dividend	K	T					
40. Lowes, Inc	D	Dividend	J	T	Buy	01/10/17	J		
41. Alcoa, Inc.	A	Dividend			Sold	12/28/17	J		
42. Bank of America Corp	A	Dividend	J	T					
43. Facebook, Inc.	B	Dividend	J	T					
44. BP PLC ADS (BP)	E	Dividend	K	T					
45. DDR Corp. Common	E	Dividend			Sold	12/28/17	J		
46. Hospitality PPTYS Common	E	Distribution	K	T					
47. KKR & Co., LLP	E	Dividend	K	T					
48.									
49. Southern Copper Corp.	E	Dividend	K	T					
50.									
51. Templeton Global Bond Fund	F	Dividend			Sold	12/28/17	J		

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52. Paypal Hldgs, Inc. Com	D	Dividend	J	T					
53. Exxon Mobil Corp.	E	Dividend	K	T					
54. RMR Group, Inc.	A	Dividend			Sold	12/28/17	J		
55. Victory Munder MDCP CR Growth	E	Dividend	L	T					
56. MSIF Global Opportunity	F	Dividend	L	T					
57. Royce Smaller- Co Growth Inv	E	Dividend	J	T					
58. IRA-Morgan Stanley (Spouse):									
59. Alcoa	A	Dividend			Sold	12/28/17	J		
60. Dreyfus Liquid Assets-Money Market	A	Interest			Sold	12/28/17	J		
61. Chicago Bridge & Iron	A	Dividend			Sold	12/28/17	J		
62. EBAY, Inc.	A	Dividend			Sold	12/28/17	J		
63. Goldman Sachs	A	Dividend	J	T					
64. United Health	A	Dividend	J	T					
65. Wells Fargo	A	Dividend			Sold	12/28/17	J		
66. Amgen, Inc.l	A	Dividend	J	T					
67. Bank of America	A	Dividend	J	T					
68. IShares MSCI Japan Index Fund	A	Dividend			Sold	12/28/17	J		

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69. Principal Financial Group	A	Dividend	J	T					
70. Visa, Inc.	A	Dividend	J	T					
71. Morgan Chase & Co.	A	Dividend	J	T					
72. Facebook, Inc. Class A	C	Dividend	J	T					
73. MBIA, Inc.	A	Dividend			Sold	12/28/17	J		
74. Citigroup, Inc.	E	Dividend	L	T					
75. Duke Energy Corp.	C	Dividend	J	T					
76. Energy Transfer Partners	C	Distribution			Sold	12/28/17	J		
77. Entergy Corp	D	Dividend	J	T					
78. Ferrell Gas Partners, LP	D	Distribution			Sold	12/28/17	J		
79. FirstEnergyCorp.	E	Dividend	K	T					
80. Ford Motor Co.	D	Dividend			Sold	12/28/17	J		
81. General Electric	D	Dividend			Sold	12/28/17	J		
82. Hospitality PPTYS TR Com	D	Distribution	J	T					
83. UGI Corporation	E	Dividend	K	T					
84. Chevron Corp.	E	Dividend	K	T	Buy	01/10/17	J		
85. Aegon NV (Preferred)	D	Dividend			Sold	12/28/17	J		

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86. Barclays Bank, PLC	E	Dividend			Sold	12/28/17	J		
87. Cedar Rapids Community School District	E	Interest			Sold	12/28/17	J		
88. Virgin Islands Water & Power Bonds	D	Interest	J	T					
89. Texas Instruments	A	Dividend	J	T					
90. Country Wide Capital V	E	Interest			Sold	12/28/17	J		
91. iShares China Large Cap ETF	D	Dividend	J	T	Buy	01/10/17	J		
92. American Balanced Fund	E	Interest	K	T					
93. Goldman Sachs MLP Energy Fund	D	Interest	J	T					
94. Goldman Sachs Short Duration Taxable Fund	E	Interest	K	T					
95. Ivey Asset Strategy I Fund	D	Interest			Sold	12/28/17	J		
96. Ivy Municipal High Income Fund	E	Interest	K	T					
97. Mainstay Cushing MLP Premier I Fund	D	Interest	J	T					
98. ETSY, Inc. Com	B	Dividend			Sold	12/28/17	J		
99. Morgan Chase & Co	D	Dividend			Sold	12/28/17	J		
100. Travelers Companies, Inc.Common	C	Dividend	J	T					
101. Verizon Communications	C	Dividend	J	T					
102. Walt Disney Co. Hldg. Co.	D	Dividend	J	T					

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103. Eaton Vance Tax MG CEF	D	Dividend			Sold	12/28/17	J		
104. Nuveen S&P 500 Buy-Write, Inc.	B	Dividend	J	T					
105. S&P 500 Index Fund	E	Dividend	J	T					
106. Henderson European Focus	D	Dividend	J	T					
107. PAYPAL Hldgs, Inc.	B	Dividend	J	T					
108. SALESFORCE.COM, Inc	A	Dividend	J	T					
109. ISHARES S&P Midcap 400 Index	A	Dividend			Sold	12/28/17	J		
110. American FDS Portfolio SER Balanced Fund	G	Distribution			Sold	12/28/17	J		
111. Vanguard FTSE Developed Markets ETF	D	Int./Div.	J	T	Buy	01/10/17	J		
112. Vanguard FTSE Emerging Markets ETF	C	Int./Div.	J	T	Buy	01/10/17	J		
113. Vanguard Intermediate Term Bond ETF	C	Int./Div.	J	T	Buy	01/10/17	J		
114. Vanguard Long Term Bond ETF	C	Int./Div.	J	T	Buy	01/10/17	J		
115. Vanguard Total International Bond ETF	D	Int./Div.	J	T	Buy	01/10/17	J		
116. Vanguard Short Term Bond ETF	D	Int./Div.	J	T	Buy	01/10/17	J		
117. Vanguard Scottsdale Funds Vanguard Mortgage-Backed Securities ETF	C	Int./Div.	J	T	Buy	01/10/17	J		
118. Vanguard Index Funds Extended Market ETF	C	Int./Div.	J	T	Buy	01/10/17	J		
119. Vanguard S&P 500ETF	E	Int./Div.	K	T	Buy	01/10/17	J		

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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				
	(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)

120.									
121.									
122.									
123.									
124.									
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134.									
135.									
136.									

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	

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)
137.									
138.									
139.									
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141.									
142.									
143.									
144.									
145.									
146.									
147.									
148.									
149.									
150.									

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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Name of Person Reporting	Date of Report
Shields, Thomas J.	06/28/2018

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

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Name of Person Reporting

Shields, Thomas J.

Date of Report

06/28/2018

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
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