

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 09/26/2016
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 01/01/2015 to 12/31/2015
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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Name of Person Reporting

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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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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	J	T					
8. EBay, Inc.	A	Dividend	J	T					
9. Glaxo Smith Kline	A	Dividend	J	T					
10. Goldman Sachs Group	A	Dividend	J	T					
11. United Health	A	Dividend	J	T					
12. Wells Fargo	A	Dividend	J	T					
13. MSCI Brazil Index	A	Dividend			Sold	12/31/15	J	A	
14. MSCI Japan	A	Dividend			Sold	12/31/15	J	A	
15. TR Dow Jones Select	A	Dividend			Sold	12/31/15	J	A	
16. TR S&P 500 Index Fund	A	Dividend	K	T					
17. TR MSCI EAFE Index	A	Dividend			Sold	12/31/15	K	A	

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

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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. Alliance Bernstein Global Bond Fund Class ADV	A	Dividend			Sold	12/31/15	K	A	
19. Henderson European	A	Dividend	K	T					
20. Henderson International	A	Dividend	K	T					
21. Loomis Sayles Small Capital Value Institutional Fund	A	Dividend	J	T					
22. Munder TR Midcap	A	Dividend			Sold	12/31/15	K	A	
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. Royce Value Plus	A	Dividend			Sold	12/31/15	J	A	
27. Van Kampen FDS	A	Dividend			Sold	12/31/15	J	A	
28. AB Global Gov't Income	A	Dividend	J	T					
29. Petrobras	A	Dividend			Sold	12/31/15	J	A	
30. Principal Financial Group	A	Dividend	J	T					
31. Calamos Global	A	Dividend			Sold	12/31/15	J	A	
32. Ford Motor Co.	A	Dividend	J	T					
33. Goldman Sachs TR	A	Dividend	L	T					
34. Hartford Fin. Services	A	Dividend	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	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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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)

35. Intrepid Potash, Inc.	A	Dividend			Sold	12/31/15	J	A	
36. Janis Forty Fund	A	Dividend	J	T					
37. MBIA	A	Dividend	J	T					
38. iShares S&P	A	Dividend	L	T					
39. Visa Inc. Com.	A	Dividend	K	T					
40. NYSE Euronext	A	Dividend			Sold	12/31/15	J	A	
41. Alcoa, Inc.	A	Dividend	J	T					
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	K	T					
46. Hospitality PPTYS Common	E	Distribution	K	T					
47. KKR & Co., LLP	E	Dividend	K	T					
48. Seadrill, LTD	E	Dividend			Sold	12/31/15	J	A	
49. Southern Copper Corp.	E	Dividend	K	T					
50. Sentinel Low Duration Bond Fund	E	Distribution			Sold	12/31/15	J	A	
51. Templeton Global Bond Fund	F	Dividend	L	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	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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52. Paypal Hldgs, Inc. Com	D	Dividend	J	T	Buy	01/05/15	J		
53. Exxon Mobil Corp.	E	Dividend	K	T	Buy	01/05/15			
54. RMR Group, Inc.	A	Dividend	J	T	Buy	01/05/15			
55. Victory Munder MDCP CR Growth	E	Dividend	L	T	Buy	01/05/15	K		
56. MSIF Global Opportunity	F	Dividend	L	T	Buy	01/05/15	L		
57. Royce Smaller- Co Growth Inv	E	Dividend	J	T	Buy	01/05/15	K		
58. IRA-Morgan Stanley (Spouse):									
59. Bank of America	A	Dividend			Sold	12/31/15	J	A	
60. Dreyfus Liquid Assets-Money Market	A	Interest	J	T					
61. Chicago Bridge & Iron	A	Dividend	J	T					
62. EBAY, Inc.	A	Dividend	J	T					
63. Goldman Sachs	A	Dividend	J	T					
64. United Health	A	Dividend	J	T					
65. Wells Fargo	A	Dividend	J	T					
66. MSCI Brazil Index	A	Dividend			Sold	12/31/15	J	A	
67. MSCI Japan Index	A	Dividend			Sold	12/31/15	J	A	
68. IShares MSCI Japan Index Fund	A	Dividend	J	T					

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69. Principal Financial Group	A	Dividend	J	T					
70. Visa, Inc.	A	Dividend	J	T					
71. EMC Corp Mass	B	Dividend			Sold	12/31/15	J	A	
72. Facebook, Inc. Class A	C	Dividend	J	T					
73. Chevron Corp.	D	Dividend			Sold	12/31/15	J	A	
74. Citigroup, Inc.	E	Dividend	L	T					
75. Duke Energy Corp.	C	Dividend	J	T					
76. Energy Transfer Partners	C	Distribution	J	T					
77. Entergy Corp	D	Dividend	J	T					
78. Ferrell Gas Partners, LP	D	Distribution	J	T					
79. FirstEnergyCorp.	E	Dividend	K	T					
80. Ford Motor Co.	D	Dividend	J	T					
81. General Electric	D	Dividend	J	T					
82. Hospitality PPTYS TR Com	D	Distribution	J	T					
83. UGI Corporation	E	Dividend	K	T					
84. Zimmer Holdings, Inc.	D	Distribution			Sold	12/31/15	J	A	
85. Aegon NV (Preferred)	D	Dividend	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
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86. Barclays Bank, PLC	E	Dividend	K	T					
87. Cedar Rapids Community School District	E	Interest	K	T					
88. Virgin Islands Water & Power Bonds	D	Interest	J	T					
89. Puerto Rico Electric Power Authority	C	Interest			Sold	12/31/15	J	A	
90. Country Wide Capital V	E	Interest	K	T					
91. Merrill Lynch Preferred Capital Fund	D	Distribution			Sold	12/31/15	J	A	
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	J	T					
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	J	T	Buy	01/05/15	J		
99. Morgan Chase & Co	D	Dividend	J	T	Buy	01/05/15	J		
100. Travelers Companies, Inc.Common	C	Dividend	J	T	Buy	01/05/15	J		
101. Verizon Communications	C	Dividend	J	T	Buy	10/05/15	J		
102. Walt Disney Co. Hldg. Co.	D	Dividend	J	T	Buy	03/06/15	J		

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103. Eaton Vance Tax MG CEF	D	Dividend	J	T	Buy	01/05/15	J		
104. Nuveen S&P 500 Buy-Write, Inc.	B	Dividend	J	T	Buy	01/05/15	J		
105. S&P 500 Index Fund	E	Dividend	J	T	Buy	01/05/15	J		
106. Henderson European Focus	D	Dividend	J	T	Buy	01/05/15	J		
107. PAYPAL Hldgs, Inc.	B	Dividend	J	T	Buy	01/05/15	J		
108. SALESFORCE.COM, Inc	A	Dividend	J	T	Buy	01/05/15	J		
109. ISHARES S&P Midcap 400 Index	A	Dividend	J	T	Buy	01/05/15	J		
110. American FDS Portfolio SER Balanced Fund	G	Distribution	L	T	Buy	01/05/15	J		

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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/ **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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544