

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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) Walters, Ross A.	2. Court or Organization USDC, SDIA	3. Date of Report 06/03/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Full-Time United States Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address United States Courthouse 123 E. Walnut St., Room 440 Des Moines, IA 50309-2036		
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.	Trustee	Trust
2.	Trustee	Trust
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Walters, Ross A.

Date of Report

06/03/2013

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. 2012

West Des Moines, Iowa School District (Part-Time Teacher) - 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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Walters, Ross A.

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06/03/2013

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.	Bank of America	Mortgage on personal residence	M
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Walters, Ross A.

Date of Report

06/03/2013

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. Principal Ins. Cos. - IRA		None	N	T					
2. Principal Ins. Cos. - Common Stock	A	Dividend	J	T					
3. Pfizer Common Stock	A	Dividend	J	T					
4. Oppenheimer Capital Appreciation Fund Class A - IRA		None	J	T					
5. Wells Fargo Bank - IRA		None	J	T					
6. Iowa Retirement Investors Club 403B Plan (Hartford)		None	J	T					
7. Trust	E	Dividend	O	T					
8.		Interest							
9. --Principal High Yld II Fd.									
10. --Harbor Int'l Fund Inst.									
11. --Pimco Total Return Fd. Inst.									
12. --Principal Preferred Sec. Fd.									
13. --Vanguard Inflation Protected Fd.									
14. --Prudential Jennison Nat. Res. Fd.									
15. --Templeton Global Bond Fd.									
16. --Third Ave. Real Estate Value Fd.									
17. --Tortoise Energy Infra. Corp.									

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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

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18. --Vanguard Index Fds. Lg.-Cap ETF									
19. --SPDR Ser TR S&P Div. ETF									
20. --Cash (Principal Money Market)									
21. Trust	E	Dividend	P1	T					
22.		Interest							
23. --Principal Gov. & High Quality Bond Fd.									
24. --Principal Short Term Inc. Fd.									
25. --Principal Income Fund									
26. --Principal High Yld II Fd.									
27. --Principal Preferred Sec. Fd.									
28. --Principal Global Div. Inc. Fd.									
29. --Blackrock High Yld. Bond Fd.					Sold	12/27/12	J	A	
30. --Federated Adjustable Rate Fd.					Sold	12/27/12	J	A	
31. --Loomis Sayles Bond Fd.					Sold	12/27/12	J	A	
32. --Oppenheimer Int'l Bond Fd.					Sold	12/27/12	J	A	
33. --Victory Nat'l Mut. Bond Fd.					Sold	12/27/12	J	A	
34. --Westcore Plus Bond Fd.					Sold	12/27/12	J	A	

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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	
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FINANCIAL DISCLOSURE REPORT

Page 6 of 8

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35. --Akre Focus Fd. Retail					Sold	12/27/12	J	A	
36. --Cohen & Steers Realty Shares					Sold	12/27/12	J	A	
37. --Eaton Vance Floating Rate Adv. A					Sold	12/27/12	J	A	
38. --Hartford Capital Appr. Fund A					Sold	02/09/12	J	A	
39. --FMI Large Cap Fd.					Buy	02/09/12	J		
40.					Sold	12/27/12	J	A	
41. --Heartland Value Plus Fd.					Sold	12/27/12	J	A	
42. --James Balanced Golden Rainbow Fd.					Sold	12/27/12	J	A	
43. --Lazard Dev. Mkts. Equity Fd.					Sold	12/27/12	J	A	
44. --Thornburg Int'l Value Fd. A					Sold	12/27/12	J	A	
45. --Toqueville Fund					Sold	12/27/12	J	A	
46. --Calamos Growth Fund A					Sold	12/27/12	J	A	
47. --Insurance Contract (Principal)									
48. --Cash (Principal Money Market)									

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FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Walters, Ross A.

Date of Report

06/03/2013

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

Parts I and VII. Trust #1 is a testamentary trust. Trust #2 is an inter vivos trust. My interest in the trusts is contingent. I have no present right or ability to receive any income or principal. I have listed the trusts because of the trustee's management authority over trust assets.

Part VII A(5) - Certificates of Deposit.

Part VII D(4) - Proceeds from Trust #2 transactions not reinvested in 2012.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Walters, Ross A.

Date of Report

06/03/2013

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/ Ross A. Walters**

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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