

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) BENNETT, MARK W.	2. Court or Organization USDC/Northern District of Iowa	3. Date of Report 10/10/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Court Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2013 to 12/31/2013
	5b. ☒ Amended Report	
7. Chambers or Office Address 313 United States Courthouse 320 Sixth Street Sioux City, IA 51101		
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2013	Aspen Publishing	\$2,013.00
2. 2013	Drake University Law School	\$3,700.00
3. 2013	William S. Richardson School of Law	\$1,500.00
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.	
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.	American Bar Association	2.7-2.8	Dallas, TX	Tort Trial and Insurance Practice Section of the ABA Leadership Academy	airfare, lodging, meals
2.	Drake University School of Law	2.17-2.19	Des Moines, IA	Co-teaching law class	mileage, lodging
3.	Shreveport Bar Association	2.26-2.28	Shreveport, LA	Shreveport Bar Association Luncheon	airfare, lodging, meals
4.	Drake University Law School	4.21	Des Moines, IA	Co-teaching law class	mileage, lodging
5.	Haas Institute	4.25-4.26	Chicago, IL	Mind and Science and Law Meeting	airfare, lodging, meals

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6.	Minnesota CLE	5.20-5.21	St. Paul, MN	Employment Law Institute	airfare, lodging, meals
7.	Tampa Bar Association	5.22-5.24	Orlando, FL	2013 National Federal Sentencing Guidelines Seminar	airfare, lodging, meals
8.	National Association of Minnesota Sentencing Commission	8.5-8.6	St. Paul, MN	National Association of Minnesota Sentencing Commission Seminar	mileage, lodging, meals
9.	Federal Bar Association - Utah, Idaho, & Wyoming Chapters	9.19-9.22	Park City, UT	Ninth Annual Tri State Seminar	airfare, lodging, meals
10.	Polk County Bar Association	9.30-10.2	Lakeland, FL	Florida-Polk County Trial Lawyers Conference	airfare, lodging, meals
11.	Nebraska Bar Association	10.2	Omaha, NE	Nebraska Bar Association Labor & Employment Law Section Annual Meeting	mileage
12.	American Bar Association	10.17-10.20	Sedona, AZ	Fall Conference - Arizona State Bar Labor & Employment section	airfare, lodging, meals
13.	Hofstra University	10.20-10.22	Long Island, NY	Hofstray Symposium	airfare, lodging, meals
14.	NACDL	11.20-11.23	Las Vegas, NV	NACDL Defending Drug Cases Seminar	airfare, lodging, meals

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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. Non-IRA (Fidelity)									
2. ANTX		None	J	T					
3. Berkshire Hathaway		None	J	T	Buy (add'l)	01/03/13	J		
4.					Buy (add'l)	02/15/13	J		
5. First Eagle Global Class C		None	J	T					
6. Invesco Intl. Small Co.		None			Sold	11/29/13	J	D	
7. Hennessey Focus Fund		None	J	T					
8. Permanent Portfolio		None			Sold	09/06/13	J	C	
9. Surebeam Corp.		None	J	T					
10. Vanguard Index FDS		None	J	T					
11.									
12. Rollover IRA (Fidelity)									
13. Apple, Inc.	A	Dividend	J	T	Buy	08/20/13	J		
14.					Buy (add'l)	09/18/13	J		
15.					Sold (part)	10/31/13	J	A	
16. Berkshire Hathaway		None	J	T					
17. Fidelity Cash Reserves	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 \$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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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. Fidelity Real Estate Income	A	Dividend			Sold (part)	06/26/13	J	A	
19.					Sold (part)	09/09/13	J	A	
20.					Sold	09/13/13	J	B	
21. First Eagle Global Class C		None	J	T	Sold (part)	08/19/13	J	B	
22.					Sold (part)	08/29/13	J	A	
23. Iva Worldwide Fund	A	Dividend	J	T	Sold (part)	01/20/13	J	A	
24.					Sold (part)	02/27/13	J	A	
25.					Sold (part)	04/23/13	J	A	
26.					Sold (part)	07/24/13	J	A	
27.					Sold (part)	08/15/13	J	B	
28.					Sold (part)	10/01/13	J	A	
29.					Sold (part)	10/28/13	J	A	
30. Oakmark International Small Cap	A	Dividend	J	T					
31. Permanent Portfolio		None			Sold (part)	03/28/13	J	A	
32.					Sold	05/23/13	J	A	
33. Wasatch International Growth		None	J	T	Buy	08/16/13	J		
34.					Buy (add'l)	11/18/13	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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☐ 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)
35. Roth IRA (Fidelity) *									
36. Apple, Inc.	A	Dividend	J	T	Buy	09/12/13	J		
37. Wasatch International Growth		None	J	T	Buy	09/10/13	J		
38.									
39. Miscellaneous Holdings									
40. Iowa College Savings Account **		None	J	T			J		
41. Iowa College Savings Account **		None	J	T			J		
42. CKG ACCT; Fidelity, Boston MA	A	Interest	K	T					
43. Wells Fargo Checking Account	A	Interest	J	T					
44. Iowa/Nebraska State Bank Checking Account	A	Interest	J	T			J		
45. REINSURANCE AGREEMENT; 1st Colony Life Ins. Co.		None	N	W					
46. Belcour Pension Invest VI		None			Closed	2013	J		
47. LMTD PTRSHIP; Riverfront Ass'n; Des Moines **		None			Closed	2013	J		
48.									
49. IRA Fidelity									
50. Amana Mutual Fund	A	Dividend			Sold (part)	04/23/13	J	A	
51.					Sold	07/15/13	J	A	

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2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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52. American Century All Cap Growth ***		None			Sold	02/28/13	J	A	
53. American Century Mid Cap	A	Dividend	J	T					
54. Baron Real Estate Fund Retail		None	J	T	Buy	02/14/13	J		
55.					Sold (part)	04/22/13	J		
56. Berkshire Hathaway Inc DEL CL B		None	M	T	Buy (add'l)	01/04/13	J		
57.					Buy (add'l)	03/08/13	J		
58.					Buy (add'l)	06/26/13	J		
59.					Sold (part)	09/27/13	J	E	
60.					Sold (part)	10/08/13	J	D	
61.					Sold (part)	10/08/13	J	C	
62.					Buy (add'l)	10/17/13	K		
63.					Buy (add'l)	11/13/13	K		
64. Fidelity Cash Reserves	A	Dividend	L	T					
65. Fidelity Japan Smaller Co's	A	Dividend	J	T	Buy (add'l)	02/04/13	J		
66.					Buy (add'l)	03/27/13	J		
67.					Buy (add'l)	04/02/13	J		
68.					Sold (part)	04/22/13	J	B	

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69.					Sold (part)	05/31/13	J	B	
70.					Sold (part)	06/03/13	J	A	
71.					Sold (part)	06/27/13	J	A	
72.					Sold (part)	08/13/13	J	A	
73.					Sold (part)	10/04/13	J	B	
74. Fidelity Real Estate Income	A	Dividend	J	T	Sold (part)	08/08/13	J	A	
75.					Sold (part)	10/09/13	J	A	
76. Fidelity Select Energy	A	Dividend	J	T					
77. First Eagle Global Class I	A	Dividend	J	T					
78. First Eagle Global Class C		None	K	T					
79. First Eagle U.S. Value		None	J	T	Buy	01/08/13	J		
80. Harbor International		None			Sold	04/02/13	J	A	
81. Hennessy Japan	A	Dividend	J	T					
82. Invesco International Small Co. CL	A	Dividend	J	T					
83. IVA Worldwide Fund		None	K	T	Sold (part)	01/04/13	J	A	
84. Mainstay Marketfield Fund	A	Dividend	K	T	Buy (add'l)	12/26/13	K		
85. Market Vectors ****	A	Dividend			Sold	04/08/13	J	A	

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86.					Buy	08/15/13	J		
87.					Sold (part)	12/06/13	J	A	
88. Matthews China Fund	A	Dividend	J	T	Buy (add'l)	01/03/13	J		
89.					Sold (part)	04/02/13	J		
90.					Sold (part)	06/04/13	J		
91. MFS Emerging Markets	A	Dividend			Sold	03/28/13	J	A	
92. Oakmark Equity & Income FD		None	J	T					
93. Permanent Portfolio		None	K	T	Sold (part)	02/28/13	J	B	
94.					Sold (part)	04/02/13	J	A	
95.					Sold (part)	05/15/13	J	A	
96.					Sold (part)	07/15/13	J	A	
97. Pimco All Asset Fund	A	Dividend			Sold	02/04/13	J	A	
98. Proshares		None			Sold (part)	02/08/13	J		
99.					Buy (add'l)	03/11/13	J		
100.					Buy (add'l)	03/28/13	J		
101.					Buy (add'l)	04/22/13	J		
102.					Buy (add'l)	08/07/13	J		

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103.					Sold (part)	09/09/13	J		
104.					Buy (add'l)	09/27/13	J		
105.					Sold	10/18/13	J		
106.					Buy (add'l)	12/11/13	J		
107.					Sold (part)	12/27/13	J		
108.					Sold	12/31/13	J		
109. Robeco Boston Ptnrs		None	K	T	Sold (part)	05/21/13	J	B	
110. TCW Emerging Markets	A	Dividend			Sold (part)	02/28/13	J	A	
111.					Sold	03/26/13	J	A	
112. Thornburg Investment Income Builder	A	Dividend	K	T	Buy (add'l)	07/15/13	J		
113.					Sold (part)	10/11/13	J	A	
114.					Buy (add'l)	12/30/13	K		
115. Vanguard Inflation	A	Dividend	J	T					
116. Wasatch Core Growth		None	J	T	Buy	07/15/13	J		
117.					Sold (part)	10/07/13	J	A	
118. Wasatch Frontier Emerging Small Co's	A	Dividend	J	T	Buy	04/04/13	J		
119. Wasatch International Growth		None	K	T	Buy (add'l)	02/06/13	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 = \$250,000,001 - \$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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BENNETT, MARK W.

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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)
120.					Buy (add'l)	04/24/13	J		
121.					Sold (part)	06/05/13	J	C	
122.					Buy (add'l)	06/18/13	J		
123.					Buy (add'l)	07/15/13	K		
124.					Sold (part)	10/09/13	J	C	
125.					Buy (add'l)	11/18/13	J		
126. Wasatch Long/Short Fund		None	J	T	Sold (part)	01/03/13	J	A	
127.					Buy (add'l)	12/26/13	J		
128.									
129. IRA Smith Barney *****									

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

*Line 35, The Fidelity Roth IRA, was opened in the third quarter of 2013

**Lines 40-41 are Iowa College Savings Plans, Aggressive Growth Portfolio, no control

***Line 52, American Century All Cap Growth, was purchased on June 13, 2012, but inadvertently left off that report.

****Line 85, Market Vectors, was purchased on January 5, 2012, but inadvertently left off that report.

***** Line 129, The Smith Barney Account [REDACTED], was completely dissolved in 2012.

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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/ MARK W. BENNETT

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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Washington, D.C. 20544