

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) Colloton, Steven M.	2. Court or Organization US Ct. of Appeals-8th Circuit	3. Date of Report 05/14/2014
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 01/01/2013 to 12/31/2013
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. Trustee	James Madison Memorial Fellowship Foundation
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 7

Name of Person Reporting

Colloton, Steven M.

Date of Report

05/14/2014

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. 2013	KNDR Healthcare LLC, Wages
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. First Amendment Center at Vanderbilt University	Feb. 21-23, 2013	Nashville, TN	Moot court competition	Travel, lodging, food
2. American Bankruptcy Institute	Mar. 10-11, 2013	New York, NY	Moot court competition	Travel, lodging, food
3. Villanova University School of Law	Mar. 15-17, 2013	Villanova, PA	Moot court competition	Travel, lodging, food
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting

Colloton, Steven M.

Date of Report

05/14/2014

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.

FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting

Colloton, Steven M.

Date of Report

05/14/2014

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	M	T					
2. Vanguard Prime Money Market Fund	A	Dividend	K	T					
3. Vanguard Intermediate Term Tax-Exempt Muni Bond Fund	A	Dividend	K	T					
4. Vanguard Long-Term Tax-Exempt Fund Investor Shares	A	Dividend	K	T					
5. Vanguard Total International Stock Index Admiral Shares	A	Dividend	K	T					
6. Vanguard Ext. Market Index Fund Admiral Shares	A	Dividend	L	T					
7. Vanguard 500 Index Fund Admiral Shares	B	Dividend	M	T					
8. MidWestOne Financial Group Inc. - Common Stock	A	Dividend	K	T					
9. Nationwide Life Insurance Company - Whole Life Policy	A	Dividend	J	U					
10. U of IA, Rec Facs Rev Bond, 4.1%, Due - 7/1/2019	A	Interest	J	T					
11. U of IA, Rec Facs Rev Bond, 4.5%, Due - 7/1/2027	A	Interest	J	T					
12. U of IA, Rec Acad Bldg Bond, 4%, Due - 7/1/2017	A	Interest	J	T					
13. U of IA, Rec Facs Rev Bond, 4%, Due - 7/1/2018	A	Interest	K	T					
14. FNBO Direct - Account	A	Interest	M	T					
15. HSBC - Account	A	Interest	L	T					
16. College Savings Iowa 529 Plan Agg. Growth Port. (no control)		None			Sold	12/31/13	L		
17. College Savings Iowa 529 Plan Con. Income Port. (no control)		None			Sold	12/31/13	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 = \$250,000.01 - \$500,000.00	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	L = \$50,001 - \$100,000 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 7

Name of Person Reporting

Colloton, Steven M.

Date of Report

05/14/2014

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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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 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. Coll. Svgs Iowa 529 Plan Accts, Mod. Gr. Port. (no control)		None	M	T	Buy	12/31/13	L		
19.					Buy (add'l)	12/31/13	J		
20. Federated Institutional Tr Hi Yield Bond Fund	A	Dividend	J	T					
21. IA SUI Bond, 3.6%, Due 7/1/2019	A	Interest	J	T					
22. Univ IA Hosp & Clinics Bond, 6.125%, Due 9/1/2028	B	Interest	K	T					
23. West Branch Iowa Comm School Dist Bond, 4.1%, 7/1/2023	A	Interest	K	T					
24. TIAA-CREF Equity Index - RTL	A	Dividend	J	T					
25. Iowa St Brd Regents Hosp Rev, 3.4%, Due 9/1/2023	A	Interest	J	T					
26. Founders LLC, common units		None	J	U					
27. KNDR HealthCare LLC, Series A units		None	K	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 7

Name of Person Reporting

Colloton, Steven M.

Date of Report

05/14/2014

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

Part VII, lines 16-18: College Savings Iowa 529 Plan reports only an "earnings" amount based on the change in the investor's total portfolio net worth, including market appreciation and depreciation. The Plan does not report separately an amount of dividends attributable to the asset, so income is listed as "None" in Column B(2). This is a change from filer's reports for prior years, which reflected annual "earnings" amounts as "dividends."

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Colloton, Steven M.

Date of Report

05/14/2014

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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