

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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 05/17/2016
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 01/01/2014 to 12/31/2014
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 9

Name of Person Reporting

Colloton, Steven M.

Date of Report

05/17/2016

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.)*

DATE

SOURCE AND TYPE

INCOME
(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.)*

DATE

SOURCE 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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1. UC Davis School of Law

Apr. 4-6, 2014

Davis, CA

Moot court competition

Travel, lodging, food

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Colloton, Steven M.

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05/17/2016

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 9

Name of Person Reporting

Colloton, Steven M.

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05/17/2016

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. MidWestOne Financial Group Inc - Common Stock	A	Dividend	K	T					
3. Vanguard Prime Money Market Fund	A	Dividend	K	T	Buy (add'l)	06/02/14	L		
4.					Sold (part)	06/10/14	K		
5.					Sold (part)	07/10/14	K		
6. Vanguard Intermediate Term Tax-Exempt Inv Muni Bond Fund	B	Dividend	K	T	Buy (add'l)	04/07/14	K		
7.					Buy (add'l)	05/20/14	K		
8.					Buy (add'l)	06/10/14	K		
9.					Buy (add'l)	07/10/14	K		
10.					Sold (part)	07/14/14	L		
11. Vanguard Long-Term Tax-Exempt Fund Investor Shares	B	Dividend	K	T					
12. Vanguard Total International Stock Index Admiral Shares	B	Dividend	L	T	Buy (add'l)	06/12/14	K		
13.					Buy (add'l)	07/10/14	J		
14.					Buy (add'l)	10/10/14	J		
15.					Buy (add'l)	12/16/14	J		
16. Vanguard Ext. Market Index Fund Admiral Shares	A	Dividend	L	T					
17. Vanguard 500 Index Fund Admiral Shares	B	Dividend	M	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	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 9

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Colloton, Steven M.

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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 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. Vanguard Intermediate Term Tax-Exempt Admiral Shares	B	Dividend	L	T	Buy	07/14/14	L		
19.					Buy (add'l)	10/10/14	K		
20.					Buy (add'l)	12/16/14	K		
21. Vanguard Intl Bond Index Investor Shares	A	Dividend			Buy	04/07/14	J		
22.					Buy (add'l)	05/20/14	J		
23.					Buy (add'l)	06/10/14	J		
24.					Sold	06/12/14	J		
25. Vanguard Stock Mkt Index Admiral Shares	B	Dividend	M	T	Buy	04/07/14	K		
26.					Buy (add'l)	05/20/14	K		
27.					Buy (add'l)	06/10/14	K		
28.					Buy (add'l)	07/10/14	K		
29.					Buy (add'l)	10/10/14	K		
30.					Buy (add'l)	12/16/14	K		
31. Vanguard Total Intl Bond Index Admiral Shares	A	Dividend	K	T	Buy	06/12/14	J		
32.					Buy (add'l)	07/10/14	J		
33.					Buy (add'l)	10/10/14	J		
34.					Buy (add'l)	12/16/14	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

Colloton, Steven M.

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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. Vanguard Intl Stock Index Investor Shares		None			Buy	04/07/14	J		
36.					Buy (add'l)	05/20/14	J		
37.					Buy (add'l)	06/10/14	J		
38.					Sold	06/12/14	K		
39. Nationwide Life Insurance Company - Whole Life Policy	A	Dividend	J	U					
40. FNBO Direct - Account	A	Interest	J	T					
41. HSBC - Account	A	Interest			Closed	05/16/14	L		
42. Coll. Svgs Iowa 529 Plan Accts, Mod. Gr. Port. (no control)		None	N	T	Buy (add'l)	12/31/14	J		
43. U of IA, Rec Facs Rev Bond, 4.1%, Due - 7/1/2019	A	Interest	J	T					
44. U of IA, Rec Facs Rev Bond, 4.5%, Due - 7/1/2027	A	Interest	J	T					
45. U of IA, Rec Acad Bldg Bond, 4%, Due - 7/1/2017	A	Interest	J	T					
46. U of IA, Rec Facs Rev Bond, 4%, Due - 7/1/2018	A	Interest	K	T					
47. Federated Institutional Tr Hi Yield Bond Fund	A	Dividend			Sold	01/09/14	J	A	
48. IA SUI Bond, 3.6%, Due - 7/1/2019	A	Interest	J	T					
49. Univ IA Hosp & Clinics Bond, 6.125%, Due - 9/1/2028	B	Interest	K	T					
50. West Branch Iowa Comm School Dist Bond, 4.1%, Due - 7/1/2023	A	Interest	K	T					
51. Iowa St Brd Regents Hosp Rev, 3.4%, Due - 9/1/2023	A	Interest	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	
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	(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)
52. Johnston Comm Sch District Bond, 3.5%, Due - 7/1/2024	A	Interest	K	T	Buy	01/07/14	K		
53. St Univ of IA Acad Bldg-Ser SUI	A	Interest	J	T	Buy	03/12/14	J		
54. TIAA-CREF Equity Index - RTL	A	Dividend	J	T					
55. Founders LLC, common units		None	J	U					
56. KNDR HealthCare LLC, Series A units		None	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Colloton, Steven M.

Date of Report

05/17/2016

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

This report is amended in Part VII, line 42, Part D. During preparation of a financial disclosure report for 2015, filer recognized that a transaction was inadvertently omitted in the financial disclosure report for 2014 dated May 13, 2015.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Colloton, Steven M.

Date of Report

05/17/2016

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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Washington, D.C. 20544