

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) Shields, Thomas J.	2. Court or Organization Southern District of Iowa	3. Date of Report 5/22/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Full-Time 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 131 E. 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. Trustee	Trust
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.)*

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.

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.)*

	<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.	The National Bank	Line of Credit and Mortgage	N
2.	Bank of America	Mortgage	M
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. National Bancorp.	A	Dividend	M	T					
2. Metropolitan Life Ins.	A	Dividend	J	T					
3. Mass. Mutual Life Ins.	A	Dividend	M	T					
4. Northwest Mutual Life Ins.	A	Dividend	M	T					
5. Vanguard Keogh - Lane & Waterman	A	Dividend	J	T					
6. IRA - SMITH BARNEY:									
7. Dreyfus Money Market	C	Interest	M	T					
8. Dreyfus Liquid Assets - Money Market	A	Interest	J	T					
9. Chicago Bridge & Iron	A	Dividend	J	T					
10. EBay, Inc.	A	Dividend	J	T					
11. Glaxo Smith Kline	A	Dividend	J	T					
12. Goldman Sachs Group	A	Dividend	J	T					
13. United Health	A	Dividend	J	T					
14. Wells Fargo	A	Dividend	J	T					
15. MSCI Brazil Index	A	Dividend	J	T					
16. MSCI Japan	A	Dividend	J	T					
17. TR Dow Jones Select	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 = \$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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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. TR S&P 500 Index Fund	A	Dividend	K	T					
19. TR MSCI EAFE Index	A	Dividend	K	T					
20. Alliance Bernstein	A	Dividend	K	T					
21. Henderson European	A	Dividend	K	T					
22. Henderson Int'l	A	Dividend	K	T					
23. Loomis Sayles	A	Dividend	J	T					
24. Munder TR Midcap	A	Dividend	K	T					
25. Oppenheimer SER	A	Dividend	K	T					
26. RS Value Fund	A	Dividend	J	T					
27. Royce Premier	A	Dividend	J	T					
28. Royce Value Plus	A	Dividend	J	T					
29. Van Kampen FDS	A	Dividend	K	T					
30. AB Global Gov't Income	A	Interest	J	T					
31. Petrobras	A	Dividend	J	T					
32. Principal Fin. Group, Inc.	A	Dividend	J	T					
33. Calamos Global	A	Dividend	J	T					
34. Ford Motor Co.	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	
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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				
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35. Goldman Sachs TR	A	Dividend	L	T					
36. Hartford Fin. Services	A	Dividend	J	T					
37. Intrepid Potash Inc.	A	Dividend	J	T					
38. Janis Forty Fund	A	Dividend	J	T					
39. NBIA, Inc.	A	Dividend	J	T					
40. iShares S & P	A	Dividend	L	T					
41. Principal Fin. Group	A	Dividend	J	T					
42. Sentinel Short Maturity	A	Dividend			Sold	08/31/12	K	E	
43. VISA Inc. Com.	A	Dividend	K	T					
44. NYSE Euronext	A	Dividend	J	T					
45. IRA-SMITH BARNEY									
46. Seadrill Ltd	B	Dividend	J	T					
47. Bank of America	A	Dividend	J	T					
48. Dreyfus Liquid Assets-Money Market	A	Interest	J	T					
49. Chicago Bridge & Iron	A	Dividend	J	T					
50. EBAY, Inc.	A	Dividend	J	T					
51. Goldman Sachs	A	Dividend	J	T					

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52. United Health	A	Dividend	J	T					
53. Wells Fargo	A	Dividend	J	T					
54. MSCI Brazil Index	A	Dividend	J	T					
55. MSCI Japan Index	A	Dividend	J	T					
56. IShares MSCI Japan Index Fund	A	Dividend	J	T					
57. Principal Fin. Group	A	Dividend	J	T					
58. Visa, Inc.	A	Dividend	J	T					
59. [REDACTED] TRUST:									
60. Dynegy Inc. New (Holding Co)	A	Dividend	J	T					
61. Huntington Natl Bank 4% 05 CTF of Deposit	A	Dividend	J	T					
62. Bristol Myers Squibb Co.	A	Dividend	J	T					
63. Citibank NA South Dakota-Money Market	B	Interest	K	T					
64. Firstenergy Corp.	A	Dividend	J	T					
65. IShares TR S&P	A	Dividend	K	T					
66. Citadel Broadcasting	A	Dividend	J	T					
67. Citigroup	A	Dividend	J	T					
68. Walt Disney Co.	A	Dividend	J	T					

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69. Entergy Corp	A	Dividend	K	T					
70. FerrellGas Partnership	A	Dividend	J	T					
71. Firstenergy Corp.	A	Dividend	L	T					
72. Ford Motor Co.	A	Dividend	J	T					
73. JP Morgan Chase	A	Dividend	J	T					
74. Puget Energy	A	Dividend	J	T					
75. Travelers Companies	A	Dividend	J	T					
76. Zimmer Holdings	A	Dividend	J	T					
77. Corts Trust for Bellsouth	A	Dividend	J	T					
78. Morgan Stanley Cap	A	Dividend	K	T					
79. Ivy Asset Strategy	A	Dividend	K	T					
80. General Growth	A	Dividend	J	T					
81. General Electric	A	Dividend	J	T					
82. Blackrock Int'l	A	Dividend	K	T					
83. Eaton Vance Tax Managed	A	Dividend	J	T					
84. Eaton Vance Global	B	Interest	J	T					
85. TR S&P 500 Index	A	Dividend	L	T					

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86. American Balanced Fund	A	Dividend	L	T					
87. Western Asset Money Fund-Money Market	C	Interest	J	T					
88. Federal Home Loan	A	Interest	J	T					
89. Federal Home Loan	A	Interest	J	T					
90. FHLB 5.52%	A	Dividend	J	T					
91. ING Clarion Global Real Estate	A	Dividend	L	T					
92. Bank of America	A	Dividend	J	T					
93. Chicago Bridge & Iron	A	Dividend	J	T					
94. Chicago Bridge & Iron	A	Dividend	J	T					
95. Goldman Sachs	A	Dividend	J	T					
96. Goldman Sachs	A	Dividend	J	T					
97. NBIA, Inc.	A	Dividend	J	T					
98. Petrobras	A	Dividend	J	T					
99. Citigroup	A	Dividend	J	T					
100. Bank of America	A	Dividend	J	T					
101. Seadrill Ltd.	E	Dividend	J	T					
102. BP PLC SPONS ADR	E	Dividend	J	T					

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(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	
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103. Hospitality PPTYS Trust	E	Dividend	J	T					
104. Southern Copper Corp.	E	Dividend	J	T					

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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