AO 10
Rev. 1/2021

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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)	2. Court or Organization	3. Date of Report
Colloton, Steven M.	US Ct. of Appeals-8th Circuit	05/16/2022
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
U.S. Circuit Judge - Active	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
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.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Co-Trustee	Trust #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.		

Name of Person Reporting	Date of Report
Colloton, Steven M.	05/16/2022

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.	2021	Self-employed provider of health care business services
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.					

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
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.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

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Colloton, Steven M.	05/16/2022

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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	B	Dividend			Sold	11/05/21	L	E	
3. Vanguard Long-Term Tax-Exempt Fund Investor Shares	A	Dividend	K	T					
4. Vanguard Total International Stock Index Fund Admiral Shares	C	Dividend	L	T					
5. Vanguard Ext. Market Index Fund Admiral Shares	B	Dividend	M	T	Sold (part)	05/24/21	J	D	
6.					Sold (part)	06/29/21	J	D	
7. Vanguard 500 Index Fund Admiral Shares	C	Dividend	N	T					
8. Vanguard Intermediate Term Tax-Exempt Fund Admiral Shares	D	Dividend	N	T					
9. Vanguard Total Stock Mkt Index Fund Admiral Shares	C	Dividend	N	T					
10. Vanguard Total Intl Bond Index Fund Admiral Shares	B	Dividend	K	T					
11. Nationwide Life Insurance Company - Whole Life Policy	A	Dividend	J	U					
12. Coll Svgs IA 529 Plan, Mod Gr Age-Based Track: Inc. Port. (no ctrl)		None	O	T	Distributed (part)	08/09/21	J	B	
13. Iowa St Brd Regents Hosp Rev, 3.4%, Due - 9/1/2023	A	Interest			Redeemed	09/01/21	J		
14. Johnston Comm Sch District Bond, 3.5%, Due - 7/1/2024	A	Interest	K	T					
15. TIAA-CREF Equity Index - RTL		None			Sold	07/21/21	J	B	
16. KNDR HealthCare LLC, Series A units (provider of health care bus svc)		None	J	T					
17. [redacted] Trust #1 (H)									

1 Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2 Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3 Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

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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	B		C		D				
	Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
	Place "(X)" after each asset exempt from prior disclosure	(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.	-Baxter Intl Inc - Common Stock	B	Dividend			Sold	11/15/21	M	F	
19.	-Takeda Pharmaceutical Co. - ADR	B	Dividend			Sold	11/08/21	K		
20.	-Edwards Lifesciences Corp - Common Stock		None			Sold	11/08/21	L	F	
21.	-MidWestOne Financial Group Inc - Common Stock	B	Dividend			Sold	11/05/21	M	E	
22.	-Johnston Comm Sch District Infrastructure Bd, 3.5%, Due - 7/1/2004	A	Interest	K	T					
23.	-MidWestOne Bank - Cash Accounts	A	Interest	L	T					
24.	-Vanguard Intermediate Term Tax-Exempt Fund Admiral Shares	B	Dividend	M	T	Buy (add'l)	05/24/21	J		
25.						Buy (add'l)	08/16/21	J		
26.	-Vanguard Total Stock Mkt Index Fund Admiral Shares	B	Dividend	N	T	Buy	11/05/21	M		
27.						Buy (add'l)	11/08/21	L		
28.						Buy (add'l)	11/15/21	M		

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	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2 Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII, Line 12: On September 7, 2021, all units in the Moderate Growth Age-Based Track: Blended Conservative Growth Portfolio were automatically exchanged for units in the Income Portfolio based on the age of the beneficiary.

Part VII, Line 24: The description of the asset is adjusted, but it is the same asset identified in the 2020 report at Part VII, Line 24.

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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/ 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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