AO 10
Rev. 3/2023

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

*Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)*

| 1. Person Reporting (last name, first, middle initial) | 2. Court or Organization | 3. Date of Report |
|---|---|---|
| Colloton, Steven M. | U.S. Court of Appeals for the Eighth Circuit | 5/14/2024 |
| **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<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☐ Amended Report | 01/01/2023 **to** 12/31/2023 |
| **7. Chambers or Office Address** | | |
| 111 Locust Street, Suite 611<br>Des Moines, IA 50309 | | |

***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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ NONE *(No reportable positions.)*

| | POSITION | NAME OF ORGANIZATION/ENTITY |
|---|---|---|
| 1. | Co-Trustee | [redacted] Trust #1 |
| 2. | | |
| 3. | | |
| 4. | | |
| 5. | | |

## II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements.)*

☑ NONE *(No reportable agreements.)*

| | DATE | PARTIES AND TERMS |
|---|---|---|
| 1. | | |
| 2. | | |
| 3. | | |

## III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

### 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 |
|---|---|---|
| 1. | 2023 | 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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ 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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

| | SOURCE | DESCRIPTION | VALUE |
|---|---|---|---|
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

## VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☐ NONE *(No reportable liabilities.)*

| | CREDITOR | DESCRIPTION | VALUE CODE |
|---|---|---|---|
| 1. | Pepperdine University | Tuition Agreement | None |
| 2. | Council on International Educational Exchange | Tuition Agreement | None |
| 3. | | | |
| 4. | | | |
| 5. | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Colloton, Steven M.** | 5/14/2024 |

## VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (1) Amount Code 1 (A-H) | B. (2) Type (e.g., div., rent, or int.) | C. Gross value at end of reporting period (1) Value Code 2 (J-P) | C. (2) Value Method Code 3 (Q-W) | D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption) | D. (2) Date mm/dd/yy | D. (3) Value Code 2 (J-P) | D. (4) Gain Code 1 (A-H) | |
|---|---|---|---|---|---|---|---|---|---|---|
| 1. | MidWestOne Bank - cash accounts | A | Interest | L | T | | | | | |
| 2. | Vanguard Long-Term Tax-Exempt Fund Investor Shares | A | Dividend | K | T | | | | | |
| 3. | Vanguard Total International Stock Index Fund Admiral Shares | C | Dividend | L | T | | | | | |
| 4. | Vanguard Ext. Market Index Fund Admiral Shares | B | Dividend | L | T | | | | | |
| 5. | Vanguard 500 Index Fund Admiral Shares | C | Dividend | N | T | | | | | |
| 6. | Vanguard Intermediate Term Tax-Exempt Fund Admiral Shares | D | Dividend | N | T | | | | | |
| 7. | Vanguard Total Stock Mkt Index Fund Admiral Shares | D | Dividend | N | T | | | | | |
| 8. | Vanguard Total Intl Bond Index Fund Admiral Shares | B | Dividend | K | T | | | | | |
| 9. | Coll Svgs IA 529 Plan, Mod Gr Age-Based Track: Inc. Port. (no ctrl) | | None | | | Distributed (part) | 01/09/23 | J | B | |
| 10. | | | | | | Distributed (part) | 08/21/23 | K | E | |
| 11. | Coll Svgs IA 529 Plan, Mod Gr Age-Based Track: Bl Inc. Port. (no ctrl) | | None | N | T | Distributed (part) | 01/09/23 | J | C | |
| 12. | Coll Svgs IA 529 Plan, Mod Gr Age-Based Track: Int Acc Port (no ctrl) | | None | N | T | Distributed (part) | 07/24/23 | J | A | |
| 13. | | | | | | Distributed (part) | 10/17/23 | J | C | |
| 14. | | | | | | Distributed (part) | 12/01/23 | K | D | |
| 15. | | | | | | Distributed (part) | 12/27/23 | J | A | |
| 16. | KNDR HealthCare LLC, Series A units (provider of health care bus svc) | A | Interest | J | T | | | | | |
| 17. | 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

| Name of Person Reporting | Date of Report |
|---|---|
| **Colloton, Steven M.** | 5/14/2024 |

## VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (1) Amount Code 1 (A-H) | B. (2) Type (e.g., div., rent, or int.) | C. Gross value at end of reporting period (1) Value Code 2 (J-P) | C. (2) Value Method Code 3 (Q-W) | D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption) | D. (2) Date mm/dd/yy | D. (3) Value Code 2 (J-P) | D. (4) Gain Code 1 (A-H) | |
|---|---|---|---|---|---|---|---|---|---|
| 18. -MidWestOne Bank - cash accounts | B | Interest | K | T | | | | | |
| 19. -Vanguard Intermediate Term Tax-Exempt Fund Admiral Shares | C | Dividend | M | T | | | | | |
| 20. -Vanguard Total Stock Mkt Index Fund Admiral Shares | C | Dividend | N | T | | | | | |
| 21. Trust #2 (H) - beneficiary | | | | | | | | | |
| 22. -Venerable Ins. & Ann. Co. - whole life policy | A | Dividend | J | T | | | | | |
| 23. -TIAA-CREF - whole life policy #1 | A | Dividend | J | T | | | | | |
| 24. -TIAA-CREF - whole life policy #2 | A | Dividend | J | T | | | | | |
| 25. -Nassau Re - whole life policy | D | Dividend | O | T | | | | | |
| 26. -Prudential Ins. Co. - whole life policy | E | Dividend | O | T | | | | | |
| 27. -IA Higher Ed Ln Auth-Ref Grin Coll Fac Prj Rev Bond, 3% due 12/1/29 | A | Interest | K | T | | | | | |
| 28. -Waukee Iowa General Obligation Urban Renewal Bond, 3.25% due 6/1/32 | A | Interest | J | T | | | | | |
| 29. -MidWestOne Bank - cash accounts | A | Interest | J | T | | | | | |

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

| Name of Person Reporting | Date of Report |
|---|---|
| **Colloton, Steven M.** | 5/14/2024 |

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

Part VII, lines 11 and 12: On May 4, 2023, units in the Moderate Growth Age-Based Track: Blended Income Portfolio were automatically exchanged for units in the Interest Accumulation Portfolio based on the age of the beneficiary.
Part VII, lines 9 and 11: On September 5, 2023, units in the Moderate Growth Age-Based Track: Income Portfolio were automatically exchanged for units in the Blended Income Portfolio based on the age of the beneficiary.
Part VII, lines 9, 11, and 12, Column B: College Savings Iowa 529 Plan reports a "unit price" and does not provide income information.

| Name of Person Reporting | Date of Report |
|---|---|
| **Colloton, Steven M.** | 5/14/2024 |

## 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. § 13141 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. § 13106)**

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite G-330
One Columbus Circle, N.E.
Washington, D.C. 20544