AO 10
Rev. 1/2018

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
Gritzner, James E.	U.S. District Court SDIA	05/02/2022
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**
Senior Status	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
U.S. Courthouse 123 East Walnut Street 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 pp. 9-13 of filing instructions)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Trustee	Dakota Wesleyan University
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.		

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.					

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.			

Name of Person Reporting	Date of Report
Gritzner, James E.	05/02/2022

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. Brokerage Acct. #1									
2. -USB Cash Reseerves Fund	A	Dividend	J	T					
3. -Baird Strategic Muni Bond Fd	A	Dividend	K	T	Buy	06/25/21	J		
4. -Bank of America PFD 5.875%	A	Dividend	J	T					
5. -Columbia Mortgage Opportunities	A	Dividend			Buy	08/31/21	J		
6.					Sold	12/28/21	J		
7. -FPA New Income	A	Dividend	K	T					
8. -Pimco Short Duration Muni Fc	A	Dividend			Sold	11/05/21	K	A	
9. -Pimco High Yield Muni Bond Fund	A	Dividend	K	T	Buy	11/05/21	K		
10. -Pimxo Mortgage Oppty and Bond Fd	A	Dividend	J	T	Buy	12/28/21	J		
11. -Wells Faergo & Co. Pfd	A	Dividend			Sold	08/31/21	J	A	
12. IRA#1									
13. -USB Liquid Assets Fd	A	Dividend	J	T					
14. -Bank of America Corp. Prfd 6.00%	B	Dividend			Sold	12/31/21	K	B	
15. -Columbia Mortgage Opps Fd	A	Dividend	K	T	Buy	09/23/21	K		
16. -Doubleline Low Dur. Bond fd.	C	Dividend	M	T	Sold (part)	12/13/21	K		
17. -Eaton Vance Floating Rate Adv Fd	B	Dividend	K	T	Buy	01/11/21	K		

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	
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Gritzner, James E.	05/02/2022

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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Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
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18. -Federated Hermes Kaufman	A	Dividend	J	T					
19. -FPA New Income	A	Dividend	L	T					
20. -JPMorgan Chase Pfd 3.875%	B	Dividend	L	T					
21. -KKR & Co Pfd 6.5%	B	Dividend			Redeemed	09/15/21	K		
22. -MFS Intl. Value	B	Dividend	K	T					
23. -Morgan Stanley Ser	C	Dividend	K	T					
24. -PIMCO All Assets	D	Dividend	M	T					
25. -Principal Midcap Fd.	C	Dividend	K	T					
26. -Schwab US Tips Etf					Sold	01/11/21	K		
27. -Spider S&P 500 ETF	A	Dividend	L	T					
28. -T Rowe Price Global	C	Dividend	K	T					
29. -UBS US Quality Growth	C	Dividend	M	T	Buy	11/19/21	M		
30. IRA #2									
31. -UBS Bank USA	A	Dividend	J	T					
32. -Abbott Labs	A	Dividend			Buy	01/27/21	J		
33.					Buy (add'l)	01/28/21	J		
34.					Buy (add'l)	06/02/21	J		

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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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35.						Buy (add'l)	06/03/21	J		
36.						Sold	11/17/21	J	A	
37.	-Accenture PLC Ireland CL A	A	Dividend	J	T	Sold (part)	06/21/21	J	A	
38.						Sold (part)	06/22/21	J	A	
39.						Sold (part)	07/16/21	J	A	
40.						Sold (part)	07/19/21	J	A	
41.						Sold (part)	08/23/21	J	A	
42.						Sold (part)	08/24/21	J	A	
43.						Sold (part)	08/25/21	J	A	
44.						Sold (part)	08/26/21	J	A	
45.	-Adobe Systems Inc. (Delaware)					Sold (part)	08/20/21	J	A	
46.						Sold	11/17/21	J	C	
47.	-Alphabet Inc CL A					Sold (part)	01/25/21	J	A	
48.						Sold	11/17/21	J	D	
49.	-Amazon.com					Sold	11/17/21	J	C	
50.	-Ameriprise Financial Inc.					Sold (part)	03/09/21	J	A	
51.						Sold (part)	03/10/21	J	A	

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Q =Appraisal R =Cost (Real Estate Only) S =Assessment T =Cash Market
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52.					Sold (part)	05/21/21	J	A	
53.					Sold (part)	10/01/21	J	A	
54.					Sold	11/17/21	J	B	
55. -Apple, Inc.					Sold	11/17/21	J	B	
56. -American Tower Credit REIT					Sold (part)	06/21/21	J	A	
57.					Sold (part)	06/22/21	J	A	
58.					Sold (part)	08/30/21	J	A	
59.					Sold (part)	10/01/21	J	A	
60.					Sold	11/17/21	J	A	
61. -Applied Materials Inc					Buy	03/09/21	J		
62.					Buy (add'l)	03/10/21	J		
63.					Buy (add'l)	06/21/21	J		
64.					Buy (add'l)	06/22/21	J		
65.					Buy (add'l)	08/23/21	J		
66.					Buy (add'l)	08/24/21	J		
67.					Buy (add'l)	08/25/21	J		
68.					Sold	11/17/21	J	A	

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69. -Brookings Holdings					Buy	09/22/21	J		
70.					Sold	11/17/21	J		
71. -Boston Scientific					Buy	02/24/21	J		
72.					Buy (add'l)	02/25/21	J		
73.					Buy (add'l)	02/26/21	J		
74.					Sold	11/17/21	J	A	
75. -Comcast Corp New Clk					Sold (part)	03/09/21	J	A	
76.					Sold (part)	03/10/21	J	A	
77.					Sold (part)	05/21/21	J	A	
78.					Sold (part)	06/21/21	J	A	
79.					Sold (part)	06/22/21	J	A	
80.					Sold	06/23/21	J	A	
81. -Costco Wholesale Corp.					Buy (add'l)	06/21/21	J		
82.					Buy (add'l)	06/22/21	J		
83.					Sold	11/17/21	J	B	
84. -Danaher Corp.					Sold (part)	01/27/21	J	A	
85.					Sold (part)	08/03/21	J	A	

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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.)*

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86.					Sold (part)	08/03/21	J	A	
87.					Sold	11/17/21	J	B	
88. -Dollar Gen Corp New					Sold	11/17/21	J	A	
89. -Facebook Inc.					Buy (add'l)	01/26/21	J		
90.					Sold (part)	05/24/21	J	A	
91.					Sold (part)	08/03/21	J	A	
92.					Sold (part)	08/03/21	J	A	
93.					Sold (part)	09/30/21	J	A	
94.					Sold	11/17/21	J	C	
95. -Fidelity Nat'. Information					Sold	11/17/21	J		
96. -Home Depot Inc.					Sold (part)	04/27/21	J	A	
97.					Buy (add'l)	06/21/21	J		
98.					Buy (add'l)	06/22/21	J		
99.					Buy (add'l)	06/23/21	J		
100.					Sold (part)	09/30/21	J	A	
101.					Sold (part)	10/01/21	J	A	
102.					Sold	11/17/21	J	A	

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103. -Honeywell Intl.					Sold (part)	04/23/21	J	A	
104.					Sold (part)	04/26/21	J	A	
105.					Sold (part)	04/27/21	J	A	
106.					Sold	11/17/21	J	A	
107. -Intercontinental Exchange Grp					Sold	11/17/21	J	A	
108. -Lauder Estee Cos.					Sold	11/17/21	J	A	
109. -Lowes Companies Inc					Sold (part)	04/23/21	J	A	
110.					Sold (part)	04/27/21	J	A	
111.					Buy (add'l)	09/30/21	J		
112.					Buy (add'l)	10/01/21	J		
113.					Sold	11/17/21	J	B	
114. -Metronic PLC					Sold (part)	02/24/21	J	A	
115.					Sold	11/17/21	J	B	
116. -Microsoft					Buy (add'l)	06/21/21	J		
117.					Buy (add'l)	06/22/21	J		
118.					Buy (add'l)	08/02/21	J		
119.					Buy (add'l)	08/03/21	J		

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120.					Sold	08/17/21	K	D	
121. -Mondelez Intl					Sold (part)	01/29/21	J	A	
122.					Sold	02/01/21	J	A	
123. -Nike Inc					Buy	09/30/21	J		
124.					Buy (add'l)	10/01/21	J		
125.					Buy (add'l)	10/04/21	J		
126.					Sold	11/17/21	J	A	
127. -OReilly Automotive Inc.					Buy (add'l)	01/29/21	J		
128.					Sold (part)	10/04/21	J	A	
129.					Sold	11/17/21	J	B	
130. -Parker Hannifin Corp.					Sold (part)	04/26/21	J	A	
131.					Sold (part)	04/28/21	J	A	
132.					Buy (add'l)	08/03/21	J		
133.					Sold	11/17/21	J	B	
134. -Rockwell Automation Inc.					Sold	11/17/21	J	A	
135. -Sales Force.com					Buy	01/29/21	J		
136.					Buy (add'l)	02/01/21	J		

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
Gritzner, James E.	05/02/2022

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)
137.					Sold	11/17/21	J	B	
138. -Sherwin Williams Co.					Sold	11/17/21	J	B	
139. -Texas Instruments					Buy	03/09/21	J		
140.					Buy (add'l)	03/10/21	J		
141.					Buy (add'l)	06/21/21	J		
142.					Buy (add'l)	06/22/21	J		
143.					Buy (add'l)	07/16/21	J		
144.					Buy (add'l)	07/19/21	J		
145.					Sold	11/17/21	J	A	
146. -Thermo Fisher Scientific					Sold (part)	01/27/21	J	A	
147.					Sold (part)	01/28/21	J	A	
148.					Sold (part)	03/10/21	J	A	
149.					Sold (part)	06/22/21	J	A	
150.					Sold (part)	08/03/21	J	A	
151.					Sold	11/17/21	J	B	
152. -TJX Cos. Inc.					Buy (add'l)	08/03/21	J		
153.					Buy (add'l)	08/03/21	J		

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
Gritzner, James E.	05/02/2022

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)
154.					Buy (add'l)	08/04/21	J		
155.					Sold	11/17/21	J	B	
156. -Union Pacific Corp					Buy	04/23/21	J		
157.					Buy (add'l)	04/26/21	J		
158.					Buy (add'l)	04/27/21	J		
159.					Buy (add'l)	04/28/21	J		
160.					Buy (add'l)	06/21/21	J		
161.					Buy (add'l)	06/22/21	J		
162.					Buy (add'l)	06/23/21	J		
163.					Buy (add'l)	08/03/21	J		
164.					Buy (add'l)	08/03/21	J		
165.					Sold	11/17/21	J	A	
166. -United Health Group					Sold (part)	02/24/21	J	A	
167.					Sold (part)	03/09/21	J	A	
168.					Sold (part)	03/10/21	J	A	
169.					Sold (part)	06/02/21	J	A	
170.					Sold (part)	06/03/21	J	A	

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	
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Name of Person Reporting	Date of Report
Gritzner, James E.	05/02/2022

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)
171.					Sold (part)	06/21/21	J	A	
172.					Sold (part)	06/22/21	J	A	
173.					Sold	11/17/21	J	B	
174. -VISA Inc. CL A					Buy (add'l)	02/01/21	J		
175.					Buy (add'l)	02/02/21	J		
176.					Sold	11/17/21	J	B	
177. West Des Moines State Bank	A	Interest	K	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	
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Name of Person Reporting	Date of Report
Gritzner, James E.	05/02/2022

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

Name of Person Reporting	Date of Report
Gritzner, James E.	05/02/2022

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/ James E. Gritzner

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