AO 10
Rev. 1/2018

FINANCIAL DISCLOSURE REPORT
FINAL FILING

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	09/11/2023
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**
Inactive Senior Status	☐ Nomination Date ☐ Initial ☐ Annual ☑ Final **5b.** ☑ Amended Report	01/01/2022 **to** 06/30/2023
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.	09/11/2023

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	Interest	J	T					
3. -UBS FDIC Insured Dep	A	Interest	L	T					
4. -Baird Strategic Muni Bond Fd	A	Dividend			Buy (add'l)	06/04/22	K		
5.					Sold	05/24/23	J		
6. -Bank of America PFD 5.875%	A	Dividend			Buy (add'l)	04/26/22	K		
7.					Sold	06/02/22	K	A	
8. `-JP Morgan Ultra-short Income	A	Dividend	L	T	Buy	03/03/23	L		
9. -Eaton Vance Short Duration Govt	A	Dividend			Buy	05/06/22	J		
10.					Buy (add'l)	07/12/22	K		
11.					Sold	06/21/22	J		
12. -FPA New Income	A	Dividend			Sold	03/28/22	K		
13. -Goldman Sachs Hi Yld Muni Fd	A	Dividend			Buy	05/25/22	K		
14.					Buy (add'l)	01/11/22	K		
15.					Sold (part)	04/13/22	K		
16.					Sold	09/12/22	K		
17. -Lazard Global Listed Infra Fd	B	Dividend			Buy	03/31/22	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	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Gritzner, James E.	09/11/2023

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.		A	Dividend			Sold	05/24/23	K		
19.	-MFSMunicipal Limited Fd	A	Dividend			Buy	04/14/22	K		
20.						Sold	05/25/22	K		
21.	-Pimco Short Duration Muni Fd	A	Dividend			Buy (add'l)	06/07/22	J		
22.						Sold	07/12/22	K		
23.	-Pimco High Yield Muni Bond Fund	A	Dividend			Sold	01/11/22	K		
24.	-Pimco Inv Grade Credit Bond	A	Dividend	L	T	Buy	05/24/23	L		
25.	-Pimxo Mortgage Oppty and Bond Fd	A	Dividend			Buy (add'l)	07/29/22	J		
26.		A	Dividend			Sold (part)	05/09/22	J		
27.		A	Dividend			Sold	05/24/23	J		
28.	-US Treasury Bill 12/15/2022					Buy	09/12/22	K		
29.						Sold	09/26/22	J	A	
30.	-US Treasury Bill 3/9/23					Buy	09/12/22	K		
31.						Redeemed	09/26/22	J	A	
32.	-US Treasury Bill 1/19/2023			M	T	Buy	10/18/22	M		
33.	-US Treasury Bill 4/20/2023					Buy	10/18/22	M		
34.						Redeemed	04/20/23	M		

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		
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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				
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)
35. -US Treasury Note 11/15/2023	A	Interest	J	T	Buy	09/26/22	J		
36. -US Treasury Note 11/30/2023	A	Interest	M	T	Buy	10/18/22	M		
37. -US Treasury Bill 10/19/2023			K	T	Buy	05/24/23	K		
38. -US Treasury Note 4/30/2023			N	T	Buy	04/28/23	N		
39. IRA#1									
40. -USB Liquid Assets Fd	A	Dividend	L	T					
41. -Bank of America Pfd 5.375%	A	Dividend			Buy	03/08/22	K		
42.					Sold	06/02/22	K		
43. -Citigroup 4.3%	A	Interest	K	T	Buy	10/19/22	K		
44. -Cohen & Steers Ltd	C	Dividend			Buy	06/02/22	L		
45.	B	Dividend			Sold	04/27/23	L		
46. -Columbia Mortgage Opps Fd	A	Dividend			Sold (part)	04/20/22	K		
47. -Doubleline Low Dur. Bond fd.	A	Dividend			Sold (part)	01/20/22	L		
48.					Sold	02/22/22	L		
49. -Eaton Vance Floating Rate Adv Fd	B	Dividend			Buy (add'l)	01/20/22	M		
50.					Sold (part)	03/17/22	K		
51.					Sold	05/20/22	M		

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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52. -Federated Hermes Kaufman	A	Dividend			Sold	02/22/22	K	C	
53. -Federated Hermes Govt Fund	A	Dividend	K	T	Buy	04/25/23	J		
54.					Buy (add'l)	06/16/23	J		
55. -Fidelity Investment Grade Bond	A	Dividend	L	T	Buy	03/02/23	L		
56. -First Eagle Global Funds	B	Dividend			Buy	04/07/22	K		
57. -FPA New Income	C	Dividend			Buy (add'l)	06/02/22	M		
58.					Buy (add'l)	07/06/22	L		
59.					Sold (part)	03/28/22	L		
60.					Sold (part)	09/14/22	L		
61.					Sold	10/03/22	M		
62. -JPMorgan Chase Pfd 3.875%					Sold	01/20/22	K	C	
63. -JPMorgan Ultra Short Income	A	Dividend			Buy	11/02/22	L		
64.					Buy (add'l)	11/08/22	L		
65.					Buy (add'l)	12/06/22	L		
66.					Sold (part)	12/20/22	J	A	
67.					Buy (add'l)	04/03/23	K		
68. Lazard Global Listed Infras Fd	B	Dividend			Buy	03/25/22	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
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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	
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☐ NONE *(No reportable income, assets, or transactions.)*

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69.						Buy (add'l)	03/29/22	K		
70.						Sold	05/10/22	L	A	
71.	-MFS Intl. Value					Sold	03/10/22	K		
72.	-Morgan Stanley Ser	B	Dividend			Sold (part)	06/02/22	K		
73.						Sold	10/17/22	K		
74.	-Morgan Stanley Pfd 6.375%		Dividend	L	T	Buy	04/27/23	L		
75.	-Neuberger Berman LCV Fd	B	Dividend			Buy	05/10/22	L		
76.	-PIMCO All Assets	B	Dividend			Sold (part)	02/07/22	L	B	
77.						Sold (part)	03/02/22	K	B	
78.						Sold	03/08/22	K	A	
79.	-Pimco Income	A	Dividend			Buy	02/02/23	K		
80.						Sold	03/13/23	K		
81.	-Pimco Investment Grade Bond	A	Dividend	K	T	Buy	03/13/23	K		
82.	-Principal Midcap Fd.	C	Dividend	K	T					
83.	-Spider S&P 500 ETF	B	Dividend	L	T	Buy (add'l)	02/22/22	K		
84.						Buy (add'l)	03/10/22	K		
85.						Sold (part)	11/29/22	K	D	

1 Income Gain Codes: (See Columns B1 and D4)
A =$1,000 or less
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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
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86. -The Ishares MSCI Emerging Mkts EFT	A	Dividend	K	T	Buy	11/29/22	K		
87. -T Rowe Price Fltg Rate	A	Dividend			Buy	04/14/22	K		
88.					Buy (add'l)	04/20/22	K		
89.					Buy (add'l)	05/10/22	K		
90.					Buy (add'l)	05/20/22	M		
91. -T Rowe Price Global					Sold	04/07/22	K		
92. -UBS US Quality Growth	A	Dividend			Sold (part)	06/02/22	K		
93.	A	Dividend			Sold	03/02/23	L		
94. -US Treasury Bill 3/30/2023					Buy	10/03/22	L		
95.					Redeemed	03/30/23	J		
96. -US Treasury Bill 12/29/2022			L	T	Buy	09/30/22	K		
97. -Wells Fargop PFD 6.625%	A	Dividend	L	T	Buy	04/03/23	K		
98. IRA #2									
99. -UBS Bank USA	A	Dividend	J	T			M	F	
100. -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
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	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	
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	U =Book Value	V =Other	W =Estimated		

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

Line 85 on the prior report was Accenture PLC Ireland. Due to a typo, at line 92 this should have been shown as sold.

Name of Person Reporting	Date of Report
Gritzner, James E.	09/11/2023

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544