


Financial Disclosures

Candidate Report (Amendment 1)

Ms. Theresa A Greenfield

State of Candidacy: IA | Candidacy Commenced: 06/03/2019

 **Filed 09/04/2019 @ 4:11 PM**

The following statements were checked before filing:

- I certify that the statements I have made on this form are true, complete and correct to the best of my knowledge and belief.
 - I understand that reports cannot be edited once filed. To make corrections, I will submit an *electronic* amendment to this report.
-
- I *omitted* assets because they meet the three-part test for exemption.

Part 1. Honoraria Payments or Payments to Charity in Lieu of Honoraria

Did any individual or organization pay you or your spouse more than \$200 or donate any amount to a charity on your behalf, for an article, speech, or appearance? **No**

Part 2. Earned and Non-Investment Income * Amended

Did you or your spouse have reportable earned income or non-investment income? **Yes**

| # | Who Was Paid | Type | Who Paid | Amount Paid |
|---|--------------|-------|---|--------------|
| 1 | Self | Wages | Colby Management Company Windsor Heights, Iowa | \$229,967.00 |
| 2 | Spouse | Wages | Voice2News LLC St. Louis Park, MN | > \$1,000 |
| 3 | Spouse | Wages | Welland Laike Communications Des Moines, Iowa | > \$1,000 |

Part 3. Assets * Amended

Did you, your spouse, or dependent child own any asset worth more than \$1000, have a deposit account with a balance over \$5,000, or receive income of more than \$200 from an asset? **Yes**

| | Asset | Asset Type | Owner | Value | Income Type | Income |
|-----|---|---------------------------|-------|----------------------|---------------------------|---------------------------|
| 1 | Wells Fargo (Des Moines, Iowa) <i>Type: Checking, Savings,</i> | Bank Deposit | Joint | \$1,001 - \$15,000 | Interest, | \$201 - \$1,000 |
| 2 | Vanguard Roth IRA | Retirement Plans IRA | Self | | | |
| 2.1 | VTTHX - Vanguard Target Retirement 2035 Fund Investor Shar | Mutual Funds Mutual Fund | Self | \$15,001 - \$50,000 | Excepted Investment Fund, | None (or less than \$201) |
| 3 | Vanguard Joint Brokerage Account | Brokerage/Managed Account | Joint | | | |
| 3.1 | VIMAX - Vanguard Mid-Cap Index Fund Admiral Shares | Mutual Funds Mutual Fund | Joint | \$50,001 - \$100,000 | Excepted Investment Fund, | \$201 - \$1,000 |
| 3.2 | VSMAX - Vanguard Small-Cap Index Fund Admiral Shares | Mutual Funds Mutual Fund | Joint | \$50,001 - \$100,000 | Excepted Investment Fund, | \$201 - \$1,000 |
| 3.3 | VTSAX - Vanguard Total Stock Market Index Fund Admiral Sha | Mutual Funds Mutual Fund | Joint | \$50,001 - \$100,000 | Excepted Investment Fund, | \$201 - \$1,000 |
| 3.4 | VTTHX - Vanguard Target Retirement 2035 Fund Investor Shar | Mutual Funds Mutual Fund | Joint | \$50,001 - \$100,000 | Excepted Investment Fund, | \$201 - \$1,000 |
| 4 | Theresa Greenfield Cust. Philip R Wirtjes | UGMA/UTMA | Child | | | |
| 4.1 | VFIAX - Vanguard 500 Index Fund Admiral Shares | Mutual Funds Mutual Fund | Child | \$1,001 - \$15,000 | Excepted Investment Fund, | None (or less than \$201) |
| 5 | Theresa Greenfield Cust Dane A Miller | UGMA/UTMA | Joint | | | |
| 5.1 | VFIAX - Vanguard 500 Index Fund Admiral Shares | Mutual Funds Mutual Fund | Joint | \$1,001 - \$15,000 | Excepted Investment | \$201 - \$1,000 |

| | Fund Admiral Shares | Mutual Fund | \$15,000 | Investment Fund | Income | |
|-----|--|---|-----------------|------------------------|---------------------------------|---------------------------|
| 6 | Principal 401k | Asset Type Plans Defined Contribution Pension Plan | Owner | Value | Type | Income |
| 6.1 | PLSAX - Principal LargeCap S&P 500 Index Fund Class A | Mutual Funds Mutual Fund | Self | \$15,001 - \$50,000 | Excepted Investment Fund, | None (or less than \$201) |
| 6.2 | PMFNX - Principal MidCap S&P 400 Index Fund R-2 Class | Mutual Funds Mutual Fund | Self | \$15,001 - \$50,000 | Excepted Investment Fund, | None (or less than \$201) |
| 6.3 | PSSIX - Principal SmallCap S&P 600 Index Fund Institutional | Mutual Funds Mutual Fund | Self | \$15,001 - \$50,000 | Excepted Investment Fund, | None (or less than \$201) |
| 6.4 | PRRAX - Principal Real Estate Securities Fund Class A | Mutual Funds Mutual Fund | Self | \$1,001 - \$15,000 | Excepted Investment Fund, | None (or less than \$201) |
| 6.5 | PICAX - Principal International Small Company Fund Class A | Mutual Funds Mutual Fund | Self | \$1,001 - \$15,000 | Excepted Investment Fund, | None (or less than \$201) |
| 7 | Ameritrade SEP IRA | Brokerage/Managed Account | Spouse | | | |
| 7.1 | BAC - Bank of America Corporation | Corporate Securities Stock | Spouse | \$1,001 - \$15,000 | None, | None (or less than \$201) |
| 7.2 | DXJ - WisdomTree Japan Hedged Equity Fund | Mutual Funds Exchange Traded Fund/Note | Spouse | \$1,001 - \$15,000 | Excepted Investment Fund, | None (or less than \$201) |
| 7.3 | KBE - SPDR S&P Bank ETF | Mutual Funds Exchange Traded Fund/Note | Spouse | \$1,001 - \$15,000 | Excepted Investment Fund, | None (or less than \$201) |
| 7.4 | TYG - Tortoise Energy Infrastructure Corporation | Corporate Securities Stock | Spouse | \$1,001 - \$15,000 | None, | None (or less than \$201) |
| 7.5 | XLP - Consumer Staples Select Sector SPDR Fund | Mutual Funds Exchange Traded Fund/Note | Spouse | \$15,001 - \$50,000 | Excepted Investment Fund, | None (or less than \$201) |
| 7.6 | JAGLX - Janus Henderson | Mutual Funds | Spouse | \$15,001 - | Excepted | None (or less than \$201) |

| | Global Life Sciences Fund Class T | Mutual Fund | | \$50,000 | Investment Fund, | |
|------|--|--|-----------------|--------------------------|---------------------------------|-------------------------------------|
| 7.7 | PRCXX - Money Market Obligations Trust - Federated Prime C | Asset Type Mutual Funds | Owner Spouse | Value \$15,001 - | Type Excepted | Income None (or less than \$201) |
| | | Mutual Fund | | \$50,000 | Investment Fund, | |
| 7.8 | SLMCX - Columbia Seligman Communications and Information F | Mutual Funds Mutual Fund | Spouse | \$1,001 - \$15,000 | Excepted Investment Fund, | None (or less than \$201) |
| 7.9 | TRRHX - T. Rowe Price Retirement 2025 Fund | Mutual Funds Mutual Fund | Spouse | \$100,001 - \$250,000 | Excepted Investment Fund, | None (or less than \$201) |
| 7.10 | Anheuser-Busch InBev Worldwide Senior Note M/W <i>Rate/Coupon: 4.38%</i> <i>Matures: 02/15/2021</i> | Corporate Securities Corporate Bond | Spouse | \$1,001 - \$15,000 | None, | None (or less than \$201) |
| 7.11 | AutoNation Inc. Senior Note M/W <i>Rate/Coupon: 5.5%</i> <i>Matures: 02/01/2020</i> | Corporate Securities Corporate Bond | Spouse | \$1,001 - \$15,000 | None, | None (or less than \$201) |
| 7.12 | Broadcom Corp/Broadcom Cayman Senior Note Callable M/W <i>Rate/Coupon: 3.00%</i> <i>Matures: 01/15/2022</i> | Corporate Securities Corporate Bond | Spouse | \$1,001 - \$15,000 | None, | None (or less than \$201) |
| 7.13 | Cathay Bank Cd Monthly <i>Rate/Coupon: 2.4%</i> <i>Matures: 09/05/2019</i> | Corporate Securities Corporate Bond | Spouse | \$1,001 - \$15,000 | None, | None (or less than \$201) |
| 7.14 | General Motors Final C. Inc. Senior Note <i>Rate/Coupon: 3.45%</i> <i>Matures: 04/10/2022</i> | Corporate Securities Corporate Bond | Spouse | \$1,001 - \$15,000 | None, | None (or less than \$201) |
| 7.15 | Morgan Stanley Bank CD <i>Rate/Coupon: 2.5%</i> <i>Matures: 12/02/2019</i> | Corporate Securities Corporate Bond | Spouse | \$1,001 - \$15,000 | None, | None (or less than \$201) |
| 7.16 | Textron Inc. Senior Medium Term Note <i>Rate/Coupon: 7.25%</i> | Corporate Securities Corporate Bond | Spouse | \$1,001 - \$15,000 | None, | None (or less than \$201) |

| | | | | | | |
|------|---|--|-----------------|-----------------------|---------------------------------|-------------------------------------|
| | <i>Matures: 10/01/2019</i> | | | | | |
| 7.17 | UBS-AG SR Med Term Note <i>Asset</i> <i>Rate/Coupon: 3.00%</i> <i>Matures: 09/13/2021</i> | Corporate Securities Corporate Bond | Spouse Owner | \$1,001 - \$15,000 | Income None, Type | None (or less than \$201) Income |
| 7.18 | Web Bank CD <i>Rate/Coupon: 2.8%</i> <i>Matures: 05/29/2020</i> | Corporate Securities Corporate Bond | Spouse | \$1,001 - \$15,000 | None, | None (or less than \$201) |
| 7.19 | Kraft Heinz Foods Co Senior Note <i>Rate/Coupon: 3.38%</i> <i>Matures: 6/15/2021</i> | Corporate Securities Corporate Bond | Spouse | \$1,001 - \$15,000 | None, | None (or less than \$201) |
| 8 | Ameritrade - Roth IRA | Retirement Plans IRA | Spouse | | | |
| 8.1 | ABC - AmerisourceBergen Corporation | Corporate Securities Stock | Spouse | \$1,001 - \$15,000 | None, | None (or less than \$201) |
| 8.2 | GIS - General Mills, Inc. | Corporate Securities Stock | Spouse | \$1,001 - \$15,000 | None, | None (or less than \$201) |
| 8.3 | PEP - PepsiCo, Inc. | Corporate Securities Stock | Spouse | \$1,001 - \$15,000 | None, | None (or less than \$201) |
| 8.4 | STZ - Constellation Brands, Inc. | Corporate Securities Stock | Spouse | \$1,001 - \$15,000 | None, | None (or less than \$201) |
| 8.5 | PRCXX - Money Market Obligations Trust - Federated Prime C | Mutual Funds Mutual Fund | Spouse | \$1,001 - \$15,000 | Excepted Investment Fund, | None (or less than \$201) |
| 8.6 | TRPHX - T. Rowe Price Retirement I 2025 Fund I Class | Mutual Funds Mutual Fund | Spouse | \$1,001 - \$15,000 | Excepted Investment Fund, | None (or less than \$201) |
| 9 | Ameriprise - Roth Contributory IRA | Retirement Plans IRA | Self | | | |
| 9.1 | AQEAX - Columbia Disciplined Core Fund Class A | Mutual Funds Mutual Fund | Self | \$1,001 - \$15,000 | Excepted Investment Fund, | None (or less than \$201) |
| 10 | Ameriprise - IRA | Retirement Plans IRA | Self | | | |
| 10.1 | TOLGX - DWS DREF Global | Mutual Funds | Self | \$1,001 - | Excepted | None (or less than \$201) |

| 10.1 | <u>IOLCX</u> - DWS KREFF Global Infrastructure Fund - Class C Asset | Mutual Funds Mutual Fund Asset Type | Self Owner | \$15,001 - \$50,000 Value | Excepted Investment Fund, Income Type | None (or less than \$201) Income |
|------|--|---|---------------|---------------------------------|---|-------------------------------------|
| 10.2 | <u>IVFCX</u> - Federated International Strategic Value Dividend F | Mutual Funds Mutual Fund | Self | \$15,001 - \$50,000 | Excepted Investment Fund, | None (or less than \$201) |
| 10.3 | <u>PEQCX</u> - Putnam Equity Income Fund Class C | Mutual Funds Mutual Fund | Self | \$50,001 - \$100,000 | Excepted Investment Fund, | None (or less than \$201) |
| 11 | Fidelity 401k | Retirement Plans Defined Contribution Pension Plan | Self | | | |
| 11.1 | <u>VEXRX</u> - Vanguard Explorer Fund Admiral Shares | Mutual Funds Mutual Fund | Self | \$15,001 - \$50,000 | Excepted Investment Fund, | None (or less than \$201) |
| 11.2 | <u>VIGAX</u> - Vanguard Growth Index Fund Admiral Shares | Mutual Funds Mutual Fund | Self | \$15,001 - \$50,000 | Excepted Investment Fund, | None (or less than \$201) |
| 11.3 | <u>VTSAX</u> - Vanguard Total Stock Market Index Fund Admiral Sha | Mutual Funds Mutual Fund | Self | \$15,001 - \$50,000 | Excepted Investment Fund, | None (or less than \$201) |
| 12 | 103.5 Acres Farmland <i>Description:</i> Farmland (Fairbault County, MN) <i>Filer comment:</i> Farmland owned with three siblings; parents receive rental income | Farm | Self | \$500,001 - \$1,000,000 | None, | None (or less than \$201) |
| 13 | Voice2 News LLC <i>Company:</i> Voice2 News LLC (St. Louis Park, MN) <i>Description:</i> Media | Business Entity Limited Liability Company (LLC) | Spouse | \$1,001 - \$15,000 | Other, (Ordinary Business Income) | Other \$114,959.00 |
| 14 | Welland Laike Communications <i>Company:</i> Welland Laike | Business Entity Limited Liability Company (LLC) | Spouse | \$15,001 - \$50,000 | Other, (Ordinary Business Income) | Other \$23,733.00 |

Communications (Des Moines, IA) *Description:* Communication Services

Asset Type

Owner

Value

Income)
Income Type

Income

Part 4a. Periodic Transaction Report Summary

Not required

Part 4b. Transactions

Not required

Part 5. Gifts

Not required

Part 6. Travel

Not required

Part 7. Liabilities * Amended

Did you, your spouse, or dependent child have a reportable liability worth more than \$10,000 at any time? **No**

Part 8. Positions * Amended

Did you hold any outside positions during the reporting period? **Yes**

| # | Position Dates | Position Held | Entity | Entity Type | Comments |
|---|---------------------|-------------------------------|--|-------------|----------|
| 1 | Mar 2012 to present | Other (President & Secretary) | Colby Management Company Windsor Heights, IA | Company | None |
| 2 | Sep 2012 to present | Other (Secretary) | Warren County Economic Development Corporation | Corporation | None |

| # | Date | Position | Other (Title Held) | Entity (Type) | Comments |
|----|----------------------|---------------------------|--|-----------------------------------|----------|
| 3 | Jan 2017 to Jun 2017 | President | Windsor Heights Chamber of Commerce Windsor Heights, IA | Other (Community Organization) | None |
| 4 | Dec 2013 to present | Other (Manager/President) | Bridgewood Plaza Condominium Owners Association West Des Moines, IA | Company | None |
| 5 | Mar 2012 to present | Other (Managing Director) | Colby Pine Tree LC Windsor Heights, IA | Other (Limited Liability Company) | None |
| 6 | May 2016 to present | Other (Managing Director) | Colby's 4154 Urbandale LC Des Moines, IA | Other (Limited Liability Company) | None |
| 7 | Jun 2017 to present | Other (Managing Director) | Colby's Prairie Cove LC Des Moines, IA | Other (Limited Liability Company) | None |
| 8 | Nov 2014 to present | Other (Managing Director) | Colby's Six LC Windsor Heights, IA | Other (Limited Liability Company) | None |
| 9 | Mar 2012 to present | Other (Managing Director) | Colby's Westbrook Plaza LC Windsor Heights, IA | Other (Limited Liability Company) | None |
| 10 | Apr 2014 to present | Other (Managing Director) | Colby's Bridgewood Plaza LC West Des Moines, IA | Other (Limited Liability Company) | None |
| 11 | Mar 2012 to present | Other (Manager/Director) | Sherwood Forest Company Windsor Heights, IA | Company | None |
| 12 | Nov 2016 to Feb 2017 | Other (Board Member) | Windsor Heights Chamber of Commerce Windsor Heights, IA | Other (Community Organization) | None |

Part 9. Agreements * Amended

Did you have any reportable agreement or arrangement with an outside entity? **Yes**

| # | Date | Parties Involved | Type | Status and Terms |
|---|----------|----------------------------------|--|--|
| 1 | Aug 2005 | Sambatek, Inc. Minnetonka, MN | Continuing participation in an employee benefit plan | Continued participation in defined contribution plan managed by Fidelity. Former employer no longer contributes to the plan. |

Part 10. Compensation * Amended

If this is your first report, or you are a candidate did you receive compensation of more than \$5,000 from a single source in the **two** prior years? **Yes**

| # | Source | Duties |
|---|---|---------------------------------|
| 1 | Colby Management Company Windsor Heights, IA | Real Estate/Property Management |

Attachments & Comments

No attachments added.

No comments added.

Financial Disclosures

Candidate Report

Ms. Theresa A Greenfield

State of Candidacy: IA | Candidacy Commenced: 06/03/2019

 **Filed 07/03/2019 @ 8:38 PM**

The following statements were checked before filing:

- I certify that the statements I have made on this form are true, complete and correct to the best of my knowledge and belief.
- I understand that reports cannot be edited once filed. To make corrections, I will submit an *electronic* amendment to this report.

- I omitted assets because they meet the three-part test for exemption.

Part 1. Honoraria Payments or Payments to Charity in Lieu of Honoraria

Did any individual or organization pay you or your spouse more than \$200 or donate any amount to a charity on your behalf, for an article, speech, or appearance? **No**

Part 2. Earned and Non-Investment Income

Did you or your spouse have reportable earned income or non-investment income? **Yes**

| # | Who Was Paid | Type | Who Paid | Amount Paid |
|---|--------------|---------------------------|---|--------------|
| 1 | Self | Wages | Colby Management Company Windsor Heights, Iowa | \$229,967.00 |
| 2 | Spouse | Wages | Voice2News LLC St. Louis Park, MN | > \$1,000 |
| 3 | Spouse | Partnership Distributions | Voice2News LLC St. Louis Park, MN | > \$1,000 |
| 4 | Spouse | Wages | Welland Laike Communications Des Moines, Iowa | > \$1,000 |
| 5 | Spouse | Partnership Distributions | Welland Laike Communications Des Moines, Iowa | > \$1,000 |

| | | | | |
|---|---------------------------|-----------------------------------|--|--------------------------|
| 5 | Spouse Who Was Paid | Partnership Distributions Type | Welland Laike Communications Des Moines, Iowa Who Paid | > \$1,000 Amount Paid |
|---|---------------------------|-----------------------------------|--|--------------------------|

Part 3. Assets

Did you, your spouse, or dependent child own any asset worth more than \$1000, have a deposit account with a balance over \$5,000, or receive income of more than \$200 from an asset? **Yes**

| | Asset | Asset Type | Owner | Value | Income Type | Income |
|-------|---|------------------------------|-------|-------------------------|--------------------|---------------------------|
| 1 | Wells Fargo (Des Moines, Iowa) Type: Checking, Savings, | Bank Deposit | Joint | \$1,001 - \$15,000 | Interest, | \$201 - \$1,000 |
| 2 | Ameriprise Brokerage | Brokerage/Managed Account | Self | | | |
| 2.1 | Ameriprise Brokerage Roth Contributory IRA | Retirement Plans IRA | Self | | | |
| 2.1.1 | AQEAX - Columbia Disciplined Core Fund Class A | Mutual Funds Mutual Fund | Self | \$1,001 - \$15,000 | Dividends, | None (or less than \$201) |
| 2.2 | Ameriprise Theresa A Greenfield IRA | Retirement Plans IRA | Self | | | |
| 2.2.1 | TOLCX - DWS RREEF Global Infrastructure Fund - Class C | Mutual Funds Mutual Fund | Self | \$15,001 - \$50,000 | Dividends, | \$201 - \$1,000 |
| 2.2.2 | IVFCX - Federated International Strategic Value Dividend F | Mutual Funds Mutual Fund | Self | \$15,001 - \$50,000 | Dividends, | \$1,001 - \$2,500 |
| 2.2.3 | PEQCX - Putnam Equity Income Fund Class C | Mutual Funds Mutual Fund | Self | \$50,001 - \$100,000 | Dividends, | \$201 - \$1,000 |
| 3 | Vanguard Roth IRA | Retirement Plans IRA | Self | | | |
| 3.1 | VTTHX - Vanguard Target Retirement 2035 Fund Investor Shar | Mutual Funds Mutual Fund | Self | \$15,001 - \$50,000 | None, | None (or less than \$201) |
| 4 | Vanguard Joint Brokerage Account | Brokerage/Managed Account | Joint | | | |
| 4.1 | VIMAX - Vanguard Mid-Cap Investor Shares | Mutual Funds Mutual Fund | Joint | \$50,001 - \$100,000 | None, Dividends | \$201 - \$1,000 |

| | Index Fund Admiral Shares | Mutual Funds | | \$100,000 | Dividends, | |
|-------|---|---|----------------|----------------------------------|------------------------------|---------------------------|
| 4.2 | VSMAX - Vanguard Small-Cap Index Fund Admiral Shares | Mutual Funds Asset Type Mutual Fund | Joint Owner | \$50,001 - Value \$100,000 | Income Dividends, Type | \$201 - \$1,000 Income |
| 4.3 | VTSAX - Vanguard Total Stock Market Index Fund Admiral Sha | Mutual Funds Mutual Fund | Joint | \$50,001 - \$100,000 | Dividends, | \$201 - \$1,000 |
| 4.4 | VTTX - Vanguard Target Retirement 2035 Fund Investor Shar | Mutual Funds Mutual Fund | Joint | \$50,001 - \$100,000 | Dividends, | \$201 - \$1,000 |
| 5 | Theresa Greenfield Cust. Philip R Wirtjes | UGMA/UTMA | Child | | | |
| 5.1 | UGMA/UTMA Philip R Wirtjes | UGMA/UTMA | Child | | | |
| 5.1.1 | VFIAX - Vanguard 500 Index Fund Admiral Shares | Mutual Funds Mutual Fund | Child | \$1,001 - \$15,000 | Dividends, | None (or less than \$201) |
| 6 | Theresa Greenfield cust Dane A Miller | UGMA/UTMA | Joint | | | |
| 6.1 | Theresa Greenfield cust Dane A Miller | UGMA/UTMA | Joint | | | |
| 6.1.1 | VFIAX - Vanguard 500 Index Fund Admiral Shares | Mutual Funds Mutual Fund | Joint | \$1,001 - \$15,000 | Dividends, | \$201 - \$1,000 |
| 7 | Fidelity Investments | Retirement Plans IRA | Self | | | |
| 7.1 | Fidelity 401K | Retirement Plans IRA | Self | | | |
| 7.1.1 | VEXRX - Vanguard Explorer Fund Admiral Shares | Mutual Funds Mutual Fund | Self | \$15,001 - \$50,000 | None, | None (or less than \$201) |
| 7.1.2 | VIGAX - Vanguard Growth Index Fund Admiral Shares | Mutual Funds Mutual Fund | Self | \$15,001 - \$50,000 | None, | None (or less than \$201) |
| 7.1.3 | VTSAX - Vanguard Total Stock Market Index Fund Admiral Sha | Mutual Funds Mutual Fund | Self | \$15,001 - \$50,000 | None, | None (or less than \$201) |
| 8 | Principal 401K | Retirement Plans | Self | | | |

| | Principal 401K | Retirement Plans IRA | Self | | Income | |
|-------|---|--|--------|------------------------|--------|---------------------------|
| 8.1 | Principal 401K | Asset Type Plans IRA | Owner | Value | Type | Income |
| 8.1.1 | Principal LargeCap S&P 500 Index Separate Accounty | Mutual Funds Mutual Fund | Self | \$15,001 - \$50,000 | None, | None (or less than \$201) |
| 8.1.2 | Principal MidCap S&P 400 Index Separate Account | Mutual Funds Mutual Fund | Self | \$15,001 - \$50,000 | None, | None (or less than \$201) |
| 8.1.3 | Principal SmallCap S&P 600 Index Separate Account | Mutual Funds Mutual Fund | Self | \$15,001 - \$50,000 | None, | None (or less than \$201) |
| 8.1.4 | Principal Real Estate Securities Separate Accounty | Mutual Funds Mutual Fund | Self | \$1,001 - \$15,000 | None, | None (or less than \$201) |
| 8.1.5 | Principal International SmallCap Separate Account | Mutual Funds Mutual Fund | Self | \$1,001 - \$15,000 | None, | None (or less than \$201) |
| 8.1.6 | Kraft Heinz foods co senior nte <i>Rate/Coupon: 3.38</i> <i>Matures: 6/15/2021</i> | Corporate Securities Corporate Bond | Self | \$1,001 - \$15,000 | None, | None (or less than \$201) |
| 9 | Ameritrade SEP IRA | Brokerage/Managed Account | Spouse | | | |
| 9.1 | BAC - Bank of America Corporation | Corporate Securities Stock | Spouse | \$1,001 - \$15,000 | None, | None (or less than \$201) |
| 9.2 | DXJ - WisdomTree Japan Hedged Equity Fund | Corporate Securities Stock | Spouse | \$1,001 - \$15,000 | None, | None (or less than \$201) |
| 9.3 | KBE - SPDR S&P Bank ETF | Corporate Securities Stock | Spouse | \$1,001 - \$15,000 | None, | None (or less than \$201) |
| 9.4 | TYG - Tortoise Energy Infrastructure Corporation | Corporate Securities Stock | Spouse | \$1,001 - \$15,000 | None, | None (or less than \$201) |
| 9.5 | XLP - Consumer Staples Select Sector SPDR Fund | Corporate Securities Stock | Spouse | \$15,001 - \$50,000 | None, | None (or less than \$201) |
| 9.6 | JAGLX - Janus Henderson Global Life Sciences Fund Class T | Mutual Funds Mutual Fund | Spouse | \$15,001 - \$50,000 | None, | None (or less than \$201) |

| | | | | | | |
|------|---|---|-----------------|---------------------------------|-------------------------|-------------------------------------|
| 9.7 | prcxx Asset | Mutual Funds Mutual Fund Asset Type | Spouse Owner | \$15,001 - \$50,000 Value | None, Income Type | None (or less than \$201) Income |
| 9.8 | SLMCX - Columbia Seligman Communications and Information F | Mutual Funds Mutual Fund | Spouse | \$1,001 - \$15,000 | None, | None (or less than \$201) |
| 9.9 | TRRHX - T. Rowe Price Retirement 2025 Fund | Mutual Funds Mutual Fund | Spouse | \$100,001 - \$250,000 | None, | None (or less than \$201) |
| 9.10 | anheuser busch inbev worldwide senior note m/w <i>Rate/Coupon: 4.38</i> <i>Matures: 2/15/21</i> | Corporate Securities Corporate Bond | Spouse | \$1,001 - \$15,000 | None, | None (or less than \$201) |
| 9.11 | autonation inc. senior note m/w <i>Rate/Coupon: 5.5</i> <i>Matures: 2/1/2020</i> | Corporate Securities Corporate Bond | Spouse | \$1,001 - \$15,000 | None, | None (or less than \$201) |
| 9.12 | broadcom corp/broadcom cayman senior note callable m/w <i>Rate/Coupon: 3</i> <i>Matures: 1/15/2022</i> | Corporate Securities Corporate Bond | Spouse | \$1,001 - \$15,000 | None, | None (or less than \$201) |
| 9.13 | cathay bank cd mthly <i>Rate/Coupon: 2.4</i> <i>Matures: 9/5/2019</i> | Corporate Securities Corporate Bond | Spouse | \$1,001 - \$15,000 | None, | None (or less than \$201) |
| 9.14 | General Mtrs Finl C. Inc . senior note <i>Rate/Coupon: 3.45</i> <i>Matures: 4/10/2022</i> | Corporate Securities Corporate Bond | Spouse | \$1,001 - \$15,000 | None, | None (or less than \$201) |
| 9.15 | Morgan Stanley Bank CD <i>Rate/Coupon: 2.5</i> <i>Matures: 12/2/2019</i> | Corporate Securities Corporate Bond | Spouse | \$1,001 - \$15,000 | None, | None (or less than \$201) |
| 9.16 | Textron Inc. Senior medium Term Note <i>Rate/Coupon: 7.25</i> <i>Matures: 10/1/2019</i> | Corporate Securities Corporate Bond | Spouse | \$1,001 - \$15,000 | None, | None (or less than \$201) |
| 9.17 | ubs ag sr med term note <i>Rate/Coupon: 3</i> <i>Matures: 9/13/2021</i> | Corporate Securities Corporate Bond | Spouse | \$1,001 - \$15,000 | None, | None (or less than \$201) |

FINANCIALS: 5/15/2021

| | | | | | | |
|------|--|--|-----------------|----------------------------|-----------------------|-------------------------------------|
| 9.18 | web bank cd <i>Description: Rate: 2.8 Matures: 5/29/2020</i> | Corporate Securities Certificate Bond | Spouse Owner | \$1,001 - \$5,000 | None, None Type | None (or less than \$201) Income |
| 10 | Ameritrade Roth IRA | Retirement Plans IRA | Spouse | | | |
| 10.1 | ABC - AmerisourceBergen Corporation | Corporate Securities Stock | Spouse | \$1,001 - \$15,000 | None, | None (or less than \$201) |
| 10.2 | GIS - General Mills, Inc. | Corporate Securities Stock | Spouse | \$1,001 - \$15,000 | None, | None (or less than \$201) |
| 10.3 | PEP - PepsiCo, Inc. | Corporate Securities Stock | Spouse | \$1,001 - \$15,000 | None, | None (or less than \$201) |
| 10.4 | STZ - Constellation Brands, Inc. | Corporate Securities Stock | Spouse | \$1,001 - \$15,000 | None, | None (or less than \$201) |
| 10.5 | prcxx | Mutual Funds Mutual Fund | Spouse | \$1,001 - \$15,000 | None, | None (or less than \$201) |
| 10.6 | TRPHX - T. Rowe Price Retirement I 2025 Fund I Class | Mutual Funds Mutual Fund | Spouse | \$1,001 - \$15,000 | None, | None (or less than \$201) |
| 11 | 4907 Woodland Ave <i>Description: personal home (Des Moines, IA)</i> | Real Estate Residential | Joint | \$500,001 - \$1,000,000 | None, | None (or less than \$201) |
| 12 | 72790 Hwy 13 <i>Description: The GAM (Ashland, WI)</i> | Real Estate Residential | Joint | \$250,001 - \$500,000 | None, | None (or less than \$201) |
| 13 | 1998 Boat <i>Description: boat</i> | Personal Property Other | Joint | \$1,001 - \$15,000 | None, | None (or less than \$201) |
| 14 | 2016 Ford Escape <i>Description: TG car</i> | Personal Property Other | Spouse | \$15,001 - \$50,000 | None, | None (or less than \$201) |
| 15 | 2008 BMW <i>Description: Steves car</i> | Personal Property Other | Spouse | \$1,001 - \$15,000 | None, | None (or less than \$201) |
| 16 | 1978 NOVA <i>Description: Rods car</i> | Personal Property Collectible | Self | \$1,001 - \$15,000 | None, | None (or less than \$201) |

Part 4a. Periodic Transaction Report Summary

Not required

Part 4b. Transactions

Not required

Part 5. Gifts

Not required

Part 6. Travel

Not required

Part 7. Liabilities

Did you, your spouse, or dependent child have a reportable liability worth more than \$10,000 at any time? **Yes**

| # | Incurred | Debtor | Type | Points | Rate (Term) | Amount | Creditor | Comments |
|---|----------|--------|----------|--------|----------------|--------------------------|-----------------------------|----------|
| 1 | 2000 | Joint | Mortgage | None | 3.125% (30) | \$100,001 - \$250,000 | Mr. Cooper Coppell, TX | - |
| 2 | 2002 | Joint | Mortgage | None | 3.5% (30) | \$250,001 - \$500,000 | US Bank Owensboro, ky | - |

Part 8. Positions

Did you hold any outside positions during the reporting period? **No**

Part 9. Agreements

Did you have any reportable agreement or arrangement with an outside entity? **No**

Part 10. Compensation

If this is your first report, or you are a candidate did you receive compensation of more than \$5,000 from a single source in the **two** prior years? **No**

Attachments & Comments

No attachments added.

No comments added.