

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) BRORBY, WADE	2. Court or Organization Tenth Circuit	3. Date of Report 03/25/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge - Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address P.O. Box 1028 Cheyenne, WY 82003		
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
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.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.		
2.		
3.		

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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. 11/25/13

Prudential Insurance - Policy Dividend - See Part VIII

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.

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

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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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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. IRA #1:	D	Int./Div.	N	T					
2. --American Century Mid-Cap Value Fund (ACMVX)									
3. --Dodge & Cox Intl Stock Fund (DODFX)									
4. --Dreyfus Bond Mkt. Index Basic Shares (DBIRX)									
5. --Energy Select Sector SPDR Fund (XLE)									
6. --Federated Total Ref'n Bond (FTRFX)									
7. --Ishares Trust S & P 500 Index Fund (IVV)									
8. --Janus Venture Fund (JAVTX)									
9. --Matthews Asia Div. Fund (MAPIX)									
10. --MFS Int'l New Discovery (MIDAX)									
11. --Oppenheimer Developing Mkts. (ODMAX)									
12. --Parnassus Equity Income Fund (PRBLX)									
13. --Pimco Foreign Bond (PFBDX)									
14. --Pimco Income CL/D (PONDY)									
15. --Pimco Total Return Fund Class D (PTTDY)									
16. --Royce TR Fund (RYTRX)					Sold (part)	06/05/13	J	A	
17. --Schwab Cash Reserves (SWSXX) **									

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

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☐ 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		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code I (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. --Sector SPDR Tech Select Shares (XLK)					Sold	06/07/13	J	C	
19. --SPDR S& P Div. ETF (SDY)					Sold (part)	06/07/13	J	B	
20. --UMB Scout International Fund (UMBWX)									
21. --Vanguard Small Cap (VSIIX)									
22. TRUST #1:	D	Int/Div.	O	T					
23. --American Century Tax Free Bd. Inv. (TWTIX)									
24. --American Century Value Fund (TWVLX)									
25. --Harbor Int'l (HIINX)					Buy (add'l)	02/26/13	J		
26.					Sold (part)	06/05/13	J	A	
27. --Ishares Trust S& P 500 (IVV)					Sold (part)	02/26/13	K	D	
28. --Ishares Trust S&P Global Energy (IXC)					Sold	10/03/13	J	A	
29. --Jensen Portfolio (JENSX)					Sold (part)	02/26/13	J	B	
30. --Laudus Growth Inv. U.S. Lg. Cap Growth Fd. (LGILX)									
31. --Lord Abbett Inc. Fd. (LALSZ)					Buy	10/01/13	J		
32. --Matthews Pacific Tiger (MAPTX)					Buy	02/26/13	J		
33. --Schwab Muni Money Fund (SWTXX)									
34. --Schwab Muni Money Fund Sweep (SWXXX) **									

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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☐ 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		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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. --Sector SPDR Fin. Select (XLF)									
36. --Vanguard Int'l Growth (VWILX)									
37. --Vanguard Interterm Admiral Share (VWIUX)									
38. --Vanguard Interm Admiral Share (VFIDX)					Buy	02/27/13	K		
39.					Buy (add'l)	06/05/13	K		
40. --Vanguard Reit (VNQ)									
41. --Vanguard Short Term Admiral Share (VWSUX)									
42. --Vanguard Small Cap (VB)					Sold (part)	02/26/13	J	B	
43. --Wells Fargo Advantage Bd. (STSMX)									
44. IRA #2:	A	Int./Div.	K	T					
45. --Dreyfus Bond Mkt. Index Basic Shares (DBIRX)					Sold (part)	06/05/13	J	A	
46. --Harbor Int'l Fund (HIINX)									
47. --Schwab Cash Reserves Sweep (SWSXX) **									
48. --Vanguard Inflation Prot. (VAIPX)									
49. TRUST #2:	A	Dividend	J	T					
50. --Schwab Cash Reserves Sweep (SWSXX) **									
51. Bankers Trust (Bank Accounts)	A	Interest	L	T					

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. Campbell County Oil Royalty	D	Royalty	J	W					
53. Clipper Fund	A	Dividend	J	T					
54. Federal Homeowner Lending Mortgage	A	Interest	J	T					
55. Federal Home Loan Bank (Notes)	B	Dividend	K	T					
56. Federal National Mortgage	A	Interest	K	T					
57. First National Bank of Gillette (Various Bank Accounts)	A	Interest	L	T					
58. Jensen Portfolio (Fund)	A	Dividend	K	T					
59. Peoria, AZ (Bond)	A	Interest	K	T					
60. Prudential Insurance Co. (Stock)	A	Dividend	J	T					
61. Rainier Small/Mid Cap Equity Fund (RIMSX)	A	Dividend	J	T					
62. Rydex Technology Fund	A	Dividend	J	T					
63. Wyo. Bank & Trust (Various Accounts)	B	Interest	L	T					

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

1. Part III - My [REDACTED], as trustee, owns a whole life policy insuring my life. The insurer is Prudential Insurance Company. As this policy is not held as an investment, the policy income received is reported under Part III.B (Non-Investment Income).
2. Part VII - Most of our investments are managed by Charles Schwab & Co. under a service described as Schwab Private Client.
3. Part VII - I list ownership of most of my assets under Aggregate Ownership Arrangements. All assets not owned under such an arrangement are listed separately.
4. Part VII - The funds designated with ** are merely holding funds. It should be noted that when income is received from a particular investment it is placed in one these Schwab "sweep" funds. When new investments are purchased, funds are taken from one of these funds to pay for the new investment. These funds are the (1) Schwab Muni Money Fund Sweep (SWXXX); and (2) Schwab Cash Reserves Sweep Fund (SWSXX).
5. Part VII - Where possible I have included the commonly known stock symbols and stock names.

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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/ WADE BRORBY**

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