

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) Murtha, J. Garvan	2. Court or Organization U.S. District Court - Vermont	3. Date of Report 11/10/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☐ Annual ☒ Final 5b. ☐ Amended Report	6. Reporting Period 1/1/2017 to 10/2/2017
7. Chambers or Office Address United States District Court P.O. Box 760 Brattleboro, VT 05302-0760		
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.	Beneficiary	Trust #1
2.	Beneficiary	Trust #3
3.	Trustee	Trust #4
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 15

Name of Person Reporting

Murtha, J. Garvan

Date of Report

11/10/2017

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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE 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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 15

Name of Person Reporting

Murtha, J. Garvan

Date of Report

11/10/2017

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

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 15

Name of Person Reporting

Murtha, J. Garvan

Date of Report

11/10/2017

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. Amazon Stock	A	Dividend	J	T					
2. Appian Cord Stock		None	J	T	Buy	06/06/17	J		
3. Atlassian Corp. Stock		None	J	T					
4. Bank of the Islands Account	A	Interest	J	T					
5. Consumer Discretionary SPDR Fund	A	Dividend	J	T	Buy	01/19/17	J		
6. DWA Tech Leaders Fund	A	Dividend	K	T	Buy	01/19/17	K		
7. First Trust Consumer Fund	A	Dividend	J	T					
8. First Trust Cloud Fund	A	Dividend	J	T	Buy	01/19/17	J		
9. First Trust Exchange Fund	A	Dividend	K	T					
10. Guggenheim S&P 500 Fund	A	Dividend	K	T					
11. Healthcare Select SPDR Fund	A	Dividend	K	T	Buy	01/19/17	K		
12. iShares Barclays 7-10 Yr Treas. Bond	A	Interest	K	T					
13. iShares Core U.S. Fund	A	Interest	K	T					
14. iShares Edge MSCI Fund	B	Dividend	K	T					
15. iShares Iboxx Fund	A	Dividend	J	T					
16. iShares MBS ETF Fund	A	Interest	J	T	Buy	01/19/17	J		
17. iShares MSCI All Country Fund	A	Dividend	J	T	Buy	06/28/17	J		

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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 15

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Murtha, J. Garvan

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18. iShares Nasdaq Bio Tech Fund	A	Dividend	J	T	Buy	01/19/17	J		
19. iShares S&P Latin America Fund	A	Dividend			Sold	03/08/17	J	A	
20. iShares Select Fund	A	Dividend	K	T					
21. iShares Tips Fund	A	Interest	J	T	Buy	01/19/17	J		
22. iShares U.S. Home Fund	A	Dividend	J	T					
23. iShares 3-7 Year Fund	A	Interest	J	T	Buy	01/19/17	J		
24. ML Bank Deposit Account	A	Interest	J	T					
25. Nuveen High Yield Fund	A	Interest			Sold	03/08/17	K	A	
26. Nvidia Stock	A	Dividend	J	T					
27. PowerShares EM Sovereign	A	Interest	J	T	Buy	01/19/17	J		
28. PowerShares QQQ Trust Fund	A	Dividend	K	T					
29. PowerShares Preferred Fund	A	Interest	J	T	Buy	01/19/17	J		
30. Salesforce Com Stock		None	J	T					
31. Sector SPDR Energy Fund	A	Dividend			Sold	08/11/17	J	A	
32. SPDR U.S. Financial Sector Fund	A	Dividend	J	T	Buy	01/19/17	J		
33. SPDR Nuveen Barclay's Bond Fund	A	Interest			Sold	03/08/17	J		
34. SPDR Nuveen Bloomberg Fund	A	Interest	J	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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FINANCIAL DISCLOSURE REPORT

Page 6 of 15

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Murtha, J. Garvan

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35. SPDR US Dividend Aristocrats Fund	A	Dividend			Sold	03/08/17	J		
36. Thornburg Global Fund	A	Dividend	J	T	Buy	01/19/17	J		
37. Vanguard 500 Index Fund	A	Dividend	J	T					
38. Vanguard Financial Fund	A	Dividend	J	T					
39. Vanguard Industrial Fund	A	Dividend	K	T					
40. Vanguard Information Fund	A	Dividend	K	T	Buy	01/19/17	K		
41. Vanguard Interim-Term Fund	A	Interest	K	T					
42. Vanguard Short Term Bond Fund	A	Interest	K	T	Buy	01/19/17	K		
43. Vanguard Total Stk Fund	A	Dividend	K	T					
44. Merchants Bank Accounts	A	Interest	K	T					
45. Brattleboro Tennis Club, VT Stock		None	J	W					
46. Trust #4									
47. - Alphabet, Inc. Stock		None	K	T					
48. - Apple Stock	C	Dividend	M	T					
49. - AT&T Stock	C	Dividend	L	T					
50. - Automatic Data Processing Stock	B	Dividend	L	T					
51. - Berkshire Hathaway, Inc. Stock		None	L	T					

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FINANCIAL DISCLOSURE REPORT

Page 7 of 15

Name of Person Reporting

Murtha, J. Garvan

Date of Report

11/10/2017

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52. - Caterpillar Stock	D	Dividend	M	T					
53. - Coca Cola Stock	B	Dividend	L	T					
54. - CSX Corp. Stock	C	Dividend	M	T					
55. - Disney Stock	B	Dividend	M	T					
56. - Exxon Mobil Stock	D	Dividend	M	T					
57. - Home Depot Stock	B	Dividend	M	T					
58. - iShares Midcap Fund	A	Dividend	K	T					
59. - Johnson & Johnson Stock	B	Dividend	L	T					
60. - McKesson Corp. Stock	A	Dividend	K	T					
61. - Microsoft Stock	B	Dividend	L	T					
62. - Morgan J.P. Chase Stock	C	Dividend	M	T					
63. - Nextera Energy Stock	B	Dividend	L	T					
64. - Northern Trust Gov't Fund	A	Interest	K	T					
65. - Novartis Stock	B	Dividend	K	T					
66. - Oppenheimer Development Fund	A	Dividend	K	T					
67. - Procter & Gamble Stock	B	Dividend	L	T					
68. - Royal Dutch Shell Stock	D	Dividend	M	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 15

Name of Person Reporting

Murtha, J. Garvan

Date of Report

11/10/2017

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69. - Starbucks Stock	A	Dividend	L	T					
70. - Teva Pharmaceutical Stock	B	Dividend			Sold	04/11/17	K	D	
71. - United Technologies Stock	C	Dividend	M	T					
72. - Vanguard Short Term Exempt Fund	A	Dividend	L	T					
73. Trust Company of VT - IRA									
74. - 3M Stock	A	Dividend	J	T					
75. - AbbVie Stock	A	Dividend	J	T					
76. - Accenture Ltd. Stock	A	Dividend	J	T					
77. - Air Products & Chemical Stock	A	Dividend	J	T					
78. - Alphabet, Inc. Stock		None	J	T					
79. - Apache Corp. Stock	A	Dividend	J	T					
80. - Apple Stock	A	Dividend	J	T					
81. - Applied Materials Stock	A	Dividend	J	T					
82. - Atmos Energy Stock	A	Dividend	J	T					
83. - Berkshire Hathaway Stock		None	J	T					
84. - Bristol Myers Squibb Stock	A	Dividend	J	T					
85. - Colgate Palmolive Stock	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 9 of 15

Name of Person Reporting

Murtha, J. Garvan

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11/10/2017

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86. - Emerson Electric Stock	A	Dividend	J	T					
87. - Fastenal Stock	A	Dividend	J	T					
88. - HCP Stock	A	Dividend	J	T					
89. - Illinois Tool Wks Stock	A	Dividend	J	T					
90. - iShare Midcap Fund	A	Dividend	J	T					
91. - iShare Small Cap Fund	A	Dividend	J	T					
92. - Johnson & Johnson Stock	A	Dividend	J	T					
93. - Johnson Controls Stock	A	Dividend	J	T					
94. - Matthews Asian Fund	A	Dividend	J	T					
95. - National Oilwell Varco Stock	A	Dividend	J	T					
96. - Nestle Stock	A	Dividend	J	T					
97. - Northern Trust Gov't Select Fund	B	Interest	J	T					
98. - Novartis Stock	A	Dividend	J	T					
99. - Pepsico, Inc. Stock	A	Dividend	J	T					
100. - PIMCO Emerging Bond Fund	A	Interest	J	T					
101. - PIMCO Short Term Inst'l Fund	A	Interest	J	T					
102. - Qualcom Stock	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 10 of 15

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103. - Southern Co. Stock	A	Dividend	J	T					
104. - Spectra Energy Stock	A	Dividend	J	T					
105. - Target Corp. Stock	A	Dividend	J	T					
106. - Teva Pharma Stock	A	Dividend	J	T					
107. - United Technologies Stock	A	Dividend	J	T					
108. - US Bancorp Stock	A	Dividend	J	T					
109. - US Tips Bond	A	Interest	J	T					
110. - Vanguard Emerging Mkts Fund	A	Dividend	J	T					
111. - Vanguard Short Term Bond Fund	A	Interest	J	T					
112. - Wells Fargo Stock	A	Dividend	J	T					
113. - Wisdom Tree Emerging Debt Fund	A	Interest	J	T					
114. Merrill Lynch IRA									
115. - DWA Tech Leaders Fund	A	Dividend			Sold	03/08/17	J	H1	
116. - First Tr Exchg Traded Fund	A	Dividend			Sold	03/08/17	J	A	
117. - Guggenheim S&P 500 Fund	A	Dividend	K	T					
118. - Health Care Select SPDR	A	Dividend	J	T	Buy	03/08/17	J		
119. - iShares Core U.S. Fund	A	Dividend			Sold	03/08/17	J		

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FINANCIAL DISCLOSURE REPORT

Page 11 of 15

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120. - iShares Edge MSCI Fund	A	Dividend	J	T					
121. - iShares Iboxx Bond Fund	A	Interest	J	T	Buy	03/08/17	J		
122. - iShares MBS ETE Fund	A	Interest	J	T	Buy	03/08/17	J		
123. - iShares MCI EAFE Fund	A	Interest	K	T	Buy	03/08/17	K		
124. - iShares Nasdaq Biotech Fund	A	Dividend	K	T	Buy	03/08/17	K		
125. - iShares S&P Latin America Fund	A	Dividend			Sold	03/08/17	J	A	
126. - iShares Select Fund	A	Dividend			Sold	03/08/17	K	H1	
127. - iShares Tips Bond Fund	A	Interest	J	T	Buy	03/08/17	J		
128. - iShares 3-7 Year Treasury Bond	A	Interest	J	T	Buy	03/08/17	J		
129. - iShares 7-10 Yr Treas Bond	A	Interest			Sold	03/08/17	J		
130. - iShares U.S. Home Constr Fund	A	Dividend			Sold	03/08/17	J	A	
131. - Materials Select Sector Fund	A	Dividend	J	T	Buy	03/08/17	J		
132. - Nuveen High Yield Muni Bond Fund	A	Interest			Sold	03/08/17	J		
133. - PIMCO Emerg Mkts Bd Fund	A	Dividend	J	T					
134. - PowerShares EM Sovereign Bond Fund	A	Interest	J	T	Buy	03/08/17	J		
135. - PowerShares Preferred Bond Fund	A	Interest	J	T	Buy	03/08/17	J		
136. - PowerShares QQQ Trust Fund	A	Dividend			Sold	03/08/17	J	B	

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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 12 of 15

Name of Person Reporting

Murtha, J. Garvan

Date of Report

11/10/2017

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)
137. - Sector SPDR Energy Fund	A	Dividend	J	T					
138. - Sector SPDR Industrial Fund	A	Dividend			Buy	03/08/17	J		
139. - Sector SPDR Real Estate Select Fund	A	Dividend	J	T	Buy	03/08/17	J		
140. - Sector SPDR Utilities Fund	A	Dividend	J	T	Buy	03/08/17	J		
141. - SPDR Consmsrs Discretionary Fund	A	Dividend			Buy	03/08/17	J		
142. - SPDR S&P Insurance Fund	A	Dividend	J	T	Buy	03/08/17	J		
143. - SPDR US Dividend Aristocrats Fund	A	Dividend			Sold	03/08/17	J	A	
144. - Vanguard 500 Index Fund	A	Dividend			Sold	03/08/17	J	B	
145. - Vanguard Financials ETF Fund	A	Dividend	J	T					
146. - Vanguard Industrial ETF Fund	A	Dividend			Sold	03/08/17	J	A	
147. - Vanguard Information Tech Fund	A	Dividend	J	T	Buy	03/08/17	J		
148. - Vanguard Intermediate Term Bond Fund	A	Interest	J	T					
149. - Vanguard S&P Midcap Fund	A	Dividend	J	T	Buy	03/08/17	J		
150. - Vanguard Short Term Bond Fund	A	Interest			Buy	03/08/17	J		
151. - Vanguard Telecom Services Fund	A	Dividend	J		Buy	03/08/17	J		
152. - Vanguard Total Fund	A	Dividend			Sold	03/08/17	J	H2	
153. - Vaneck Vectors JP Bond Fund	A	Interest	J	T	Buy	03/08/17	J		

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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 13 of 15

Name of Person Reporting

Murtha, J. Garvan

Date of Report

11/10/2017

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)
154. Trust #1 Income Beneficiary	C	Distribution	M	T					
155. Trust #3 Income Beneficiary	C	Distribution	M	T					

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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 14 of 15

Name of Person Reporting	Date of Report
Murtha, J. Garvan	11/10/2017

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

FINANCIAL DISCLOSURE REPORT

Page 15 of 15

Name of Person Reporting

Murtha, J. Garvan

Date of Report

11/10/2017

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/ J. Garvan Murtha**

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