

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) Gorsuch, Neil M.	2. Court or Organization Tenth Circuit Court of Appeals	3. Date of Report 8/13/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 1/1/2011 to 12/31/2011
7. Chambers or Office Address Byron White Courthouse 1823 Stout Street Denver, CO 80257		
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. Insert signature on last page.		

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.	Member	Walden Group LLC (mountain property)
2.	Executive Committee, Board of Directors	Federal Judges Association
3.	Adjunct Professor	University of Colorado Law School
4.	Member, Board of Directors	Boulder Country Day School
5.	Member	Colorado Chief Justice's Commission on the Legal Profession

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. 2011	University of Colorado Law School - teaching agreement for school year.
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2011	Princeton University Press - book royalties	\$175.30
2. 2011	University of Colorado Law School - teaching	\$19,000.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Federal Judges Association	4/12/11-4/14/11	Washington, DC	meeting	Transportation, meals, hotel
2. University of Texas Law School	3/31/11-4/2/11	Austin, TX	educational conference	Transportation, meals, hotel
3. University of Notre Dame Law School	9/8/11-9/10/11	South Bend, IN	conference	Transportation, meals, hotel
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. USAA Brokerage Acct:									
2. - Money Market, Tax Exempt	A	Int/Div.	K	T					
3. - Aggressive Growth Fund					Sold	05/16/11	M	C	
4. - Long Term Tax Ex Bond Fund	D	Int/Div.	M	T					
5. - Capital Growth Fund					Sold	05/16/11	M		
6. - High Yield Bond Fund	D	Int/Div.	M	T					
7. - Int'l Fund	C	Int/Div.	M	T	Buy (add'l)	05/16/11	M		
8. - S&P Fund	C	Int/Div.	M	T	Buy (add'l)	05/16/11	M		
9. - Value Fund	B	Int/Div.	M	T					
10. - Intern Tax Ex Bond Fund	D	Int/Div.	N	T					
11. - Small Cap Fund	A	Int/Div.	M	T					
12. - Short Term Tax Ex Bond Fund	C	Int/Div.	M	T					
13. Walden Group LLC		None	N	W					
14. 529 Plans - VA Educ Savings Trust (Age Based)		None	N	T					
15. 529 Plans - College Invest Savings Plan (Age Based)		None	L	T					
16. 403B Plan - TIAA CREF	A	Int/Div.	J	T					
17. Senate Credit Union checking	A	Int/Div.	J	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
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	

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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)

18. USAA IRA Acct:									
19. -Target Retirement 2030 Fund	D	Int./Div.	N	T	Buy	03/23/11	N		
20. - GNMA Trust	A	Int./Div.			Sold	03/23/11	K	B	
21. - Money Market Fund	A	Int./Div.			Sold	03/23/11	J		
22. - High Yield Fund	A	Int./Div.			Sold	03/23/11	K	A	
23. - Total Return Fund	A	Int./Div.			Sold	03/23/11	K		
24. - Aggressive Growth Fund	A	Int./Div.			Sold	03/23/11	L		
25. - Emerging Markets Fund	A	Int./Div.			Sold	03/23/11	K	A	
26. - World Growth Fund	A	Int./Div.			Sold	03/23/11	K		
27. - Income Fund	A	Int./Div.			Sold	03/23/11	K	B	
28. - Income Stock Fund	A	Int./Div.			Sold	03/23/11	K		
29. - International Fund	A	Int./Div.			Sold	03/23/11	L		
30. - Precious Metals and Minerals Fund	C	Int./Div.			Sold	03/23/11	K	D	
31. - Small Cap Stock Fund	A	Int./Div.			Sold	03/23/11	L		
32. USAA IRA Acct:									
33. -Target Retirement 2030 Fund	B	Int./Div.	K	T	Buy	03/30/11	K		
34. - Money Market Fund	A	Int./Div.			Sold	03/30/11	J		

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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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35. - Growth & Income Fund	A	Int./Div.			Sold	03/30/11	J		
36. - Aggressive Growth Fund	A	Int./Div.			Sold	03/30/11	J	A	
37. - High Yield Fund	A	Int./Div.			Sold	03/30/11	J	A	
38. - Total Return Fund	A	Int./Div.			Sold	03/30/11	J		
39. - World Growth Fund	A	Int./Div.			Sold	03/30/11	J	A	
40. USAA SEP IRA Acct:									
41. - Money Market	A	Int./Div.	J	T					
42. - Precious Metals & Minerals Fund	A	Int./Div.	J	T					
43. - Global Oppty Fund	A	Int./Div.	L	T					
44. - Short Term Bond Fund	A	Int./Div.	J	T	Sold (part)	05/23/11	K	A	
45. -Income Fund	A	Int./Div.	J	T	Buy	05/23/11	J		
46. - Intermediate Bond Fund	A	Int./Div.	J	T	Buy	05/23/11	J		
47. USAA CD Acct:									
48. - CDs	D	Int./Div.	N	T	Matured (part)	02/28/11	M		
49.					Matured (part)	08/31/11	M		
50.					Matured (part)	10/13/11	L		
51.					Buy	03/23/11	M		

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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.					Buy	09/07/11	L		
53.					Buy	11/30/11	L		
54. - Money Market	A	Int./Div.	J	T	Buy	02/28/11	J		
55. USAA P.L. Mgmt Acct:									
56. - Money Market, Tax Ex Fund	A	Int./Div.	K	T					
57. - Adams & Weld Cts School Muni Bond 12/1/24	B	Interest	K	T					
58. - Adams 12 Muni Bond 12/15/14	B	Interest	K	T					
59. - Aurora Wtr Rev Muni Bond 8/1/22	B	Interest	K	T					
60. - Boulder Sch Dist 2 Muni Bond 12/1/15	A	Interest	K	T					
61. - Colo Sch Mines Muni Bond 12/1/13	A	Interest	K	T					
62. - Colo St Brd Gov Univ Entr Sys Muni Bond 3/1/16	B	Interest	K	T					
63. - Colo Springs Col Util Muni Bond 11/15/20	B	Interest	K	T					
64. - Colo Springs Col Utl Muni Bond 11/15/26	B	Interest	K	T	Buy	01/25/11	K		
65. - Colo Wtr Res & Pwr Muni Bond 8/1/24	B	Interest	K	T					
66. - Denver Cnty Sch Muni Bond 12/1/12	B	Interest	K	T					
67. - Denver Exc Tax Rev Muni Bond 9/1/18	B	Interest	K	T					
68. - Eagle Garfield Routt Muni Bond 12/1/23	B	Interest	K	T					

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69. - El Paso Sch Dist Muni Bond 12/1/12	B	Interest	K	T					
70. - Left Hand Wtr Muni Bond 5/15/13	B	Interest	K	T					
71. - Mesa College Muni Bond 5/15/23	B	Interest	K	T					
72. - Pueblo Sch Dist Muni Bond 12/15/11	B	Interest			Matured	12/15/11	K		
73. - Pueblo Cnty Sch Dist Muni Bond 12/15/21	B	Interest	K	T					
74. - S Migel & Montrose Muni Bond 12/1/17	B	Interest	K	T					
75. - Teller Sch Dist Muni Bond 12/1/20	B	Interest	K	T					
76. - Univ Colo Ent Sys Muni Bond 6/1/14	A	Interest	K	T					
77. -Univ Colo Ent Sys Muni Bond 6/1/25			K	T	Buy	12/02/11	K		
78. - Weld Sch Dist Muni Bond 12/1/19	B	Interest	K	T					
79. - Westminster Sls and Use Muni Bond 12/1/15	B	Interest	L	T					
80. - Short Term Tax Ex Bond Fund	B	Int./Div.	K	T	Buy (add'l)	03/02/11	J		
81.					Buy (add'l)	06/06/11	J		
82.					Buy (add'l)	07/05/11	J		
83.					Buy (add'l)	11/18/11	J		
84.					Sold (part)	01/25/11	K		
85.					Sold (part)	12/05/11	K	A	

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

This amended report includes pertinent gain information recently provided by USAA for mutual funds in my IRA (Part VII, lines 20-31), SEP-IRA (Part VII, line 44), and [REDACTED] IRA (Part VII, lines 34-39) accounts.

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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/ Neil M. Gorsuch

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