

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Matheson, Jr., Scott M.	2. Court or Organization Tenth Circuit	3. Date of Report 04/07/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address Federal Building - Suite 5402 125 South State Street Salt Lake City, UT 84138		
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.	Professor/Lecturer (arrangements pending - see Part VIII)	University of Utah S.J. Quinney College of Law
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.	

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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.)*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 PROVIDED1. University of Colorado-
Boulder School of Law

Feb. 23-24, 2015

Boulder, Colorado

Judge moot court finals

transportation, lodging, food

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.)*

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.		

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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. U.S. Savings Bonds (face value)		None	J	T					
2. Johnson & Johnson Common	B	Dividend	K	T					
3. University Federal Credit Union - Money Fund and Checking	A	Interest	M	T					
4. IRA - at Merrill Lynch	A	Dividend			Sold	02/18/15	L		Transfer to TSP retirement
5. - Invesco American Franchise (formerly Invesco Constellation)									
6. - Eaton Vance Short Term Strategic Income (formerly Eaton Vance Strateg.)									
7. - Blackrock Capital Appreciation									
8. - Blackrock Basic Value									
9. - Putnam Equity Income									
10. - AllianceBernstein Growth and Income									
11. IRA - University Federal Credit Union	A	Interest			Sold	07/10/15	J		Transfer to TSP retirement
12. Utah State Retirement 401(k) - Income Fund		None			Sold	07/08/15	K		Transfer to TSP retirement
13. TIAA-CREF Deferred Retirement Plans									
14. - CREF Stock Fund		None	P1	T					
15. - CREF Bond Market Fund		None	L	T					
16. - CREF Global Equities Fund		None	L	T					
17. - CREF Social Choice Fund		None	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 \$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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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. AXA Equitable Flex. Prem. Variable Life Ins. Incentive Life #1									
19. - EQ Common Stock Index Fund		None	J	T					
20. AXA Equitable Flex. Prem. Variable Life Ins. Incentive Life #2									
21. - EQ Common Stock Index fund		None	J	T					
22. TIAA-CREF Savings and Investment Plan - TIAA Traditional	B	Distribution	K	T					
23. TIAA-CREF Annuity (2 contracts) - TIAA Traditional	D	Distribution	J	T					

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

Part I. - The University of Utah S.J. Quinney College of Law has asked me to teach as schedules permit. Although I have held off on teaching since joining the bench, I have continued to list this item in Part I. because because I may do so at some point.

Part VII - All assets are the same as those listed on previously-approved reports, with expanded information on some per new direction from the Administrative Office.

Part VII - Lines 4-10 - The assets in this IRA listed on lines 5 to 10 were sold on 2/18/15 and the resulting funds were direct-transferred into my federal TSP retirement plan.

Part VII - Line 11 - The funds in this IRA were direct-transferred into my spouse's federal TSP retirement plan.

Part VII - Line 12 - The funds in this 401(k) were direct-transferred into my federal TSP retirement plan.

Part VII, Line 14 - This asset is in the University of Utah Defined Contribution Retirement Plan, University of Utah Tax-Deferred Retirement Plan, and the Harvard University Tax-Deferred Annuity Plan.

Part VII, Lines 15-17 - These assets are in the University of Utah Deferred Compensation Plan.

Part VII. - My spouse's parents both died in August 2011. As a survivor beneficiary, my spouse received a portion of her father's retirement account with TIAA-CREF, which is called a Savings and Investment Plan and is listed on line 22. She also received a portion of his TIAA-CREF annuity (two contracts), which is listed on line 23. The gross value for the annuity in VII.C.(1) is based on a commuted value calculated by TIAA-CREF.

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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/ **Scott M. Matheson, Jr.**

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