

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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) Duncan, David K.	2. Court or Organization District of Arizona	3. Date of Report 05/14/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Full-time Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address Sandra Day O'Connor U.S. Courthouse 401 W. Washington St., SPC-14 Phoenix, AZ 85003		
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. training committee member	Arizona Town Hall
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. 05/10/2010	American Bar Association Section of Criminal Justice to produce for publication a guidebook on certain Sixth Amendment rights.
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.		
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2012	Maricopa County -- Salary
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. George Mason University Law & Economics Center	November 11-13, 2012	Fairfax, VA	Judicial Symposium on Civil Justice Issues	Travel, Lodging, Meals
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.)*

	<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.	Fed Loan Servicing	Student Loans	K
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. Osborn Maledon, P.A. 401(k)	A	Dividend			Sold	03/15/12	M	E	
2. -- American Funds Growth Fund of America		Dividend			Sold	03/15/12	L	B	
3. -- American Funds Washington Mutual Investors		Dividend			Sold	03/15/12	K	B	
4. -- American Funds EuroPacific Growth		Dividend			Sold	03/15/12	K	D	
5. -- Schwab Inst. Adv. Money Market		Dividend			Sold	03/15/12	J	A	
6. -- American Funds Bond Fund of America		Dividend			Sold	03/15/12	K	A	
7. -- American Funds Inc Fund of America		Dividend			Sold	03/15/12	K	A	
8. -- Oak Value		Dividend			Sold	03/15/12	K	B	
9. Lewis & Roca, LLP 401(k) and Profit Sharing Plan	A	Dividend			Sold	03/01/12	J	A	
10. -- PIMCO Real Retirement 2030 Fund		Dividend			Sold	03/01/12	J	A	
11. Bryan Cave LLP Staff Profit Sharing Plan	A	Dividend			Sold	02/27/12	K	C	
12. -- Vanguard High-Yield Corporate Fund		Dividend			Sold	02/27/12	J	A	
13. -- Vanguard 500 Index Fund Investors Shares		Dividend			Sold	02/27/12	J	A	
14. -- Vanguard Emerging Markets Stock Index Fund		Dividend			Sold	02/27/12	J	A	
15. -- Vanguard International Value Fund		Dividend			Sold	02/27/12	J	A	
16. -- Vanguard LifeStrategy Growth Fund		Dividend			Sold	02/27/12	J	A	
17. -- Vanguard Strategic Equity Fund		Dividend			Sold	02/27/12	J	A	

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

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18. -- Vanguard European Stock Index Fund		Dividend			Sold	02/27/12	J	A	
19. Wells Fargo Bank Accounts	A	Interest	J	T					
20. General American Flexible Premium Variable Life	A	Dividend	J	T					
21. -- MetLife Stock Index Portfolio		Dividend		T					
22. -- Morgan Stanley EAFE Index Portfolio		Dividend		T					
23. -- BlackRock Aggressive Growth Portfolio		Dividend		T					
24. -- Fidelity Variable Insurance Funds Equity Income Portfolio		Dividend		T					
25. -- Met Capital App		Dividend			Sold	03/27/12	J	A	
26. -- MFS Research Int'l		Dividend		T					
27. -- Jemison Growth Portfolio		Dividend		T	Buy	03/27/12	J		
28. Northwestern Mutual Whole Life	A	Dividend	J	T					
29. Northwestern Mutual Whole Life	A	Dividend	J	T					
30. Northwestern Mutual Whole Life	C	Dividend	K	T					
31. Fidelity Cash Reserves	A	Dividend	M	T	Buy	03/12/12	K		
32.					Buy (add'l)	04/12/12	J		
33.					Buy (add'l)	04/20/12	L		
34. Prime Fund Daily Money Class	A	Dividend	M	T	Buy	04/12/12	M		

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35.					Sold (part)	05/10/12	K		
36.					Sold (part)	08/01/12	K		
37.					Sold (part)	09/07/12	K		
38. First Federal Credit Union Bank Accounts	A	Interest	J	T					

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

Regarding Part II. Agreements: The May 10, 2010 ABA Standard Author Agreement provides for the four authors to receive royalties, if any, in an amount of 10% of the gross revenues to be divided among the four co-authors. The book was submitted to the publisher in May 2012 and to date no royalties have been received.

Regarding Part VII. Investments and Trusts, lines 25-26: General American Financial informed me that assets in the Oppenheimer Capital Appreciation Portfolio of the Met Investors Series Trust have been transferred as a result of a merger of that portfolio into the Jennison Growth Portfolio of the Metropolitan Series Fund.

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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/ David K. Duncan**

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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