

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Murphy, Diana E.	2. Court or Organization U.S.Court of Appeals (8th Cir)	3. Date of Report 05/15/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge (Active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address U.S. Courthouse 300 S. Fourth Street, 11E Minneapolis, MN 55415		
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.	Life Trustee	University of Minnesota Foundation
2.	Trustee	University of St. Thomas
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

Murphy, Diana E.

Date of Report

05/15/2017

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.)*

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.

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.

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

Murphy, Diana E.

Date of Report

05/15/2017

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 11

Name of Person Reporting

Murphy, Diana E.

Date of Report

05/15/2017

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. (H)									
2. ALEXANDRIA LAKE AREA SAN	C	Interest	M	T					
3. ALEXANDRIA MN INDPT SCH	C	Interest	M	T					
4. APPLE VLY MN SER D G/O	C	Interest	L	T					
5. ANOKA MN PUB FACS SER A	C	Interest	L	T					
6.									
7. BROOKLYN PARK MN	B	Interest			Redeemed	08/01/16	L	A	
8. BROOKLYN CENTER MN INDPT		None			Redeemed	02/01/16	L	A	
9.									
10.									
11.									
12. WASHINGTON CNTY MN SER A	C	Interest	L	T					
13. US TREASURY, [REDACTED]	E	Interest	P1	T					
14. US TREASURY, [REDACTED]		None	P2	T					
15. US TREASURY, [REDACTED]		None	P1	T					
16.									
17. FRIDLEY MN INDPT SCH DST	C	Interest	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 = \$250,000.001 - \$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 11

Name of Person Reporting

Murphy, Diana E.

Date of Report

05/15/2017

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)
18.									
19.									
20.									
21. HENNEPIN CNTY MN REGL RR, [REDACTED]	D	Interest	M	T					
22. HENNEPIN CNTY MN SER B, [REDACTED]	C	Interest	M	T					
23. HENNEPIN CNTY MN SER A, [REDACTED] [REDACTED]	C	Interest	M	T					
24. HOPKINS MN INDPT SCH, [REDACTED]	C	Interest	M	T					
25. HOPKINS MN SER A G/O, [REDACTED]	C	Interest	L	T					
26. MINNESOTA ST UNREFUNDED, [REDACTED]	D	Interest	M	T					
27. MINNESOTA ST PREREFUNDED [REDACTED]	A	Interest	J	T					
28. MISSOURI ST HWYS, [REDACTED]	C	Interest	M	T					
29. MOUNDS VIEW MN ISD [REDACTED]	C	Interest	L	T					
30. MOUND MN UTIL SER B G/O, [REDACTED] [REDACTED]	C	Interest	L	T					
31. MOUND MN RFDG TAX, [REDACTED]	C	Interest	L	T					
32.									
33. NORTH ST PAUL MAPLEWOOD, [REDACTED]	C	Interest	L	T					
34. MINNEAPOLIS MN RFDG LIBR, [REDACTED]	B	Interest	L	T					

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

FINANCIAL DISCLOSURE REPORT

Page 6 of 11

Name of Person Reporting

Murphy, Diana E.

Date of Report

05/15/2017

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)

35.									
36.									
37. OMAHA NE VAR PURP SER A, [REDACTED]	D	Interest	M	T					
38. ORONO MN RFDG SER A G/O, [REDACTED]	C	Interest	L	T					
39.									
40. OLMSTED CNTY MN CAP IMPT, [REDACTED]	C	Interest	L	T					
41. OMAHA NE RFDG SER B G/O, [REDACTED]	C	Interest	L	T					
42. OLMSTED CNTY MN CAP IMPT, [REDACTED]	C	Interest	L	T					
43.									
44. ST PAUL MN INDPT SCH, [REDACTED]	C	Interest	L	T					
45. ST PAUL MN INDPT SCH, [REDACTED]	C	Interest	L	T					
46. ST PAUL MN INDPT SCH, [REDACTED]	C	Interest	L	T					
47.									
48. RAMSEY CNTY MN CAP IMPT, [REDACTED]	C	Interest	L	T					
49. RAMSEY CNTY MN CAP IMPT, [REDACTED]	C	Interest	L	T					
50. SOUTH WA WATERSHED DIST, [REDACTED]	C	Interest	L	T					
51. ROCHESTER MN WSTWTRA-SRA, [REDACTED]	C	Interest	L	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 7 of 11

Name of Person Reporting

Murphy, Diana E.

Date of Report

05/15/2017

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)
52.									
53. ST CLOUD MN PARKING PROJ, [REDACTED]	C	Interest	L	T					
54. ST MICHAEL MN INDPT SCH, [REDACTED]		None			Redeemed	02/01/16	L	A	
55. ST PAUL MN CAP IMPT STR, [REDACTED]					Redeemed	02/01/16	L	A	
56. SPRING LK PARK MN INDPT, [REDACTED]		None			Redeemed	02/01/16	L	A	
57. TEXAS ST UNREFUNDED BAL, [REDACTED]	D	Interest	M	T					
58. TEXAS ST PREREFUNDED, [REDACTED]	A	Interest	J	T					
59. WACONIA MNWTR SER B, [REDACTED]		None			Redeemed	02/01/16	L	A	
60. WASHINGTON CNTY MN SER A, [REDACTED]	C	Interest	L	T					
61.									
62.									
63. WEST FARGO ND PUB SCH, [REDACTED]	D	Interest	M	T					
64. (H)									
65. [REDACTED] BONDS (H)									
66. ANOKA MN PUB FACS SER A, [REDACTED]	C	Interest	L	T					
67.									
68. CRYSTAL MN IMPT SER A, [REDACTED]		None			Redeemed	02/01/16	L	A	

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 8 of 11

Name of Person Reporting

Murphy, Diana E.

Date of Report

05/15/2017

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)
69. US TREASURY, [REDACTED]		None	P1	T					
70. US TREASURY, [REDACTED]		None	P2	T					
71.									
72.									
73.									
74. HENNEPIN CNTY MN REGL RR, [REDACTED]	D	Interest	M	T					
75. HOPKINS MN INDPT SCH, [REDACTED]	B	Interest	L	T					
76. MINNESOTA ST UNREFUNDED, [REDACTED]	D	Interest	M	T					
77. MINNESOTA ST PREREFUNDED [REDACTED]	A	Interest	J	T					
78. MINNESOTA ST SER 2009 D, [REDACTED]	C	Interest	L	T					
79. MOUNDS VIEW MN ISD [REDACTED]	D	Interest	M	T					
80. MOUND MN RFDG TAX, [REDACTED]	C	Interest	L	T					
81. MINNEAPOLIS MN RFDG LIBR, [REDACTED]	B	Interest	L	T					
82. OMAHA NE VAR PURP SER A, [REDACTED]	D	Interest	M	T					
83. ORONO MN RFDG SER A G/O, [REDACTED]	C	Interest	L	T					
84. ST PAUL MN INDPT SCH, [REDACTED]	C	Interest	L	T					
85. SPRING LK PARK MN INDPT		None			Redeemed	02/01/16	L	A	

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 9 of 11

Name of Person Reporting

Murphy, Diana E.

Date of Report

05/15/2017

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)
86. TEXAS ST UNREFUNDED BAL, [REDACTED]	D	Interest	M	T					
87. TEXAS ST PREREFUNDED, [REDACTED]	A	Interest	J	T					
88. WEST FARGO ND PUB SCH, [REDACTED]	D	Interest	M	T					
89. Wells Fargo NTL Tax Free MM Fund, Mpls, MN	A	Interest	P1	T					
90.									
91. Checking Acct, Wells Fargo Bk, Mpls, MN	A	Interest	J	T					
92. Trust, Wells Fargo Bk (mun bds & cash eq)	G	Interest	P2	T					
93.									
94. Wells Fargo, IRA D. Murphy	A	Interest	M	T					
95. US Treasury [REDACTED]		None			Redeemed	01/28/16	O	A	
96. Royaltan MN [REDACTED]	D	Interest	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 10 of 11

Name of Person Reporting

Murphy, Diana E.

Date of Report

05/15/2017

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

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Murphy, Diana E.

Date of Report

05/15/2017

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/ Diana E. Murphy

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