

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                     |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Duncan, David K.                                                                                                                     | <b>2. Court or Organization</b><br><br>District of Arizona                                                                                                                                                                                                                                          | <b>3. Date of Report</b><br><br>12/16/2014                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>Full-time Magistrate Judge                                                    | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input checked="" type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2013<br>to<br>12/31/2013 |
| <b>7. Chambers or Office Address</b><br><br>Sandra Day O'Connor U.S. Courthouse<br>401 W. Washington St., SPC-14<br>Phoenix, AZ 85003                                                                     |                                                                                                                                                                                                                                                                                                     |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                                     |                                                                  |

## 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 and update 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><br>(yours, not spouse's) |
|-------------|------------------------------------------|----------------------------------------|
| 1. 12-17-13 | American Bar Association, Book Royalties | \$556.17                               |
| 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. 2013     | 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 | February 10-15, 2013 | Fairfax, VA     | Economic Institute for Judges, Week One | Travel, Lodging, Meals                                        |
| 2. George Mason University Law & Economics Center | December 8-13, 2013  | Duck Key, FL.   | Economic Institute for Judges, WeekTwo  | Travel, Lodging, Meals [REDACTED]<br>[REDACTED]<br>[REDACTED] |
| 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      | M                 |
| 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Wells Fargo Bank Accounts                                                                                                | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. General American Flexible Premium<br>Variable Life                                                                       | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. -- MetLife Stock Index Portfolio                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 4. -- Morgan Stanley EAFE Index Portfolio                                                                                   |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 5. -- Frontier MCG Portfolio                                                                                                |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 6. -- Fidelity Variable Insurance Funds Equity<br>Income Portfolio                                                          |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 7. -- MFS Research Int'l                                                                                                    |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 8. -- Jemison Growth Portfolio                                                                                              |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 9. Northwestern Mutual Whole Life                                                                                           | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 10. Northwestern Mutual Whole Life                                                                                          | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. Northwestern Mutual Whole Life                                                                                          | C                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. Fidelity Cash Reserves                                                                                                  | A                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 13. Prime Fund Daily Money Class                                                                                            | A                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 14.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 04/09/13                | K                               |                                |                                                                   |
| 15.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 10/09/13                | K                               |                                |                                                                   |
| 16. First Federal Credit Union Bank Accounts                                                                                | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 17.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

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

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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 the royalties reported in Part III were received during the reporting period.

The December 16, 2014 Amended Report for 2013 corrects the deficiency of not including within the 2013 Annual Report the component funds of the General American Flexible Premium Variable Life asset listed at line 2 in Part VII. This error occurred because I misunderstood the previously provided instructions advising not to include the value of these component funds.

Also, with respect to Part VII, line 5 of the Amended Report this is the new name for the fund identified at Part VII, line 23 of the Financial Disclosure Report for Calendar Year 2012, Black Rock Aggressive Growth Portfolio, which changed its name to Frontier MCG Portfolio effective January 7, 2013.

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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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