

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 11/05/2014
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 ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 1/1/2013 to 12/31/2013
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.		

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. 2013	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. 2013	Princeton University Press - book royalties	\$254.30
2. 2013	University of Colorado Law School - teaching	\$20,000.00
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. University of Illinois	4/10/13-4/12/13	Champaign, IL	educational program	Transportation, meals, hotel
2. Federal Judges Assoc.	4/24/13-4/25/13	Washington, DC	meeting	Transportation, meals, hotel
3. Federalist Society	11/15/13-11/16/13	Washington, DC	educational program	Transportation, meals, hotel
4. Yale University	12/08/2013-12/10/2013	New Haven, CT	educational program	Transportation, meals, hotel
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.		
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.	J	T					
3. - Long Term Tax Ex Bond Fund	D	Int./Div.	M	T					
4. - High Yield Bond Fund	E	Int./Div.	N	T					
5. - Int'l Fund	C	Int./Div.	N	T					
6. - S&P Fund	D	Int./Div.	N	T					
7. - Value Fund	D	Int./Div.	M	T					
8. - Interm Tax Ex Bond Fund	D	Int./Div.	N	T					
9. - Small Cap Fund	E	Int./Div.	M	T					
10. - Short Term Tax Ex Bond Fund	B	Int./Div.	M	T					
11. Walden Group LLC		None	N	W					
12. 529 Plans - VA Educ Savings Trust (Age Based)		None	N	T					
13. 529 Plans - College Invest Savings Plan (Age Based)		None	L	T					
14. Spouse 403B Plan - TIAA CREF	A	Int./Div.	J	T					
15. Senate Credit Union checking	A	Int./Div.	J	T					
16. USAA IRA Acct:									
17. -Target Retirement 2030 Fund	E	Int./Div.	O	T	Buy (add'l)	4/15/13	J		

1. Income Gain Codes:
(See Columns B1 and D4)

2. Value Codes
(See Columns C1 and D3)

3. Value Method Codes
(See Column C2)

A = \$1,000 or less
F = \$50,001 - \$100,000
J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000
Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000
R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000
T = Cash Market

E = \$15,001 - \$50,000

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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. [REDACTED] USAA IRA Acct:									
19. -Target Retirement 2030 Fund	C	Int./Div.	L	T	Buy (add'l)	4/15/13	J		
20. USAA SEP IRA Acct:									
21. - Money Market	A	Int./Div.	J	T					
22. - Precious Metals & Minerals Fund	A	Int./Div.	J	T					
23. - Global Oppty Fund	A	Int./Div.	L	T					
24. - Short Term Bond Fund	A	Int./Div.	J	T					
25. -Income Fund	A	Int./Div.	J	T					
26. - Intermediate Bond Fund	A	Int./Div.	J	T					
27. USAA CD Acct:									
28. - CDs	B	Int./Div.	M	T	Matured (part)	9/09/13	L		
29. - Money Market	A	Int./Div.	M	T					
30. USAA P.I. Mgmt Acct:									
31. - Money Market, Tax Ex Fund	A	Int./Div.	K	T					
32. - Adams & Weld Cts School Muni Bond 12/1/24	B	Interest	K	T					
33. - Adams 12 Muni Bond 12/15/14	B	Interest	K	T					
34. - Aurora Wtr Rev Muni Bond 8/1/22	B	Interest	K	T					

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

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35. - Boulder County CO Open Space Cap 7/15/22		None	K	T	Buy	12/23/13	K		
36. - Boulder Sch Dist 2 Muni Bond 12/1/15	A	Interest	K	T					
37. - Broomfield Sales and Use Tax 12/1/27	A	Interest	L	T					
38. - Colo Sch Mines Muni Bond 12/1/13	A	Interest			Matured	12/02/13	K		
39. - Colo St Brd Gov Univ Entr Sys Muni Bond 3/1/16	B	Interest	K	T					
40. - Colo Springs Col Util Muni Bond 11/15/20	B	Interest	K	T					
41. - Colo Springs Col Util Muni Bond 11/15/26	B	Interest	K	T					
42. - Colo Wtr Res & Pwr Muni Bond 8/1/24	B	Interest	K	T					
43. - Denver Exc Tax Rev Muni Bond 9/1/18	B	Interest	K	T					
44. - Eagle Garfield Routt Muni Bond 12/1/23	B	Interest	K	T					
45. - Longmont Co Enterprise WSTWTR Rev 11/1/26	A	Interest	K	T	Buy	5/29/13	K		
46. - Left Hand Wtr Muni Bond 5/15/13	A	Interest			Matured	5/15/13	K		
47. - Mesa College Muni Bond 5/15/23	B	Interest	K	T					
48. - Pueblo Cnty Sch Dist Muni Bond 12/15/21	B	Interest	K	T					
49. - S Miguel & Montrose Muni Bond 12/1/17	B	Interest	K	T					
50. - Summit Cnty School Dist 12/1/21	B	Interest	K	T					
51. - Teller Sch Dist Muni Bond 12/1/20	B	Interest	K	T					

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52. - Univ Colo Ent Sys Muni Bond 6/1/14	A	Interest	K	T					
53. -Univ Colo Ent Sys Muni Bond 6/1/25	B	Interest	K	T					
54. - Weld Sch Dist Muni Bond 12/1/19	B	Interest	K	T					
55. - Westminster Sls and Use Muni Bond 12/1/15	B	Interest	L	T					
56. - Short Term Tax Ex Bond Fund	A	Int./Div.	K	T	Buy (add'l)	5/16/13	J		
57.					Sold (part)	5/21/13	K		
58.					Buy (add'l)	6/04/13	J		
59.					Buy (add'l)	8/06/13	J		
60.					Buy (add'l)	11/19/13	J		
61.					Sold (part)	12/18/13	K		
62. [REDACTED] USAA Rev Trust:									
63. - Money Market, Tax Ex Fund	A	Interest	M	T	Buy	10/08/13	K		
64.					Buy	10/10/13	L		
65. [REDACTED] NatWest bank acct (x)	A	Interest	J	T					
66. [REDACTED] Standard Life Endowment Assurance Policy (x) *See Note (1)		None			Distributed	10/08/13	L	E	
67. [REDACTED] Standard Life plc (x) * See Note (1)	A	Dividend	J	T	Sold	12/23/13	J	D	

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(See Columns C1 and D3)

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

Note (1)

I recently became aware of these items, products of a gift from my [REDACTED] to [REDACTED]

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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
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Washington, D.C. 20544