

FINANCIAL DISCLOSURE REPORT

FOR CALENDAR YEAR 2004

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) Figa, Phillip S.		2. Court or Organization District Court - Colorado		3. Date of Report May 10, 2005	
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active		5. Report Type (check appropriate type) ____ Nomination, Date _____ ____ Initial ____ Annual ____ Final		6. Reporting Period 1/01/2004 to 12/31/2004	
7. Chambers or Office Address 901 19th Street, Chambers A-638 Denver, CO 80294		8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____			

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. Sign on last page.

I. POSITIONS. (Reporting individual only; see pp. 9-13 of Instructions.)

POSITION

NAME OF ORGANIZATION/ENTITY

☒ NONE (No reportable positions.)

1		
2		
3		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of Instructions.)

DATE

PARTIES AND TERMS

☐ NONE (No reportable agreements.)

1	2003	Burns Figa & Will, P.C. Buy-Out Agreement no control
2		

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of Instructions.)

DATE

SOURCE AND TYPE

GROSS INCOME

A. Filer's Non-Investment Income

☐ NONE (No reportable non-investment income.)

1	2004	Burns Figa & Will, P.C. Buy-Out Payment	\$ 15,000
2			\$
3			\$

B. Spouse's Non-Investment Income - If you were married during any portion of the reporting year, please complete this section. (dollar amount not required except for honoraria)

☐ NONE (No reportable non-investment income.)

1	2004	Burns Figa & Will, P.C. - Salary
2		

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IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.*(Includes those to spouse and dependent children. See pp. 25-27 of Instructions.)*SOURCEDESCRIPTION

	<u>SOURCE</u>	<u>DESCRIPTION</u>
☐	NONE (No such reportable reimbursements.)	
1	Council of Canadian Administrative Tribunals (CCAT) June 20-22	Speaker at 3d International Conference, Toronto, Canada (travel, lodging)
2	Colorado Trial Lawyers Association August 13-15	Speaker at Annual Meeting, Steamboat Springs, CO (food, lodging)
3		
4		
5		
6		
7		

V. GIFTS. *(Includes those to spouse and dependent children. See pp. 28-31 of Instructions.)*SOURCEDESCRIPTIONVALUE

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
☒	NONE (No such reportable gifts.)		
1			\$
2			\$
3			\$
4			\$

VI. LIABILITIES. *(Includes those of spouse and dependent children. See pp. 32-33 of Instructions.)*CREDITORDESCRIPTIONVALUE CODE*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE*</u>
☒	NONE (No reportable liabilities.)		
1			
2			
3			
4			
5			

*Value Codes: J=\$15,000 or less K=\$15,001-\$50,000 L=\$50,001-\$100,000 M=\$100,001-\$250,000
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 P3=\$25,000,001-\$50,000,000 P4=\$50,000,001 or more

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VII. Page 1 INVESTMENTS and TRUSTS — income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

A. Description of Assets (including trust assets) <i>Place "(X)" after each asset exempt from prior disclosure.</i>	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amt. Code1 (A-H)	Type (e.g., div., rent or int.)	Value Code2 (J-P)	Value Method Code3 (Q-W)	Type (e.g., buy, sell, merger, redemption)	(2) Date: Month- Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income,									
1 Guaranty Bank 8% Bond	D	int.			sell	12/31	M		Guaranty Capital Trust IV
2 Nonresidence Condominium			M	W					
3 U.S. Savings Bonds	A	int.	J	T					
4 State of Israel Bonds	A	int.	J	T					
5 Arapahoe Plaza III LLC	C	div./dist.	L	W					
6 Account No. 1									
7 DJH	A	div.	K	T					
8 QQQQ	A	div.	K	T					
9 SGD (common)	none		K	T	buy	12/13	K		
10 WY (common)	none				sell	1/05	K	B	
11 \$WVXX	A	int.	M	T					
12 VFINX	A	div.	K	T					
13 Account No. 2									
14 VGTSX	A	div.	K	T	buy	2/02	K		
15 VTSMX	A	div.	K	T	buy	1/08	J		
16 VFINX	C	div.	M	T					
17 MGR LX	none				sell	2/02	J	B	

1	Income/Gain Codes: (See Col. B1, 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 Col. C1, 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 Col. C2)	Q=Appraisal U=Book value	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market	

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VII. Page 2 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 34-37 of Instructions.)

A. Description of Assets (including trust assets) <i>Place "(X)" after each asset exempt from prior disclosure</i>	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amt. Code1 (A-H)	Type (e.g., div., rent or int.)	Value Code2 (J-P)	Value Method Code (Q-W)	Type (e.g., buy, sell, merger, redemption)	(2) Date: Month- Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions)									
18 MFOCX	none				sell	2/02	J	B	
19 Account No. 3									
20 FHLX	none		K	T					
21 IWM	A	div.	J	T	buy	2/11	J		
22 JAMRX	none				sell	2/10	J		
23 SWPIX	none				sell	9/09	J		
24 Janus Balance Fund	D	div./int.	L	T					
25 MS Info Fund B	none				sell	9/24	J		
26 Janus Enterprise	none				sell	12/10	K	D	
27 Account No. 4									
28 MFOCX	none		J						
29 VFIX	A	div.	J						
30 Account No. 5									
31 QQQ	none				sell	1/02	J		
32 SPY	none				sell	1/02	J		
33 Schwab 1000 Fund	none				sell	1/02	J		
34 SPY	A	div.			sell	4/12	J		

1	Income/Gain Codes: A=\$1,000 or less (See Col. B1, D4)	B=\$1,001-\$2,500 G=\$100,001-\$1,000,000	C=\$2,501-\$5,000 H=\$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: J=\$15,000 or less (See Col. C1, D3)	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	
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	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amt. Code 1 (A-J)	Type (e.g., div., rent or int.)	Value Code 2 (J-P)	Value Method Code (Q-W)	Type (e.g., buy, sell, merger, redemption)	(2) Date: Month-Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions)									
35 VIGRX	A	div.	J	T	sell	4/12	J		
36 4 1(K) #1									
37 Fidelity 2020 Fund	K	int/div.	N	T					
38 401(K) #2									
39 Fidelity Mutual Funds	D	div.			sell/rollover	3/01	O	F	
40 IRA #1									
41 Vanguard REIT Index Fund	D	div/cap. gain	M	T	buy	3/12	L		
42 Vanguard Small-Cap. Index Fund	A	div.	L	T	buy	3/12	L		
43 Vanguard Total Stock Market Index Fund	C	div.	O	T	buy	3/12	O		
44 Vanguard International Stock Index Fund	D	div.	M	T	buy	3/12	M		
45 IRA #2									
46 Fidelity Balanced Fund	A	div.			buy	10/06	K		
47 IRA #3									
48 PFORX	A	div.	J	T	buy	10/11	J		
49 PZVFX	A	div.	J	T	buy	10/11	J		
50 GFAFX	A	div.	J	T	buy	10/11	J		
51 FDVIX	A	div.	J	T	buy	10/11	J		

1	Income/Gain Codes: (See Col. B1, 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 Col. C1, D3)	J=\$15,000 or less N=\$250,001-\$500,000 P3=\$25,000,001-\$50,000,000	K=\$15,001-\$50,000 Q=\$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	
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☐ NONE (No reportable income, assets, or transactions)									
52 VFSTX	A	div.	J	T	buy	10/12	J		
53 AVFIX	A	div.	J	T	buy	10/11	J		
54 MHCAX	A	div.	J	T	buy	10/12	J		
55 PMCIX	A	div.			buy	10/12	J		
56 Shelbourne PPTYS I Inc.	none				sell	10/06	J		
57 JAENX	none				sell	10/08	K	D	
58 JAWWX	none				sell	10/08	J	C	
59									
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64									
65									
66									
67									
68									

1	Income/Gain Codes: (See Col. B1, 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 H=\$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 Col. C1, 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	
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS (Indicate part of Report.)

Section VII. Certain changes from my last report (4/11/03) are unreported because they reflect activity occurring in 2003 after my prior report was submitted and because [REDACTED] of majority age has taken control of finances of his in the interim.

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 [REDACTED] U.S.C. § 7353 and Judicial Conference regulations.

Signature

Date

5/9/05

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.)

FILING INSTRUCTIONS:

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the
United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544