

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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) Ebel, David M.	2. Court or Organization Tenth Circuit Court of Appeals	3. Date of Report 07/06/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge (Senior)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address Byron White U.S. Courthouse 1823 Stout Street Room 109L 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. _____	_____
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. _____	_____
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. 2019	Public Employees Retirement Association (PERA) -- retirement
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.				
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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE CODE
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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. Northwestern Mutual Modified Whole Life Policies	E	Interest	M	T					
2. Mass. Mutual Whole Life Policy	C	Interest	K	T					
3. Thrivant Lutheran Brotherhood Whole Life Policy	B	Interest	K	T					
4. Open Intelligence Software Group, Inc. Class A Common Stock	A	Dividend	J	U					
5. IRA #1 (H)									
6. - Janus Henderson Money Market Fund D Shares	B	Interest	K	T	Sold (part)	01/08/19	K		
7.					Sold (part)	02/25/19	K		
8.					Buy (add'l)	06/03/19	K		
9.					Sold (part)	12/16/19	L		
10. - Janus Henderson Global Technology Fund D Shares	B	Dividend	J	T	Buy (add'l)	12/16/19	K		
11. - Janus Henderson Forty Fund D Shares	C	Dividend	L	T	Buy (add'l)	01/08/19	K		
12.					Buy (add'l)	02/25/19	K		
13.					Sold (part)	06/03/19	K	C	
14.					Buy (add'l)	12/16/19	J		
15. - Janus Henderson U.S. Growth Opportunities Fund D Shares	A	Dividend	J	T	Buy (add'l)	12/16/19	J		
16. - Janus Henderson Enerprise Fund D Shares	B	Dividend	K	T	Buy	02/25/19	K		
17.					Buy (add'l)	12/16/19	K		

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	

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18. - Janus Henderson Global Life Sciences Fund D Shares	A	Dividend	J	T	Buy	02/25/19	J		
19.					Sold (part)	06/03/19	J		
20. Brokerage (H)									
21. - Amazon.Com Inc		None			Sold	02/12/19	K	B	
22. - Fidelity Core Cash Management Account	A	Interest	J	T					
23. - Microsoft Corp	A	Dividend	K	T					
24. - AT&T Inc	B	Dividend	M	T	Buy	01/04/19	J		
25.					Buy (add'l)	02/27/19	J		
26.					Buy (add'l)	08/27/19	K		
27.					Buy (add'l)	10/07/19	K		
28. - Meet Group Inc Com		None			Buy	01/04/19	J		
29.					Buy (add'l)	01/15/19	J		
30.					Sold	03/12/19	J	A	
31. - Arista Networks Inc Com		None			Buy	01/10/19	K		
32.					Sold	06/19/19	K	C	
33. - Editas Medicine Inc Com		None			Buy	01/10/19	J		
34.					Sold	01/22/19	J	A	

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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	

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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				
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35. - Kohls Corp Com	A	Dividend			Buy	01/14/19	K		
36.					Sold	06/12/19	J		
37. - Attunity Ltd Shs New		None			Buy	01/24/19	J		
38.					Sold	02/25/19	J	A	
39. - Palo Alto Networks Inc Com		None			Buy	01/24/19	J		
40.					Buy (add'l)	03/07/19	J		
41.					Sold	05/28/19	J	A	
42. - Ark ETF Tr Fintech Innova		None			Buy	02/14/19	J		
43.					Sold	06/19/19	J	A	
44. - Nvidia Corp	A	Dividend			Buy	02/20/19	J		
45.					Sold	03/11/19	J		
46.					Buy	12/23/19	K		
47. - Invesco QQQ Tr Unit Ser 1	A	Dividend			Buy	05/02/19	K		
48.					Sold	08/09/19	K		
49. - Ericsson ADR		None	K	T	Buy	06/05/19	J		
50.					Buy (add'l)	06/19/19	J		
51. - Alibaba Group Holding Ltd		None			Buy	06/28/19	K		

1 Income Gain Codes: (See Columns B1 and D4)	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	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
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value				
3 Value Method Codes (See Column C2)					

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52.					Sold	10/03/19	K		
53. - Petmed Express Inc Com	A	Dividend			Buy	07/29/19	J		
54.					Sold	08/09/19	J		
55. - Enphase Energy Inc Com		None	K	T	Buy	09/16/19	J		
56.					Buy (add'l)	09/26/19	J		
57.					Sold	10/03/19	J	A	
58.					Buy	12/11/19	K		
59. - Solaredge Technologies Inc Com		None			Buy	09/16/19	J		
60.					Buy (add'l)	11/04/19	J		
61.					Sold	11/26/19	K	B	
62. - Verizon Communications		None	J	T	Buy	10/31/19	J		
63. - Nokia OYJ ADR		None			Buy	11/19/19	J		
64.					Buy (add'l)	11/26/19	J		
65.					Sold	12/11/19	J		
66. IRA #2 (H)									
67. - FDIC Insured Deposit at US Bank	A	Interest	L	T					
68. - Alibaba Group Hldg Ltd		None			Sold	05/28/19	K	A	

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69.					Buy	10/07/19	K		
70.					Sold	10/22/19	K	A	
71. - Home Depot Inc Com	A	Dividend	K	T					
72. - Salesforce Com Inc		None			Sold	08/09/19	K	C	
73. - Verizon Communications	A	Dividend			Sold	06/19/19	K		
74. - Abbvie Inc Com	A	Dividend			Buy	01/09/19	K		
75.					Sold	02/22/19	K		
76. - Royal Bank of Canada Com	A	Dividend			Buy	02/27/19	K		
77.					Sold	08/09/19	K		
78. - Apple Inc Com	A	Dividend	K	T	Buy	03/25/19	K		
79.					Sold	07/11/19	K	A	
80.					Buy	09/16/19	K		
81. - Vanguard World FDS Vanguard Information		None			Buy	04/09/19	K		
82.					Sold	06/19/19	K	A	
83. - Amazon.Com Inc		None	K	T	Buy	05/02/19	K		
84. - ALPS ETF Tr Clean Energy	A	Dividend	K	T	Buy	09/09/19	K		
85.					Buy (add'l)	12/23/19	K		

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86. - Keysight Technologies Inc Com		None	K	T	Buy	09/09/19	K		
87. - Chipotle Mexican Grill Inc Com		None	K	T	Buy	11/04/19	K		
88. - Nvidia Corp		None	K	T	Buy	12/23/19	K		
89. IRA #3 (H)									
90. - Dodge & Cox Stock Fd.	C	Dividend	K	T	Buy (add'l)	01/08/19	K		
91.					Sold (part)	03/07/19	K	C	
92.					Buy (add'l)	12/16/19	K		
93. - Dodge & Cox Balanced Fd.	B	Dividend	K	T	Buy (add'l)	12/16/19	K		
94. - Dodge & Cox Income Fd.	C	Dividend	L	T	Sold (part)	01/08/19	L	B	
95.					Buy (add'l)	03/07/19	L		
96.					Buy (add'l)	08/05/19	J		
97.					Sold (part)	12/05/19	J	B	
98.					Sold (part)	12/16/19	L	D	
99. - Dodge & Cox Global Stock Fund	A	Dividend	J	T	Buy	01/08/19	K		
100.					Sold (part)	03/07/19	K	B	
101.					Sold (part)	08/05/19	J	A	
102. IRA #4 (H)									

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103. - MFS Intl Diversification I Fund	A	Dividend	K	T					
104. - AIG Focused Div Strat A Fund	A	Dividend			Sold	07/25/19	K		
105. - Cambiar SMID Investor Fund	A	Dividend	L	T					
106. - Templeton Global Total Return Adv Fund	A	Dividend			Sold	07/25/19	K		
107. - BrandywineGlobal Alt Credit I	A	Dividend	J	T					
108. - FT North American Energy Infra	B	Dividend	K	T					
109. - Catalyst Millburn HGD Strat I	B	Dividend	K	T					
110. - American Bond Fund of America F2	B	Dividend	L	T	Sold (part)	11/07/19	J	A	
111. - Vanguard Value ETF	A	Dividend	K	T	Buy	07/25/19	K		
112. - The Financial Sel Sect SPDR Fd	A	Dividend	J	T	Buy	07/25/19	J		
113. Brokerage #2 (H)									
114. - Fidelity MSCI Information (X)	A	Dividend	J	T					
115. - Fidelity NASDAQ Composite Indes (X)	A	Dividend	J	T					

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

1) This report was prepared on my behalf by my accountant.

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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 M. Ebel**

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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