

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) Murphy, Michael R.	2. Court or Organization U.S.C.A. 10th Circuit	3. Date of Report 08/05/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III Judge, Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address Bennett Federal Bldg., Room 5438 125 South State Street Salt Lake City, UT 84138-1181		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1. See VIII	Utah Judicial Retirement
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 7

Name of Person Reporting

Murphy, Michael R.

Date of Report

08/05/2014

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. 12/28/2013	Annuity - State of Utah Judicial Retirement Plan. The income shown is the annual distribution -- See Section VIII	\$46,570.28
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. Federal Judicial Center	04/07/13 to 04/10/13	Boston, MA	Law & Society Program	transportation, lodging & meals
2. American Conference Institute	07/30/13 to 07/31/13	San Francisco, CA	Bad Faith Litigation Forum -- speaker/participant	transportation, lodging & meals
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting

Murphy, Michael R.

Date of Report

08/05/2014

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.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting

Murphy, Michael R.

Date of Report

08/05/2014

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. WF PMA premier pkg	A	Interest	K	T					
2. WF Money Market Prime Checking Acct.	A	Interest	J	T					
3. Wells Fargo IRA Brokerage Acct. (including)	D	Dividend	N	T					
4. -- IOO I Shares TR S&P Global Index Fund	A	Dividend	K	T	Sold (part)	9/19/13	J	B	
5. -- IJR I Shares TR S&P Smallcap 600 Index Fund	A	Dividend	L	T					
6. -- EZU I Shares Inc. MSCI EMU Index Fund	A	Dividend	K	T					
7. -- IVW I Shares S&P 500 Growth Index Fund I Shares Trust	A	Dividend	L	T	Sold (part)	09/19/13	J	B	
8. -- SPY SPDR S&P 500 ETF Trust Unit	A	Dividend	K	T					
9. -- MDY SPDR S&PMidcap 400 ETF Trust	A	Dividend	L	T	Sold (part)	09/19/13	J	C	
10. -- VVO Vanguard Int'l Equity Index Fund Emerging Markets	A	Dividend	K	T					
11. -- EFA IShares MSCI EAFE Index Fund	A	Dividend	J	T					
12. -- WPS IShares S&P Developed EX-US property index fund	A	Dividend	J	T					
13. -- EMB IShares JP Morgan ETF Emerging Markets Bond Fd	A	Dividend	J	T					
14. -- CIU IShares Barclays ETF Intermediate Credit Bond Fund	A	Dividend	J	T					
15. -- PCY Powershares EM MAR ETF SOV DE PT	A	Dividend	J	T					
16. -- PHB Powershares High Yld ETF Corporate Bond Portfolio	A	Dividend	J	T					
17. -- BSV Vanguard Short Term Bond ETF	A	Dividend	J	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		P4 ~More than \$50,000,000		
(See Column C2)	Q ~Appraisal	R ~Cost (Real Estate Only)	S ~Assessment	T ~Cash Market	
	U ~Book Value	V ~Other	W ~Estimated		

FINANCIAL DISCLOSURE REPORT

Page 5 of 7

Name of Person Reporting

Murphy, Michael R.

Date of Report

08/05/2014

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. Wells Fargo Standard Brokerage Account (including)	B	Dividend	M	T					
19. -- Ishare S&P 500 value index fd IVE	B	Dividend	K	T					
20. --Ishare S&P 500 Growth IVW (x)	A	Dividend	L	T	Spinoff (from line 7)	01/01/13	K		
21. -- Cash & Sweep Funds	A	Interest	J	T					
22. --Mutual Funds / WF Adv. Ultra Short Term (x)	A	Dividend			Distributed (part)	4/1/13	N		
23.					Distributed (part)	05/03/13	K		
24.					Distributed	06/18/13	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 7

Name of Person Reporting

Murphy, Michael R.

Date of Report

08/05/2014

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

Part III: Non-Investment Income

As of the date of my resignation from the Third District Court, State of Utah, in October 1995, I had accumulated nine years in the state judicial retirement plan. In February 2009 I transferred funds from the Wells Fargo IRA to purchase an additional year, bringing my total years to ten. That qualified me to receive benefits when I reached the age of 62 in August 2009. This is an annuity type plan. In 2013 I received monthly payments from the Utah State Judicial Retirement Plan for a total of \$46,570.28.

Part VII: Investments and Trusts

Line 20: You will see in the report for 2012 (Line 11) a partial distribution of the IVW stock from the IRA Brokerage Acct [REDACTED] I neglected to show that it was transferred to the Standard Brokerage Acct [REDACTED] on 12/28/12 as it did not appear on my December 2012 statement.

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Murphy, Michael R.

Date of Report

08/05/2014

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/ **Michael R. 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