

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Morgan, Marshal D.	2. Court or Organization U.S. District Court - District of Puerto Rico	3. Date of Report 04/08/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge - Full-Time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2018 to 12/31/2018
	5b. ☒ Amended Report	
7. Chambers or Office Address Federal Building Room 150 150 Chardon Avenue San Juan, Puerto 00918		
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. 2005	AMGS&PO 401k Retirement Acct. w/ former law firm. No contributions by me or the firm made since 2005. No profit sharing.
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Morgan, Marshal D.

Date of Report

04/08/2021

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.

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.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Morgan, Marshal D.

Date of Report

04/08/2021

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. St. John's School	Tuition Agreement	J
2. Robinson School	Tuition Agreement	J
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Morgan, Marshal D.

Date of Report

04/08/2021

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. AMGS&OP RETIREMENT PLAN:									
2. - American Funds Grow Fund of Amer Inv Opt	E	Dividend	M	T					
3. - State Street U.S. Bond Index Ret Opt	A	Dividend	K	T					
4. - Transamerica Stable Value Ret Opt	D	Dividend	K	T					
5. - Transamerica Partners Stock Index Ret Opt	A	Dividend	K	T					
6. BAIRD INVESTMENT ACCOUNT:									
7. - Capital World Growth & Income CL A (CWGIX)	A	Dividend	J	T					
8. - Fundamental Investors CL A (ANCFX)	A	Dividend	J	T					
9. - Growth Fund of America CL A (AGTHX)	A	Dividend	J	T					
10. - New World Cl A (NEWFX)	A	Dividend	J	T					
11. - Small Cap World CL A (SMCWX)	A	Dividend	J	T					
12. - Income Fund of America CL A (AMECX)	A	Dividend	J	T					
13. PERSONAL BANK ACCOUNTS									
14. Banco Popular Cash Accounts		None	J	T					
15. Banco Popular Educational Savings Accounts	A	Int./Div.	J	T	Redeemed (part)	01/31/18	J	A	Cashed in 2 Edu. CD's
16. Caribe Federal Credit Union Checking/ Savings Accounts	A	Dividend	K	T					
17. NORTHWESTERN MUTUAL LIFE INSURANCE POLICIES									

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	

Table with 2 columns: Name of Person Reporting, Date of Report. Row 1: Morgan, Marshal D., 04/08/2021

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.)

Table with 10 columns: A (Description of Assets), B (Income during reporting period), C (Gross value at end of reporting period), D (Transactions during reporting period), and 5 sub-columns for D. Rows 18-34 list various investments like Northwestern Mutual Whole Life Insurance, Select Bond, International Equity, etc.

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
2 Value Codes: F =\$50,001 - \$100,000, G =\$100,001 - \$1,000,000, H1 =\$1,000,001 - \$5,000,000, H2 =More than \$5,000,000
3 Value Method Codes: Q =Appraisal, R =Cost (Real Estate Only), S =Assessment, T =Cash Market

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

Morgan, Marshal D.

Date of Report

04/08/2021

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)
35. Small Cap Growth Stock (MSA/Wellington)	A	Dividend	J	T					
36. International Growth (MSA/FIAM LLC)	A	Dividend	J	T					
37. Small Cap Value (MSA/T. Rowe Price)	A	Dividend	J	T					
38. Domestic Equity (MSA/Delaware)	A	Dividend	J	T					
39. NORTHWESTERN MUTUAL VARIABLE COMPLIFE(TAM)									
40. Mid Cap Growth Stock (MSA/Wellington)	A	Dividend	J	T					
41. High Yield Bond (MSA/Federated Inv.)	A	Dividend	J	T					
42. Index 400 Stock (MSA)	A	Dividend	J	T					
43. Small Cap Growth Stock (MSA/Wellington)	A	Dividend	J	T					
44. International Growth (MSA/FIAM LLC)	A	Dividend	J	T					
45. Small Cap Value (MSA/T. Rowe Price)	A	Dividend	J	T					
46. Domestic Equity (MSA/Delaware)	A	Dividend	J	T					
47. NORTHWESTERN MUTUAL VARIABLE COMPLIFE (MDM)									
48. Select Bond (MSA/Wells Capital Mgmt)	A	Dividend	J	T					
49. International Equity (MSA/Franklin Tmpl)	A	Dividend	J	T					
50. Govt Money Market (MSA/BlackRock)	A	Dividend	J	T					
51. Mid Cap Growth Stock (MSA/Wellington)	A	Dividend	J	T					

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	

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)
52. High Yield Bond (MSA/Federated Inv.)	A	Dividend	J	T					
53. Index 400 Stock (MSA)	A	Dividend	J	T					
54. Small Cap Growth Stock (MSA/Wellington)	A	Dividend	J	T					
55. International Growth (MSA/FIAM LLC)	A	Dividend	J	T					
56. Small Cap Value (MSA/T. Rowe Price)	A	Dividend	J	T					
57.									

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 8 of 9

Name of Person Reporting

Morgan, Marshal D.

Date of Report

04/08/2021

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

This financial disclosure was amended in the following manner:

Part II Agreements: to add the 401k from the former law firm where I worked from 1997-2005. I am fully vested and no additional contributions can be made to that account, nor have they been made since I left the firm in 2005. There is no profit sharing with that account or any other.

Part VI Liabilities: to add the two tuition agreements that I only recently realized should be included in this Section.

Part VII Investments and Trusts: to delete several investments that were inadvertently included for each Northwestern Mutual Variable Complife policy. The list of investments and trusts prior to the amendment for this year included all the possible investment options that could have been made for each Northwestern Mutual Variable Complife policy. Post amendment, this section now includes only the actual investments made by each policy.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Morgan, Marshal D.

Date of Report

04/08/2021

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/ **Marshal D. Morgan**

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