

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><br><br>Kimball, Dale A.                                                                                                                     | <b>2. Court or Organization</b><br><br>United States District Court, District of Utah                                                                                                                                                                                                    | <b>3. Date of Report</b><br><br>03/09/2021                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>U.S. District Judge, Senior                                                   | <b>5a. Report Type (check appropriate type)</b><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2020<br>to<br>12/31/2020 |
| <b>7. Chambers or Office Address</b><br><br>350 South West Temple<br>Suite 10.400<br>Salt Lake City, Utah 84101                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## 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. Board Member        | Utah Chapter, Federal Bar Association                     |
| 2. Master of the Bench | American Inn of Court I                                   |
| 3. Member              | Fellow of the American Bar Foundation                     |
| 4. Member              | American Bar Association                                  |
| 5. Member              | Federal Judges' Association                               |
| 6. Member              | Judicial Conference Committee on Criminal Law             |
| 7. Member              | Utah State Bar Committee on New Lawyer Training/Mentoring |

## 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. 1997     | Retirement Benefits - Parr Brown Gee & Loveless (former law firm) |
| 2.          |                                                                   |
| 3.          |                                                                   |

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Name of Person Reporting

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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><br>(yours, not spouse's) |
|-------------|-----------------------------------------------|----------------------------------------|
| 1. 2020     | Parr Brown PS Retirement Payment (retirement) | \$35,000.00                            |
| 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.          |                        |
| 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.            |              |                 |                |                               |

|                          |                |
|--------------------------|----------------|
| Name of Person Reporting | Date of Report |
| Kimball, Dale A.         | 03/09/2021     |

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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                      |  |      |   |   |  |  |  |  |  |
|------------------------------------------------------|--|------|---|---|--|--|--|--|--|
| 1. Individual Assets (H)                             |  |      |   |   |  |  |  |  |  |
| 2. Draper Irrigation (Water Pro, Inc)                |  | None | K | T |  |  |  |  |  |
| 3. Real Estate - Draper City, Salt Lake County, UT   |  | None | N | W |  |  |  |  |  |
| 4. PARR BROWN/CHARLES SCHWAB RETIREMENT PLAN (H)     |  |      |   |   |  |  |  |  |  |
| 5. Mt. Jordan Limited                                |  | None | L | T |  |  |  |  |  |
| 6. American Funds Wash Mut R6 (RWMGX)                |  | None | J | T |  |  |  |  |  |
| 7. Dodge & Cox Stock (DODGX)                         |  | None | J | T |  |  |  |  |  |
| 8. JP Morgan Large Cap Growth R6 (JLGMX)             |  | None | J | T |  |  |  |  |  |
| 9. MainStay Large Cap Growth I (MLAIX)               |  | None | J | T |  |  |  |  |  |
| 10. Schwab S&P 500 Index (SWPPX)                     |  | None | J | T |  |  |  |  |  |
| 11. American Beacon Small Cp Val Inst (AVFIX)        |  | None | J | T |  |  |  |  |  |
| 12. Carillon Eagle Mid Cap Growth R6 (HRAUX)         |  | None | J | T |  |  |  |  |  |
| 13. Janus Henderson Triton N (JGMNX)                 |  | None | J | T |  |  |  |  |  |
| 14. Vanguard Mid Cap Index Admiral (VIMAX)           |  | None | J | T |  |  |  |  |  |
| 15. Victory Sycamore Established Value (VETAX)       |  | None | J | T |  |  |  |  |  |
| 16. American Funds Europacific Growth R (RERGX)      |  | None | K | T |  |  |  |  |  |
| 17. Invesco Oppenheimer Developing Markets Y (ODVYX) |  | None | J | T |  |  |  |  |  |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. Principle Real Estate Securities In (PRRAX)                                                                            |                                        | None                                   | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 19. JPMorgan Core Bond R6 (JCBUX)                                                                                          |                                        | None                                   | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 20. PGIM Total Return Bond R6 (PTRQX)                                                                                      |                                        | None                                   | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 21. Invesco Stable Val Trust CF (46X587XX5)                                                                                |                                        | None                                   | J                                              | T                                  |                                           |                  |                          |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

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

Part VII, line 4: With respect to underlying assets, the filer does not have either the right or the ability to select individual holdings within this account other than to select the level of risk (moderate). The filer does not have the right or ability to direct sale or purchase transactions within this account, as those are dictated by Schwab based upon the selected level of risk within the parameters established with the firm. Income is not allocated to individual holdings within this plan, and the plan does not provide information regarding the transactions it performs. The individual positions and their values currently controlled by Schwab and credited to this account are identified at lines 5-21; they are subject to change by the plan without the filer's knowledge or control. This plan was established for the filer by the filer's former law firm and, despite request, no additional information is available.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

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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/ **Dale A. Kimball**

**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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Washington, D.C. 20544