

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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 05/06/2021
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 01/01/2020 to 12/31/2020
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.	

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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. 12/30/2020	Annuity - State of Utah Judicial Retirement Plan. The income shown is the annual distribution -- See Section VIII	\$51,918.82
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.				

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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.		
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. WF PMA premier ckg	A	Interest	J	T					
2. WF Money Market Prime Checking Acct.	A	Interest	L	T					
3. Wells Fargo IRA Brokerage Acct (including)									
4. -- IOO IShares Global 100	A	Dividend	K	T	Sold (part)	05/21/20	J	C	
5. -- EZU IShares MSCI Eurozone	A	Dividend	J	T	Sold (part)	05/21/20	J	B	
6. -- IVW IShares S&P 500 Growth	A	Dividend	K	T					
7. -- SPY SPDR S&P 500 Trust Unit	A	Dividend	L	T					
8. -- MDY SPDR S&P Midcap 400 Trust Series N	A	Dividend	K	T					
9. -- VVO Vanguard Intl Equity Index Fds FTSE Emerging Markets	A	Dividend	K	T					
10. -- EFA IShares MSCI EAFE Index Fund	A	Dividend	J	T					
11. -- WPS IShares Intl Developed Property	A	Dividend	J	T					
12. -- EMB IShares JP Morgan USD Emerging Markets Bond Fd	A	Dividend	J	T					
13. -- PCY Invesco TR II Emerging Mkts Sovereign Debt	A	Dividend	J	T					
14. -- PHB Invesco TR II Fundamental High Yield Corporate Bd	A	Dividend	J	T					
15. -- IJT IShares S&P Small Cap 600 Growth	A	Dividend	K	T					
16. -- IJS IShares S&P Small Cap 600 Value	A	Dividend	J	T					
17. -- IJK IShares S&P Midcap 400 Growth	A	Dividend	K	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	

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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				
	(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. -- IVE IShares S&P 500 Value	B	Dividend	K	T					
19. -- EEM 1Shares MSCI Emerging Markets		None			Sold	05/21/20	J	A	
20. -- XMLV Invesco Tr II S&P Midcap Low Volatility	A	Dividend	K	T					
21. -- SRLN SPDR Blackstone/GSO Senior Loan	A	Dividend	J	T					
22. -- XLI Industrial Select Sector SPDR	A	Dividend			Sold	05/21/20	J	A	
23. -- SPLV Invesco TR II S&P 500 Low Volatility	A	Dividend	J	T					
24. -- VGT Vanguard Information Tech	A	Dividend	K	T	Buy (add'l)	05/21/20	J		
25. -- VHT Vanguard Healthcare (x)	A	Dividend	J	T	Buy	05/21/20	J		
26. -- VDE Vanguard Energy (x)	A	Dividend	J	T	Buy	05/21/20	J		
27. -- Cash & Sweep Funds	A	Interest	J	T	Distributed (part)	11/30/20	K		
28. -- Mutual Fund GIUSX Guggenheim FDS Invt Grade Bd FD	A	Dividend	K	T					
29. -- Mutual Fund WPIX Wells Fargo Funds Core Plus Board Fund	A	Dividend	L	T					
30. WELLS FARGO STANDARD BROKERAGE ACCOUNT									
31. -- PCMXF Principal Calif. Municipal Fund Institutional Class	A	Dividend	K	T	Buy (add'l)	02/04/20	J		
32.					Buy (add'l)	05/21/20	J		
33. -- ALCVX AB Muni Incm Calif Adv Class Shares (x)	A	Dividend	K	T	Buy	01/24/20	K		
34.					Buy (add'l)	02/04/20	J		

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35.					Buy (add'l)	05/21/20	J		
36. -- VHT Vanguard Healthcare (x)	A	Dividend	J	T	Buy	05/21/20	J		
37. -- VDE Vanguard Energy (x)	A	Dividend	J	T	Buy	05/21/20	J		
38. -- VGT Vanguard Information Technology (x)	A	Dividend	J	T	Buy	05/21/20	J		

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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 2020 I received monthly payments from the Utah State Judicial Retirement Plan for a total of \$51,918.82.

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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/ **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
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Washington, D.C. 20544