

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2016**

*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) Thurman, William T.	2. Court or Organization U.S. Bankruptcy Court	3. Date of Report 4/28/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 350 South Main Street, Rm 358 Salt Lake City, Utah 84101		
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.	Board of Trustees	Utah Bankruptcy Lawyers Forum
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Thurman, William T.

Date of Report

4/28/2017

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.	
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.	American Bankruptcy Institute	Jan. 20, 21 and 22, 2016	Denver, Colorado	Speak at seminar	meals, lodging, travel expense and tuition waiver
2.	Norton Institute on Bankruptcy Law	Feb. 21 and 22, 2016	Park City, Utah	Speak at seminar	meals, lodging and tuition waiver
3.	National Conference of Bankruptcy Judges	March 13, 14 and 15, 2016	Fort Worth, Tx	Committee Chair; Mid year meeting	meals, lodging, travel expenses
4.	Federal Bar Association of Utah	May 13, 2016	St. George, Utah	Speak at seminar	tuition, meals

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting	Date of Report
Thurman, William T.	4/28/2017

5.	National Conference of Bankruptcy Judges	April 25, 26 and 27, 2016	Washington, D.C.	Visit selected members of Congress regarding duties as chair of NCBJ legislative comm	meals, lodging, travel expense
6.	Utah State Bar Association	July 6, 7, 8 and 9, 2016	San Diego, Calif	Attend Annual Bar Convention and presented a breakout session on bankruptcy	meals, lodging, travel expenses
7.	National Conference of Bankruptcy Judges	September 13, 14 and 15 2016	Washington, D.C.	Participate in Congressional Reception with officers of the FJA and the MJA	meals, lodging, travel expenses
8.	Federal Bar Association	October 12, 13, 14 and 15, 2016	Sun Valley, Ida	Participate at annual Tri-State Convention	meals, lodging, travel expenses
9.	National Conference of Bankruptcy Judges	October 25, 26, 27, 28 and 29, 2016	San Francisco, Calif	Attend Annual Meeting; Committee Chair	meals, lodging, travel expense

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Thurman, William T.

Date of Report

4/28/2017

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

Thurman, William T.

Date of Report

4/28/2017

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 I (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. Savings, checking Accts									
2. ---Mountain America Credit Union	D	Interest	J	T					
3. ---Zions First National Bank checking and savings	E	Interest	K	T					
4.									
5. Broker #1 Account									
6. ---Eaton Vance Tx Mngd Value C Fund	A	Int./Div.	K	T					
7.									
8. New England Life (funds held for filer as cash values)									
9. ---BlackRock Bnd Inc. Prt fund	A	Dividend	J	T					
10. ---BR Money Market Fund	A	Dividend			Sold	12/19/16	J	A	
11. ---BR Ultra Short Term Bond	A	Dividend			Buy	12/19/16	J		
12. ---MetLife Stock Index Fund	A	Dividend	J	T					
13. ---MFS Value Portfolio Fund	A	Dividend	J	T					
14. ---L/S Small Cap Fund	A	Dividend	J	T					
15. ---Baillie Intnl Stock fund	A	Dividend	J	T					
16. ---Mt/WellCoEquityOpp fund. See Part VIII	A	Dividend	J	T					
17. ---Jenison Growth Fund	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

Thurman, William T.

Date of Report

4/28/2017

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.									
19. IRA (Same Broker as #1) See Part VIII									
20. ---DA Davidson Money Market Fund	A	Int./Div.	J	T					
21. ---Davis NY Venture Value Cl C Fund.	A	Dividend			Sold	07/15/16	J	A	
22. ---Franklin Rising Dividends Cl C Fund	A	Dividend			Sold	07/15/16	J	A	
23. ---Thornburg Inv. Inc Builder Class C Fund	A	Dividend			Sold	07/15/16	J	A	
24. ---Capital Inc. Builder Class C fund	A	Dividend			Sold	07/15/16	J	A	
25. ---Growth Fund of Am Cl C Fund.	A	Dividend			Sold	07/15/16	J	A	
26.									
27.									
28. 401(K) Broker #4 Account;									
29. ---American Century One Choice 2020 Inst. Fund	B	Dividend			Redeemed	11/10/16	M	B	
30. ---American Cenury Retirement 2035 Trust II	B	Dividend			Buy	11/16/16	M		
31.									
32. Utah Educational Savings Plan, Age Based Gr; see Part VIII	A	Dividend	L	T					
33.									
34. Broker #3 Account									

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 7 of 9

Name of Person Reporting

Thurman, William T.

Date of Report

4/28/2017

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)

35. ---Fidelity Focused Stock Fund	A	Int./Div.	K	T					
36. ---Janus Balanced Fund C1 T	A	Int./Div.	K	T					
37. ---United Comm Bk Sr Nt 6%	A	Int./Div.	J	T					
38. ---Zions Bancorp. Mtn. 3.6% note	A	Int./Div.			Sold	11/09/16	K	B	
39. ---Wells Fargo & Co Pref Shares WFCPRX	A	Int./Div.			Buy	06/28/16	K		
40. ---Wells Fargo & Co Pref shares WFCPRX	A	Int./Div.			Sold	07/25/16	K	B	
41. ---Fidelity 500 Index Premium Class	A	Int./Div.			Buy	11/09/16	K		
42. ---									
43.									
44.									
45.									
46.									
47.									

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

Thurman, William T.

Date of Report

4/28/2017

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

Line 16 Part VII. Changed name from WMC Core Equity Fund

Line 19 Part VII. Filer's [REDACTED] withdraws nominal amounts of \$500 per month from these accounts. The broker liquidates so much of the accounts each month and deposits the cash into the money market account to make the distribution to filer's [REDACTED]

Line 32 Part VII. The full name of the fund is the Utah Educational Savings Plan. Age-Based Agressive Growth (529) Plan. Five separate funds are maintained for [REDACTED] under the filer's [REDACTED] names. Monthly contributions are made by the filer.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Thurman, William T.

Date of Report

4/28/2017

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/ William T. Thurman**

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