

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) Porfilio, John C.	2. Court or Organization 10th Circuit Court of Appeals	3. Date of Report 09/18/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior Circuit Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address Byron White US Courthouse 1823 Stout Street Denver, CO 80202-2505		
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.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

Porfilio, John C.

Date of Report

09/18/2015

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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2014

Andrew M. Norris, MD PC - salary

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

Porfilio, John C.

Date of Report

09/18/2015

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.	Visa	Credit card	J
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Porfilio, John C.

Date of Report

09/18/2015

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. USB Bank USA Deposit Account	A	Interest			Merged (with line 12)	12/11/14	J		
2. Ivy Asset Strategy Fund Class B	A	Interest			Sold	12/11/14	J		
3. Blackrock All Cap Global Res. A Fund	A	Dividend			Sold	12/11/14	J		
4. Ivy Asset Strategy Fund Class C Fund	A	Dividend			Sold	12/11/14	J	A	
5. Guarant Bank & Trust Co. Deposit Accounts	A	Interest	L	T					
6. First Eagle Global Fund Class A	A	Dividend			Sold	12/16/14	J	A	
7. Pimco Income Instl.	A	Dividend	J	T	Buy	12/31/14	J		
8. Ivy Asset Strategy Fund Class A	A	Dividend			Sold	12/11/14	J	A	
9. Invesco Balanced-Risk Fund A	A	Dividend			Sold	12/11/14	J	A	
10. Highland Global Allocation	A	Dividend	J	T	Buy	12/31/14	J		
11. Permanent Portfolio Fund	A	Dividend			Merged (with line 12)	12/11/14	L		
12. Sweep Account World Class Financial	A	Interest	J	T	Open	08/26/14	L		
13. Thromburg Inv. Inc.	A	Dividend	J	T	Buy	12/23/14	J		
14. Guggenheim SbP500 Eq Wt Technology	A	Dividend	J	T	Buy	09/05/14	J		
15. Schwab Intermediate-Term US Trs ETF	A	Dividend	J	T	Buy	09/02/14	J		
16. Schwab Short Term US Treasury ETF	A	Interest	J	T	Buy	10/01/14	K		
17. Schwab US Aggregate Bond ETF	A	Dividend	J	T	Buy	09/05/14	J		

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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
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 \$5,000,000	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 5 of 11

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18. Schwab US Broad Market ETF	A	Dividend	J	T	Buy	09/02/14	J		
19. Schwab US Dividend Equity ETF	A	Dividend	J	T	Buy	10/01/14	J		
20. Schwab US Large-Cap ETF	A	Dividend	J	T	Buy	09/02/14	J		
21. Schwab US Large-Cap Growth ETF	A	Dividend	J	T	Buy	09/02/14	J		
22. Schwab US Mid-Cap ETF	A	Dividend	J	T	Buy	09/02/14	J		
23. Schwab US Small-Cap ETF	A	Dividend	J	T	Buy	09/02/14	J		
24. SPDR Barclays Long Term Treasury ETF	A	Interest	J	T	Buy	10/01/14	J		
25. SPDR Nuveen Barclays Municipa Band ETF	A	Interest	J	T	Buy	10/01/14	J		
26. SPDR Nuveen Barclays ST Mun Bond ETF	A	Interest	J	T	Buy	10/01/14	J		
27. Schwab Short Term Bond Market	A	Dividend	J	T	Buy	11/03/14	J		
28. Schwab Total Bond Market	A	Dividend	J	T	Buy	11/03/14	J		
29. SPDR Barclays Long Term Treassury ETF	A	Interest			Sold	11/03/14	J	A	
30. SPDR Nuveen Barclays Municipal Bond,ETF	A	Interest			Sold	11/03/14	J	A	
31. Schwab US REIT EIF	A	Interest	J	T	Buy	11/06/14	J		
32. Rydex NASDAQ 100 iNV.	A	Dividend	J	T	Buy	12/02/14	J		
33. Schwab Short Term US Treasury ETF	A	Interest			Sold	11/03/14	K	A	
34. SPDR S&P 600 Small Cao Value ETF	A	Dividend	J	T	Buy	11/06/14	J		

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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	
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FINANCIAL DISCLOSURE REPORT

Page 6 of 11

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Porfilio, John C.

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35. SPDR Barclays Issuer Scored Corp Bd EDT	A	Interest	J	T	Buy	12/01/14	J		
36. Franklin Income FD Adv CL	A	Dividend	J	U	Open	12/15/14	J		
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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
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FINANCIAL DISCLOSURE REPORT

Page 7 of 11

Name of Person Reporting

Porfilio, John C.

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09/18/2015

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FINANCIAL DISCLOSURE REPORT

Page 8 of 11

Name of Person Reporting

Porfilio, John C.

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FINANCIAL DISCLOSURE REPORT

Page 9 of 11

Name of Person Reporting

Porfilio, John C.

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FINANCIAL DISCLOSURE REPORT

Page 10 of 11

Name of Person Reporting

Porfilio, John C.

Date of Report

09/18/2015

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

VII line 36, Frankline Income Fund ADV CL, was purchased during 2014 by former broker, Fidelity Investments, and transfered to current broker, World Class Financial , Inc. The date of acquisition was subsequent to my 2013 report and not reported to World Class by Fidelity. However, World Class records indicate the asst was transfered to it on 12/15/14 and its value on that date was under \$15,000. That asset was sold by World Class on 1/2/2015 in an amount of less than \$15,000.00. I do not have any other information available.

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Porfilio, John C.

Date of Report

09/18/2015

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/ **John C. Porfilio**

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