

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) Matheson, Jr., Scott M.	2. Court or Organization Tenth Circuit	3. Date of Report 05/07/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address Federal Building - Suite 5402 125 South State Street Salt Lake City, UT 84138		
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. Insert signature on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Professor/Lecturer (final arrangements pending)	University of Utah S.J. Quinney College of Law
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.	

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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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 1/7/2011	University of Utah - Gross Income (for pay period before entry on duty as judge)	\$6,180.56
2. 3/8/2011	Harvard University - Book Royalty	\$413.63
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.				

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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.

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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) 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. U.S. Savings Bonds (face value)		None	J	T					
2. Johnson & Johnson Common	A	Dividend	K	T					
3. University Federal Credit Union - Money Fund and Checking	A	Interest	K	T					
4. IRA - at Merrill Lynch	A	Dividend	K	T					
5. - Invesco Constellation (formerly AIM Constellation)									
6. - Easton Vance Strategic									
7. - Blackrock Capital (formerly Blackrock Fundamental)									
8. - Blackrock Basic									
9. - Putnam Equity Income									
10. - AllianceBernstein Growth									
11. IRA - University Federal Credit Union	A	Interest	J	T					
12. Utah State Retirement 401(k)		None	K	T					
13. TIAA-CREF Deferred Retirement Plans		None	P1	T					
14. Equitable Variable Life Insurance #1		None	J	T					
15. Equitable Variable Life Insurance #2		None	J	T					
16. TIAA-CREF Savings and Investment Plan (X)	C	Distribution	K	T					
17. TIAA-CREF Annuity (2 contracts) (X)	C	Distribution	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 \$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	

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

Part I. - The University of Utah S.J. Quinney College of Law has asked me to teach as schedules permit. Although final arrangements have not been completed, I have listed this in Part I. because they probably will be.

Part II. - My Nomination FDR listed in Part II. a 2007 book contract with Harvard Press for my book that was published in 2009. I have received royalties for book sales. The AO has advised that I do need to continue to list this matter in Part II. A royalty payment is listed in Part III-A.

Part III-A. - The gross income listed from the University of Utah was for the last pay period I worked there before I entered on duty as a judge.

Part VII.

1. My Nomination FDR listed Prudential Financial, Inc. Common in Part VII. It is not listed on this report because I sold it in November 2010 before I entered on duty as a judge.

2. [REDACTED] both died in August 2011. As a survivor beneficiary, [REDACTED] received a portion of [REDACTED] retirement account with TIAA-CREF, which is called a Savings and Investment Plan and is listed on line 16. [REDACTED] also received a portion of his TIAA-CREF annuity (two contracts), which is listed on line 17. In addition to the distribution from the annuity noted in VII.B.(2), [REDACTED] also received \$5.33 in interest. The gross value for the annuity in VII.C.(1) is based on a commuted value calculated by TIAA-CREF.

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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/ **Scott M. Matheson, Jr.**

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
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