

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 05/09/2014
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 01/01/2013 to 12/31/2013
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.		

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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.		
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. 24, 25, 26 2013	Denver, Colorado	Speak at seminar	meals, lodging, travel expense and tuition waiver
2.	Norton Institute on Bankruptcy Law	Feb. 24 and 25, 2013	Park City, Utah	Speak at seminar	meals, lodging and tuition waiver
3.	National Conference of Bankruptcy Judges	April 7, 8 and 9 2013	Phoenix, Az	Committee Chair; Mid year meeting	meals, lodging, travel expense.
4.	George Mason University	March 11-15 2013	Los Angeles, Ca	Participate in judges seminar	meals, transportation, lodging, tuition waiver
5.	Federal Bar Association of Utah	May 10, 2013	St. George, Utah	Speak at seminar	tuition, meals

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6.	National Conference of Bankruptcy Judges	April 23, 24 and 25 2013	Washington, D.C.	Visit selected members of Congress regarding duties as chair of NCBJ legislative comm	meals, lodging, travel expense
7.	National Conference of Bankruptcy Judges	September 17, 18 and 19, 2013	Washington, D.C.	Participate in Congressional Reception with officers of the FJA and the MJA	meals, lodging, travel expenses
8.	Federal Bar Association of Utah	September 20 and 21, 2013	Park City, Utah	Speak at seminar	meals, lodging
9.	National Conference of Bankruptcy Judges	October 29-Nov. 2, 2013	Atlanta, Ga	Attend Annual Meeting; Committee Chair	meals, lodging, travel expense
10.	Federal Bar Association of Utah	October 25, 2013	Salt Lake City, Utah	Participate in Annual Dinner and seminar	meal

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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) 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	D	Interest	K	T	Distributed (part)	07/09/13	M	A	
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	J	T					
11. ---MetLife Stock Index Fund	A	Dividend	J	T					
12. ---FI Val Leaders Fund	A	Dividend			Sold	07/10/13	J	A	
13. ---MFS Value Portfolio Fund	A	Dividend	J	T	Buy	07/15/13	J		
14. ---L/S Small Cap Fund	A	Dividend	J	T					
15. ---Baillie Intnl Stock fund	A	Dividend	J	T					
16. ---Davis Venture Value Fund	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	

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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)

18.									
19. IRA (Same Broker as #1)									
20. ---DA Davidson Money Market Fund	A	Int./Div.	J	T					
21. ---Davis NY Venture Value Cl C Fund.	A	Dividend	J	T					
22. ---Franklin Rising Dividends Cl C Fund	A	Dividend	J	T					
23. ---Thornburg Inv. Inc Builder Class C Fund	A	Dividend	J	T					
24. ---Capital Inc. Builder Class C fund	A	Dividend	J	T					
25. ---Growth Fund of Am Cl C Fund.	A	Dividend	J	T					
26.									
27. 401(K) Broker #4 Account; see part VIII									
28. ---Dodge & Cox Income Fund	A	Int./Div.			Sold	09/30/13	K	A	
29. ---Dodge & Cox Stock Fund	A	Dividend			Sold	09/30/13	J	A	
30. ---Riversource Trust Stable Cap II Fund	A	Dividend			Sold	09/30/13	K	A	
31. ---Royce Low priced Stock Fund	A	Dividend			Sold	06/27/13	J	A	
32. ---Prudential Jennison Growth Fund	A	Dividend			Sold	09/30/13	J	A	
33. ---American Funds EuorPacific Growth Fund Class A	A	Dividend			Sold	09/30/13	K	A	
34. ---Victory Established Value Fund 1	A	Dividend			Sold	09/30/13	J	A	

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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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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				
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35. ---Columbia Mid Cap Growth Fund	A	Dividend			Sold	09/30/13	J	A	
36. ---Brown Capital Mgt. small Cap. Fund	A	Dividend			Sold	09/30/13	J	A	
37. ---American Century One Choice 2015 Insti Fund (see Part VIII)	B	Dividend	M	T	Buy	10/18/13			
38.									
39. Utah Educational Savings Plan, Age Based Gr; see Part VIII	A	Dividend	J	T					
40.									
41. Broker #3 Account									
42. ---Fidelity Focused Stock Fund	A	Int./Div.	K	T	Buy	05/08/13	K		
43. ---Janus Balanced Fund C1 T	A	Int./Div.	K	T	Buy	05/08/13	K		
44. ---Vanguard Intermed Trm Invst Gr invest	A	Int./Div.			Buy	05/08/13	K		
45. ---Vanguard Intermed Trm Invst Gr Invest	A	Int./Div.			Sold	08/30/13	K		
46. ---United Comm Bk Sr Nt 6%	A	Int./Div.	J	T	Buy	08/12/13	J		
47. ---Zions Bancorp. Mtn. 3.6% note	A	Int./Div.	K	T	Buy	09/04/13	K		
48.									
49.									
50.									
51.									

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52.									
53.									
54.									

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

#27 Part VII. Broker #2 as listed in the 2012 report transferred control over this account and others to broker #4 on October 16, 2013 as part of a transfer by [REDACTED] former employer of all retirement accounts for its employees or retirees.

#37 Part VII. The filer had incorrectly interpreted information from Broker #4 when the first Report was filed within the last few weeks as the reports issued were not clear. Upon further review and investigation, the filer is informed that Broker #2 may have liquidated all accounts listed on lines 27 through 36, and then transferred the liquidated amount to Broker #4. Alternatively, all of the funds listed on lines 27 through 36 may have been transferred to Broker #4 and Broker #4 then liquidated them while in the 401(k) plan and then purchased on behalf of filer's [REDACTED] the mutual fund listed on line 37.

#38 Part VII. The full name of this fund is the Utah Educational Savings Plan, Age-Based Aggressive Growth (529 Plan). Five separate Funds are maintained for five separate [REDACTED] under the filer's [REDACTED] names. Monthly contributions are made.

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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/ 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
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Washington, D.C. 20544