

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) Murtha, J. Garvan	2. Court or Organization U.S. District Court - Vermont	3. Date of Report 05/08/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Senior	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 United States District Court P.O. Box 760 Brattleboro, VT 05302-0760		
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.	Beneficiary	Trust #1
2.	Beneficiary	Trust #3
3.	Trustee	Trust #4
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.)*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. _____

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. _____

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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. Amazon Stock	A	Dividend	J	T					
2. Atlassian Corp. Stock		None	J	T	Buy	11/30/16	J		
3. Bank of the Islands Account	A	Interest	J	T					
4. Broadcom Stock	A	Dividend			Sold	07/15/16	J	C	
5. Consumer Discretionary SPDR Fund	A	Dividend			Sold	06/30/16	K	C	
6. DWA Tech Leaders Fund	A	Dividend			Sold	11/29/16	K	A	
7. First Trust Consumer Fund	A	Dividend	J	T					
8. First Trust Exchange Fund	A	Dividend	K	T					
9. Guggenheim S&P 500 Fund	A	Dividend	K	T					
10. Healthcare Select SPDR Fund	A	Dividend			Sold	02/11/16	K	B	
11. iShares Barclays 7-10 Yr Treas. Bond	A	Interest	K	T					
12. iShares Core U.S. Fund	A	Interest	K	T	Buy	02/08/16	K		
13. iShares Edge MSCI Fund	B	Dividend	K	T	Buy	02/15/16	K		
14. iShares Iboxx Fund	A	Dividend	J	T					
15. iShares MSCI Germany Fund	A	Dividend			Sold	06/27/16	J		
16. iShares Nasdaq Bio Tech Fund	A	Dividend			Sold	02/05/16	J		
17. iShares Russell Top 200 Fund	A	Dividend			Sold	05/17/16	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 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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18. iShares S&P Latin America Fund	A	Dividend	J	T	Buy	10/07/16	J		
19. iShares Select Fund	A	Dividend	K	T					
20. iShares U.S. Home Fund	A	Dividend	J	T					
21. ML Bank Deposit Account	A	Interest	J	T					
22. Nuveen High Yield Fund	A	Interest	K	T					
23. Nvidia Stock	A	Dividend	J	T	Buy	11/07/16	J		
24. Powershares QQQ Trust Fund	A	Dividend	K	T					
25. Salesforce Com Stock		None	J	T	Buy	03/29/16	J		
26. Sector SPDR Consrms STPL Fund	A	Dividend			Sold	11/29/16	K	C	
27. Sector SPDR Energy Fund	A	Dividend	J	T	Buy	05/25/16	J		
28. Skyworks Stock	A	Dividend			Sold	11/30/16	J		
29. SPDR KBW Bank ETF Fund	A	Dividend			Sold	02/10/16	J	A	
30. SPDR Nuveen Barclay's Bond Fund	A	Interest	J	T					
31. SPDR Nuveen Barclay's Fund	A	Interest			Sold	12/30/16	J		
32. SPDR Nuveen Bloomberg Fund	A	Interest	J	T	Buy	06/24/16	J		
33. SPDR US Dividend Aristocrats Fund	A	Dividend	J	T	Buy	07/06/16	J		
34. Vanguard 500 Index Fund	A	Dividend	J	T	Buy	11/01/16	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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35. Vanguard Financial Fund	A	Dividend	J	T	Buy	12/07/16	J		
36. Vanguard Industrial Fund	A	Dividend	K	T	Buy	11/29/16	K		
37. Vanguard Interim-Term Fund	A	Interest	K	T					
38. Vanguard Short Term Bond Fund	A	Interest			Sold	02/08/16	K	A	
39. Vanguard Total Stk Fund	A	Dividend	K	T					
40. Wisdom Eur S/V Div Fund	A	Dividend			Sold	06/24/16	J		
41. Wisdom Tree Shs Japan	A	Dividend			Sold	02/11/16	J		
42. Merchants Bank Account	A	Interest	K	T					
43. Brattleboro Tennis Club, VT Stock		None	J	W					
44. Trust #4									
45. - Alphabet, Inc. Stock		None	K	T					
46. - Apple Stock	C	Dividend	M	T					
47. - AT&T Stock	C	Dividend	L	T					
48. - Automatic Data Processing Stock	B	Dividend	L	T					
49. - Berkshire Hathaway, Inc. Stock		None	L	T	Buy	03/07/16	L		
50. - Caterpillar Stock	D	Dividend	M	T					
51. - Coca Cola Stock	B	Dividend	L	T					

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52. - CSX Corp. Stock	C	Dividend	M	T					
53. - Diageo Stock	B	Dividend			Sold	12/01/16	K		
54. - Disney Stock	B	Dividend	M	T					
55. - Dodge & Cox Int'l Stock Fund	B	Dividend			Sold	06/07/16	K		
56. - Exxon Mobil Stock	D	Dividend	M	T					
57. - Home Depot Stock	B	Dividend	M	T					
58. - iShares Midcap Fund	A	Dividend	K	T					
59. - Johnson & Johnson Stock	B	Dividend	L	T					
60. - Mastercard Stock	B	Dividend			Sold	07/14/16	K	B	
61. - McKesson Corp. Stock	A	Dividend	K	T					
62. - Microsoft Stock	B	Dividend	L	T					
63. - Morgan J.P. Chase Stock	C	Dividend	M	T					
64. - Nestle Stock	B	Dividend			Sold	03/07/16	K	D	
65. - Nextera Energy Stock	B	Dividend	L	T					
66. - Northern Trust Gov't Fund	A	Interest	K	T					
67. - Novartis Stock	B	Dividend	K	T	Buy	12/01/16	K		
68. - Novo-Nordisk Stock	B	Dividend			Sold	12/01/16	K	C	

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69. - Oppenheimer Development Fund	A	Dividend	K	T	Buy	04/25/16	J		
70. - Procter & Gamble Stock	B	Dividend	L	T					
71. - Royal Dutch Shell Stock	D	Dividend	M	T					
72. - Starbucks Stock	A	Dividend	L	T					
73. - Teva Pharmaceutical Stock	B	Dividend	K	T					
74. - United Technologies Stock	C	Dividend	M	T					
75. - Vanguard Short Term Exempt Fund	A	Dividend	L	T					
76. Trust Company of VT - IRA									
77. - 3M Stock	A	Dividend	J	T					
78. - AbbVie Stock	A	Dividend	J	T					
79. - Accenture Ltd. Stock	A	Dividend	J	T					
80. - Air Products & Chemical Stock	A	Dividend	J	T					
81. - Alphabet, Inc. Stock		None	J	T					
82. - Apache Corp. Stock	A	Dividend	J	T					
83. - Apple Stock	A	Dividend	J	T					
84. - Applied Materials Stock	A	Dividend	J	T					
85. - Atmos Energy Stock	A	Dividend	J	T					

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86. - Berkshire Hathaway Stock		None	J	T	Buy	08/18/16	J		
87. - Bristol Myers Squibb Stock	A	Dividend	J	T					
88. - Colgate Palmolive Stock	A	Dividend	J	T					
89. - EMC Stock	A	Dividend			Sold	02/01/16	J	A	
90. - Emerson Electric Stock	A	Dividend	J	T					
91. - Fastenal Stock	A	Dividend	J	T					
92. - Franklin Res. Stock	A	Dividend			Sold	02/01/16	J		
93. - HCP Stock	A	Dividend	J	T					
94. - Illinois Tool Wks Stock	A	Dividend	J	T					
95. - iShare Midcap Fund	A	Dividend	J	T					
96. - iShare Small Cap Fund	A	Dividend	J	T					
97. - Johnson & Johnson Stock	A	Dividend	J	T					
98. - Johnson Controls Stock	A	Dividend	J	T					
99. - Matthews Asian Fund	A	Dividend	J	T					
100. - National Oilwell Varco Stock	A	Dividend	J	T					
101. - Nestle Stock	A	Dividend	J	T	Buy	08/18/16	J		
102. - Northern Trust Gov't Select Fund	B	Interest	J	T					

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103. - Novartis Stock	A	Dividend	J	T					
104. - Pepsico, Inc. Stock	A	Dividend	J	T					
105. - PIMCO Emerging Bond Fund	A	Interest	J	T					
106. - PIMCO Short Term Inst'l Fund	A	Interest	J	T					
107. - Procter & Gamble Stock	A	Dividend			Sold	08/18/16	J	B	
108. - Qualcom Stock	A	Dividend	J	T					
109. - Southern Co. Stock	A	Dividend	J	T					
110. - Spectra Energy Stock	A	Dividend	J	T					
111. - Target Corp. Stock	A	Dividend	J	T					
112. - Teva Pharma Stock	A	Dividend	J	T					
113. - United Technologies Stock	A	Dividend	J	T					
114. - US Bancorp Stock	A	Dividend	J	T					
115. - US Tips Bond	A	Interest	J	T					
116. - Vanguard Emerging Mkts Fund	A	Dividend	J	T					
117. - Vanguard Short Term Bond Fund	A	Interest	J	T					
118. - Wells Fargo Stock	A	Dividend	J	T					
119. - Wisdom Tree Emerging Debt Fund	A	Interest	J	T					

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	(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)
120. Merrill Lynch IRA									
121. - DWA Tech Leaders Fund	A	Dividend	J	T					
122. - First Tr Consumer Discret Fund	A	Dividend			Sold	06/16/16	J		
123. - First Tr Exchg Traded Fund	A	Dividend	J	T					
124. - Guggenheim S&P 500 Fund	A	Dividend	K	T					
125. - iShares Core U.S. Fund	A	Dividend	J	T	Buy	02/08/16	J		
126. - iShares Edge MSCI Fund	A	Dividend	J	T	Buy	02/17/16	J		
127. - iShares MCI Germany Fund	A	Dividend			Sold	06/27/16	J	A	
128. - iShares Nasdaq Biotech Fund	A	Dividend			Sold	02/05/16	J		
129. - iShares Russell Top 200 Fund	A	Dividend			Sold	05/17/16	J		
130. - iShares S&P Latin America Fund	A	Dividend	J	T	Buy	10/17/16	J		
131. - iShares Select Fund	A	Dividend	K	T					
132. - iShares 7-10 Yr Treas Bond	A	Interest	J	T					
133. - iShares U.S. Home Constr Fund	A	Dividend	J	T					
134. - Nuveen High Yield Muni Bond Fund	A	Interest	J	T					
135. - PIMCO Emerg Mkts Bd Fund	A	Dividend	J	T					
136. - PowerShares QQQ Trust 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)
137. - Sector SPDR Barclay's Bond Fund	A	Interest			Sold	11/29/16	J	A	
138. - Sector SPDR Consrms Fund					Sold	11/29/16	J		
139. - Sector SPDR Energy Fund	A	Dividend	J	T	Buy	06/25/16	J		
140. - Sector SPDR KBW Fund	A	Dividend			Sold	02/10/16	J		
141. - SPDR US Dividend Aristocrats Fund	A	Dividend	J	T	Buy	07/06/16	J		
142. - Vanguard 500 Index Fund	A	Dividend	J	T	Buy	10/14/16	J		
143. - Vanguard Financials ETF Fund	A	Dividend	J	T	Buy	11/29/16	J		
144. - Vanguard Industrial ETF Fund	A	Dividend	J	T	Buy	01/29/16	J		
145. - Vanguard Intermediate Term Bond Fund	A	Interest	J	T					
146. - Vanguard Short Term Bond Fund	A	Interest			Sold	02/08/16	J		
147. - Vanguard Total Fund	A	Dividend	J	T					
148. - Wisdom Tree Shs Japan Fund	A	Dividend			Sold	06/24/16	J		
149. Trust #1 Income Beneficiary	C	Distribution	M	T					
150. Trust #3 Income Beneficiary	C	Distribution	M	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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Name of Person Reporting

Murtha, J. Garvan

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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/ J. Garvan Murtha**

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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