

**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) Aspey, Mark E.	2. Court or Organization Arizona - U.S. District Court	3. Date of Report 05/08/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge - Full Time	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 Suite 200 123 N. San Francisco Street Flagstaff, Arizona 86001		
IMPORTANT NOTES: <i>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>		

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.	

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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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE 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. National Bank - AZ - accounts	A	Interest	J	T					
2. Arizona State Credit Union - accounts	A	Interest	J	T					
3. Brokerage Account #1 (Wells Fargo)									
4. -Bank of America	A	Dividend	J	T					
5. -Realty Income Corp	A	Dividend	J	T					
6. -Nstar Electric Co.	A	Dividend	J	T					
7. -ChevronTexaco	B	Dividend	K	T					
8. -Duke Energy	A	Dividend	J	T					
9. -Spectra Energy Corp	A	Dividend	J	T					
10. Brokerage Account #2 IRA (United Planners Financial)									
11. -American Legacy		None	N	T					
12. Brokerage Account #3 (Vanguard)									
13. -Vanguard GNMA	A	Dividend	K	T					
14. -Vanguard High Yield Tax Exempt	A	Interest	J	T					
15. -Vanguard Energy Fund Investor Shares	A	Dividend	K	T					
16. -VanguardTotal Int. Stock	A	Dividend	J	T					
17. -Vanguard REIT Index	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 = \$250,001 - \$500,000,000	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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18. -Vanguard Total Stock Market Index	A	Dividend	K	T					
19. -Vanguard Utilities ETF	A	Dividend	K	T					
20. -IRA - Vanguard Hlth Ca Ao		None	M	T					
21. Brokerage Account #4 (TD Ameritrade)									
22. -TEVA	A	Dividend	J	T					
23. -EXEL		None	J	T					
24. -Spectra Energy	A	Dividend	J	T					
25. -AONE		None			Closed	09/19/13	J		
26. -COV	A	Dividend	J	T					
27. -O	A	Dividend	J	T					
28. -FCX	A	Dividend	J	T					
29. -ZION	A	Dividend			Sold	09/06/13	J	A	
30. -REMX	A	Dividend	J	T					
31. Brokerage Account #5 IRA (ING)									
32. -Temp Global Bond Fund		None	K	T					
33. -First Eagle Global Bond Fund		None	K	T					
34. -Norfolk Southern Corp	A	Dividend			Distributed	12/10/13	J		

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35. Stocks									
36. -AT&T	A	Dividend	K	T					
37. -GE	A	Dividend	J	T					
38. -Exxon Mobil	A	Dividend	J	T					
39. -Geron		None	J	T					

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

VII. Line 25 AONE adjudicated bankrupt and ceased to exist, no value.

VII. Line 34 Norfolk Southern stock was gifted to [REDACTED]

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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/ Mark E. Aspey

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
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