

**Utah State Bar Commission  
Friday, October 6, 2017  
Utah Law & Justice Center**

**Agenda**

- 1. 9:00 a.m. Focus Item**  
  
60 Mins.      1.1      Retreat Follow Up: Connecting with Clients (**Tab 1, Page 3**)  
                         a. Shelly Alcorn Post Event Report  
                         b. Proposed Dan Jones Survey of Clients' Views on Services
  
- 2. 10:00 a.m. President's Report: John Lund**  
  
10 Mins.      2.1      Recognize Jeannine Timothy on 20 Year Employment Anniversary  
15 Mins.      2.2      Supreme Court Committee on ABA OPC Review (**Tab 2, Page 19**)  
01 Mins.      2.3      November 10<sup>th</sup> Fall Forum Report and Invitation (**Handout**)  
01 Mins.      2.4      November 9<sup>th</sup> Utah Minority Bar Association Banquet Invitation  
03 Mins.      2.5      Retreat Follow Up on Assignments  
  
10:30 a.m.      **Break**
  
- 3. 10:45 a.m. Action Items**  
  
10 Mins.      3.1      Select Professionalism Award Recipient (**Tab 3, Page 21**)  
10 Mins.      3.2      Select Community Member Award Recipient (**Tab 4, Page 25**)  
10 Mins.      3.3      Select Outstanding Mentor Award Recipient (**Tab 5, Page 31**)  
10 Mins.      3.4      Select Outstanding Pro Bono Award Recipient (**Tab 6, Page 52**)  
15 Mins.      3.5      Approve Audit Report: Mary Kay Griffin (**Tab 7, Page 54**)  
05 Mins.      3.6      Approve Funding for Data Risk Assessment
  
- 4. 11:45 a.m. Information Items**  
  
15 Mins.      4.1      Practice Portal and Web Site Report  
  
12:00 N.      **Break for Lunch**  
  
10 Mins.      4.2      Report on Remote CLE: Katie Woods  
01 Mins.      4.3      Report on New Professional Education Director: John Baldwin  
10 Mins.      4.4      Report on Domestic Case Process Committee: Liisa Hancock  
05 Mins.      4.5      Announcement of Process to Select ABA Delegates (**Tab 8, Page 81**)
  
- 5. 12:40 p.m. Other Business**
  
- 6. 12:45 p.m. Executive Session**  
  
1:00 p.m.      **Adjourn**

(Over)

**Consent Agenda (Tab 9, Page 83)**

(Approved without discussion by policy if no objection is raised)

1. Approve minutes of August 26<sup>th</sup> Commission Meeting
2. Approve Admissions of New Bar Applicants

**Attachments (Tab 10, Page 89)**

1. August 2017 Financials

**Calendar**

October 17	Admissions Ceremony	12:00 Noon	Capitol Building
October 23-28	Pro Bono Celebration Week		
November 7	Executive Committee	12:00 Noon	Utah State Bar
November 10	Fall Forum		Little America
November 10	UMBA Awards Banquet		Little America
November 10	University of Utah S.J. Quinney College of Law Fall Forum Event		S.J. Quinney College
November 17	Commission Meeting	9:00 a.m.	Ogden, Utah
December 1	Executive Committee	12:00 Noon	Utah State Bar
December 8	Commission Meeting	9:00 a.m.	Utah State Bar

**2018**

January 2                      Election Notices Due

**TAB**  
**1**

## UTAH BAR COMMISSION MEETING AGENDA ITEM

**Title:** Retreat Follow Up: Connecting with Clients

Item # 1.1

**Submitted by:** John Baldwin

Meeting Date: October 6, 2017

### **ITEM/ISSUE:**

At the August 2017 Commission Retreat, we participated in a discussion about changes in technology and developments in the legal profession which will eventually affect the role of lawyers, the delivery of their services, and the increasing demands and changing expectations of clients. This focus on change and the future is not a new exploration for the Bar Commission but helps us understand those developments in our world and to further direct efforts to determine how to best help our profession prepare. The discussion follows the extensive study of the future of the profession by our Futures Commission, culminating in a detailed Futures Report and then adoption of almost two dozen recommendations dealing with technology, innovation, and improved access to legal services.

At the Commission Meeting following the retreat, the Commission established an Access to Justice Coordinating Committee, discussed how the Young Lawyers Division might be involved in planning and preparing for changes, and created an Awards Committee to deal with a long-existing need to better organize the solicitation, nomination, selection, and presentation of the many varied awards given by the Bar. The Commission also discussed how it might become better involved in educating the profession about understanding client expectations in our changing world of technological innovation. The Commission has begun that process by renovating the Bar's website and creating the Utah Lawyer Practice Portal.

John Lund continued this discussion in the recent *Bar Journal* when he wrote, "In the coming year, I suggest we use these principles [of service, objectivity, the need to counsel, getting closer to the people we represent, remaining hopeful and doing things which are uncomfortable] to reclaim our prospects as a profession. We need to get proximate to our clients and our communities. We should meet with and hear directly from individuals and businesses. We should ask them what keeps them from calling on us and what would work better for them in terms of getting services from lawyers. Lawyer's opinions abound about how to make our profession more relevant. Wouldn't it be good to know what our current and future clients think about that?"

Attached, you will find a copy of the notes taken by Shelly Alcorn at the retreat and a proposal for a Dan Jones survey of select clients to form the basis of our next steps to educate the profession. This evaluation might then form the basis of a meeting with representatives of large firms in the state to review the findings and discuss ways to better respond to clients' needs, as well as to discuss access to justice efforts and the involvement of the Young Lawyers in projects to further new goals.

**Utah State Bar Strategic Shaping Retreat  
Post-event Report  
August 25, 2017**

**Summary**

The Utah State Bar conducted a strategic shaping retreat on August 25, 2017 at the Hyatt Park Central Hotel in Park City, Utah. The purpose of the meeting was to hold interactive discussions around critical questions identified by Bar leadership. All discussions and activities were designed to elicit ideas on how the Utah State Bar can focus on shaping their strategic environment in the next three- to five-year time frame. Not all ideas generated will be implemented, but those ideas that gained traction and energy during the event should be duly considered as an integrated part of Utah State Bar strategy in both the short and long term. All ideas were captured in the Appendix, along with the “enthusiasm” dots. The ideas individuals were most interested in should be prioritized.

**Societal Trends**

There are a number of global trends poised on the horizon that have the potential to remake society in a myriad of ways. Although these trends will play out differently in different industries and professions, and some may seem remote from the business of the Utah State Bar, each will carry with them unintended consequences creating ripple effects throughout our global system. These outcomes will range from positive to negative and all points in between.

The point is not to definitively predict what will or will not happen, but to keep an eye on potential “pain points” in our larger socio-economic sphere. Effective change strategies require us to plot coming changes on a sharply exponential curve, as opposed to the more linear ones we are used to. By using intelligence being gathered from an increasingly diverse set of sources, we will be in a better position to see trends and jump the curve with a greater degree of daring and confidence than may have been possible in the past.

Trends include:

**Global Population:** Global population continues to rapidly increase. Median estimates put global population at 9.7 billion in the year 2015 leading to greater demands on increasingly scarce resources. For reference, global population in the 1970s was approximately 3 billion.

**Increased Urbanization:** Urbanization trends have given rise to the concept of the mega-city with urban populations over 10 million and in some cases nearing 20 million. Approximately 81.5% of United States citizens now live in urban areas with estimates reaching 90% in the year 2050.

**Earth Overshoot Day:** With this increase in population, natural resource use has fallen into deficit with our citizens using more natural resources than the earth can replace. We reached EOD on August 2, 2017. From now until the end of 2017, we will use more natural resources than can be replaced.

***Rise of Technology and Artificial Intelligence:*** Rapid advances in artificial intelligence continue to astound even those researchers who are actively working on these programs. Current estimates are AI will soon cut a swath through white collar jobs that is more significant than the onslaught of robotics on blue collar jobs in the latter part of the 20<sup>th</sup> century. At particular risk are any professions that include routine decision-making tasks as part of the job.

## **Association Trends**

As framing, there are a number of large, interactive trends impacting trade associations and professional societies on a global scale. Utah State Bar leaders are urged to consider the impact of the following factors on all proposals they chose to prioritize and pursue in order to create the optimal member experience.

*Time Compression* – How can we save our members time?

*Total Noise* – How can we leverage our communications in an era of “total noise” so we are getting the right information to the right members right when they need it most?

*Specialization* – How can we be flexible enough to provide resources for emerging technologies within our own society?

## **Themes**

One of the purposes of having retreats such as this is to see if themes surface during the course of the discussions that can be used to guide the association as it moves into the future. Discussion questions are built in such a way that overlap in answers is not directly solicited, but is a possibility. When we see similar programs or ideas surface in multiple ways across several questions, we give those repeat appearances an additional level of scrutiny. At times this overlap can be attributed to a passionate volunteer who may bang the same drum in each group. Other times, the answers simply represent a trend in thinking that has been sparked in the room and is being applied in multiple settings. In this case, there were themes that surfaced which seemed organic to the discussion generated in the entire room.

We were able to identify three common themes that ran through the discussions that were held: ***Technology, Community Building and Client Service/Access to Justice***. The strategic initiatives the Utah State Bar chooses to pursue should be evaluated in light of these three themes to attempt to ensure a majority of current objectives are in alignment with those priorities. There will, of course, be objectives that are not directly related to these themes, but we encourage the use of this “theme” lens when discussing new programs to add to an already full, strategic agenda or considering the elimination of lesser objectives that will not advance the society in these directions.

- **Technology** – aggressively embrace emerging technologies especially around how artificial intelligence, blockchain, etc., will impact the daily practice of law. Conduct research into how technology is being applied in legal settings, as well as other business cases that can be instructive. Consider changes in Professional Rules that can accommodate a fundamental reordering of the attorney-client relationship. Consider establishing an on-going futures task force that routinely examines this environment to surface trends and offer guidance to members on how to adapt.

- **Community Building** – There may be a need to re-examine the role of the Bar in relationship with its members. Obviously, the role of the Bar as an enforcement mechanism is critical, however, the Bar may also have a role as advocate and support for members as well. Being seen as a place that can provide professional development and community could go far to establishing positive relationships at every level as well as increasing volunteer involvement.
- **Client Service/Access to Justice** – There is a need to help attorneys serve their clients better by not only ensuring attorneys are adequately prepared to adjust to the future but to provide services that help their clients do so as well. If applied well, technology can open up more opportunities for people to have access to the justice system. Attorneys should be able to facilitate and provide support services to ensure clients use these tools effectively. Also, as much of the “busy work” is reduced or eliminated, attorneys have a need to develop their softer skills to provide more coaching, guidance and emotional support to clients who are in distress.

## Conclusion

The Utah State Bar is a vibrant community and I very much enjoyed spending time with you in Park City. Thank you for your energy and your enthusiasm for this process. By making a joint commitment to see the Bar achieve its potential, you are serving as an example for associations and professional societies everywhere.

**ALCORN**  
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MANAGEMENT  
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sound advice. smart solutions.

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## **Raw Note Capture Utah State Bar**

These items were captured on all of the flip chart work done by our breakout groups. There is no expectation that every idea will be implemented, however we do suggest the Utah State Bar review those ideas that got a lot of traction from the participants in the session and examine how to implement them into your strategic operating environment.

**Scenario Exercise – after presentation about tech participants were asked to discuss the following issues....**

### **Potential Benefits of Coming Changes**

- More time off
- Lower overhead and reduced costs
- More consistent outcomes
- More focus
- Move faster/solve problems faster
- Increased access to justice
- Increased fairness and equality
- Data driven not tradition driven
- More transparency
- More connectivity
- Increased efficiency
- Massive knowledge
- Smaller office footprints
- Research
- Predictive capacity
- Standardized forms and processes

### **Concerns About the Coming Changes**

- More impersonal/isolationism
- “grey areas”
- Shifting models and keeping up
- Distrust
- Less need for us
- Unintended consequences
- Lack of accountability
- Systemic failures possible
- Human impact
- Ability to be heard
- Too modular/just a checklist
- Ethical issues and concerns
- Built in implicit bias in AI and data systems



- Mental health issues
- Loss of privacy
- No going back/all recorded
- A little knowledge is dangerous
- “Big Brother”

#### **What Does the Utah State Bar need to ask itself?**

- What is a lawyer’s role? Beside manner? Are we relevant?
- What training do we need?
- What is the Bar’s role in the market?
- Do we embrace or resist changes?
- How do we cross over with other professions?
- What’s the value of a Bar license?
- How do we allow for technological advancement while protecting the public?
- How do learn how to embrace and use technology?
- How do we keep our profession going?
- Does our profession need to keep going?
- What are our ethical concerns?
- Will self-representation go up?
- How do we help lawyers access new technology?
- Do we need another Futures Committee to look at tech, AI, etc?
- Can we find out what our members know about these topics?
- Can we put a tech column in the Bar Journal and on the website and keep it current?
- How do we change lawyers mindsets?
- How do we help our senior lawyers?
- How do we create inter-generational connections?
- How can we help our lawyers be professional, competent and ethical?
- Can we cooperate with other professionals to serve clients?
- Should we be regulating fee-splitting and advertising?

#### **Describe a “Day in the Life of the Future Lawyer”**

- Virtual and paperless
- More human approach, more of a counselor
- More accessible/graveyard shifts
- Blurred lines between work-time and off-time
- Automated
- Remote video
- Connected to technology
- Jeans and t-shirts
- Starbucks offices/more remote work
- Too accessible, always working
- E-invoicing
- Payments via Square or echeck

**Question Block 1: What practical things can we do over the near and short-term to better equip our members to adapt to coming changes and changes in consumer expectations?**

**1. Define and describe member constituencies and articulate differentiators.**

**Part 1: Constituencies to focus on**

- Techies vs old school (9)
- Size of firm (9)
- Part-time/Full-time (6)
- Minority owned firms (5)
- Specialty firms (govn't, in-house, etc) (5)
- 2<sup>nd</sup> language (5)
- Years out of school (3)
- Paid vs volunteer (2)
- Government (2)
- Age (1)
- Gender (1)
- Personality type (1)

**Part 2: Differentiators**

- Purpose of practice (do gooders vs rainmakers) (10)
- Definition of success (i.e., time vs money, partner vs work-life balance) (6)
- Geography (urban vs rural) (5)
- Different court rules (fed vs state) (0)
- What is important to each individual (0)

**2. Potential professional development opportunities.**

- What if...we developed a stronger online community? (14)
- What if...we improve our practice portal? (11)
- What if...we educate layers on online services (Facebook, Licensed Lawyer, etc.) (10)
- What if...we discuss "uber-lawyering" (9)
- What if...we held regular brown-bag lunch series? (5)
- What if...we focus on Bar journal articles? (3)
- What if...we held programs for senior bar members? (3)
- What if...we expand beyond our geographic area? (3)
- What if...we expand online legal research, job search services? (2)

**3. Potential changes in professional rules designed to facilitate adaptation?**

- What if...there were no boundaries to practice? (18)
- What if...we abolish fee splitting? (12)
- What if...we were able to respond to public criticism? (10)
- What if...lawyers were required to publish rates? (5)

- What if...Elon Musk (Tesla) owned a law business? (3)
- What if...we relax our conflict rules? (2)
- What if...we promote lawyers like monster truck rallies? (0)
- What if...lawyers could directly solicit work? (0)

#### **4. Potential for more innovative programs and services for members?**

- What if...we provided market driven research for what flat rate pricing lawyers should charge? (14)
- What if...we had reverse/mutual mentoring programs? (12)
- What if...we had remote court hearings? (11)
- What if...we had a robust data bank for members (briefs, forms, etc) (10)
- What if...we provided remote CLE? (9)
- What if...we held educational programs on tech? (6)
- What if...we were an incubator for new lawyers? (3)
- What if...we regulate the info/data going into the Utah Watson or equivalent? (2)
- What if...we held educational programs on the implementation and management of AI? (0)

#### **5. Potential for more innovative programs for the public/civil justice?**

- What if...there was a court-bar relationship on a self-rep evidence app, e.g., New York housing (16)
- What if...we expand the public's understanding of court forms and direct them to LPPs and lawyers? (14)
- What if...we had significant money to do programs: indigent defense, housing, LSC, low income representation, LDA, etc. (12)
- What if...we go find the people who need legal services: MD mass expungement clinic/program? (10)
- What if...access to justice required a core value of diversity and inclusion? (7)
- What if...we actually launch an LPP-successful launch and implementation (public recognition) (6)
- What if...we teach people how to LegalZoom (supplement TurboTax, etc). (5)
- What if...we had a legal check-up to encourage potential clients to find lawyers to supplement DIY (5)
- What if...the bar hosts the public's inquiry in law forums, law ed, online, on radio, etc. (4)
- What if...we have a lawyer/member – comprehensive "index card" that people use to access services, find lawyers statewide, a "one-stop" (4)
- What if...we hold a summit on access to justice – develop partners, bring in all stakeholders, find/fund solutions, set targets, measurables? (4)
- What if...we partner with other states? (3)
- What if...we could mine the data from Licensed Lawyer to direct efforts? (2)
- What if...we support Access to Justice Commission? (1)

**Question Block 2: What can we start, change or stop about the following so we can deploy our limited time, talent and treasure more effectively and solve more problems for our members?**

**1. What can we start, change or stop with our partners, coalitions, government affairs, etc?**

- What if...we increase attorney training opportunities provided by 3<sup>rd</sup> party partners (Apple, Westlaw, Casemaker, CPAs, etc.)? (17)
- What if...we ensure we are using courtroom resources effectively/maximize resources? (10)
- What if...we change our government affairs approach to be proactive/coalition based instead of reactive? (4)
- What if...we start working with organizations related to access to justice (non-profits, government entities, etc) (3)
- What if...we start working with venture capital groups? (3)

**2. What can we start, change or stop about research, data gathering or analysis?**

- What if...we research how AI is used by other professionals? (16)
- What if...we research what services the Bar could provide to members to increase our value? (12)
- What if...we research what legal customers need – why do they choose one lawyer over another, or choose to go pro se, etc) (11)
- What if...we track the growth of small firms so Bar can adapt to their needs? (7)
- What if...we study what data points judges use to make decisions? (6)
- What if...we research whether we are effectively connecting members to potential clients? (5)
- What if...we figure out what legal issues are being researched online? (3)
- What if...we analyze the value of paralegals/associates? (2)
- What if...we look at a comparative of hourly and fixed rates? (2)
- What if...we measure lawyer efficiency? (1)
- What if...we conduct cost/benefit research on motion practice/litigation strategy? (1)
- What if...we measure “win/loss” records? (0)
- What if...we data mine jury verdicts? (0)

**3. What do we start, change or stop about our communications, marketing and branding?**

- What if...we respond to criticisms for members, ‘we have our members backs’? (15)
- What if...we modernize our practice portal? (13)
- What if...we offer more practical tips to members? (12)
- What if...we spotlight attorneys more regularly? (7)
- What if...we take out radio/FB (social media) ads promoting the good we do to the public? (7)
- What if...we post in comments to promote attorneys? (1)
- What if...we advertise Bar services to small or solo firms? (1)
- What if...we start mentorship/NLTP services? (1)
- What if...we put suggestion boxes in public forums? (0)

#### **4. What do we start, change or stop about our technology and infrastructure?**

- What if...we start educating members about available on-line resources? (15)
- What if...we start tracking member participation in programs (use big data better)? (6)
- What if...we start evaluating resource allocation with respect to our technology vs other needs? (3)
- What if...we evaluate overhead expense for intra-bar CLEs? (1)

#### **5. What do we start, change or stop about our governance structure/volunteer leader development and management?**

- What if...we figure out “Big Bars” role with other Bar associations? (13)
- What if...we intentionally develop our volunteer base?
  - Helps our overall governance structure (9)
  - Teaches firms the value of volunteering and increasing their networks (13)
  - Imbues a sense of obligation – it helps your profession (2)
- What if...we get out of the CLE business and leave to others? (9)
- What if...we examine rule changes (how do we do if Supreme Court doesn’t see the vision?) (3)
  - We can be proactive and prioritize change (8)

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**Client:** John R. Lund  
**Client:** Utah Bar Association  
**Phone:** 801-536-6872

**Date:** July 11, 2017  
**Project Title:** Services Research  
**E-mail:** [jlund@parsonsbehle.com](mailto:jlund@parsonsbehle.com)

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## Services Research

### BACKGROUND

The Utah Bar Association would like to provide its members with insights related to better designing and providing service offerings to individuals and small businesses in Utah who are likely underleveraging the professional expertise of lawyers. Specifically, the Utah Bar Association would like to better understand:

1. How individuals and small businesses perceive using a lawyer
2. When and how individuals utilize services of lawyers and what obstacles/perceptions prevent them from utilizing lawyers more effectively
3. What would cause individuals and small businesses to hire attorneys more often
4. How to innovate lawyers' service offerings

### RESEARCH OBJECTIVES

Cicero will use the background as a backdrop to primary research – insights and final deliverables will be designed in a manner that enables the Utah Bar Association to inform its members regarding these key questions.

1. General Market Perceptions
  - a. Why do/don't people use lawyers?
  - b. What alternatives do people use if they choose not to use a lawyer?
  - c. How do people perceive lawyer engagement? Expensive, complicated, etc.?
2. Service Offerings
  - a. What packages are attractive to individuals and small businesses?
  - b. What about current offerings could be improved?
  - c. How would the market react to unique and innovative offerings (e.g., subscription services, etc.)?
  - d. What do people want from a lawyer?
  - e. What do they value the most?

## RECOMMENDED APPROACH

Cicero recommends designing a sophisticated survey instrument to appropriately delve into the desired questions of interest. It is also recommended to sample a high number of Utah residents and small business decision makers so that various sub-segments will be reliably represented in the overall sample.

### Methodology: Online Survey

1. Target samples:
  - a. General population: n=1,600
  - b. Small business decision makers: n=300  
\*Goal is to reach 50% of the sample via email only, and the other 50% via postcard
2. Recruit via online, mail and telephone
  - a. Online: participants will be emailed a personalized invitation to participate in the survey
  - b. Mail: participants will be mailed a personalized postcard invitation with instructions to access the survey online
  - c. Telephone: reminder telephone calls will be pursued for individuals not completing the survey with their initial email or postcard invitations

Survey Design and Programming: Cicero will implement an iterative process with the Utah Bar Association working team for feedback and insight regarding the development of the survey. The iterative process with the Utah Bar Association team will also be structured to ensure the answering of all research objectives.

Upon final approval of the survey questionnaire, Cicero will program the survey for online distribution. Prior to the launching of the survey, a series of pilot tests will be conducted to ensure all components of the survey are functioning properly. During this time, the Utah Bar Association working team will have ample opportunity to review the survey via a test link.

Survey Launch: Concluding the pilot tests, Cicero will conduct a soft-launch of the survey. The soft-launch will be sent to approximately 5% of the total sample. The soft-launch allows Cicero to fine tune specific aspects of the survey (e.g. flow, vocabulary, screening criteria, etc.) before being sent to all participants.

After confirming the survey is fully functional, Cicero will send an initial invitation to the entire sample. During this time, Cicero will monitor the progress of those responding to the survey and provide regular updates to the Utah Bar Association working team.

### Output:

- a. A PowerPoint report presenting the insights and providing detailed answers to the research objectives, including the hypothetical market share of varying product combinations

## PROJECT COSTS

The following project costs have been calculated assuming the project scope and methodology described in the proposal. If Utah Bar Association wishes to revise details of the proposal (e.g., sample size, types of analysis, recruiting or other considerations), Cicero Group reserves the right to adjust costs as needed – fees would not exceed the Total Project Fees described below unless the scope of the project is revised.

Project includes	Fee Description	Total
<ul style="list-style-type: none"> <li>▪ Project management <ul style="list-style-type: none"> <li>○ Ongoing collaboration with Utah Bar Association</li> <li>○ Coordination of all logistics related to phase</li> </ul> </li> <li>▪ Strategic thought leadership throughout the project (including Cicero team members being available for conference meetings throughout the project)</li> <li>▪ Survey questionnaire design</li> <li>▪ Post-card invitation costs (printing and mailing)</li> <li>▪ Telephone reminders</li> <li>▪ Data collection, cleaning, and preparation</li> <li>▪ Report development</li> <li>▪ Team presentation</li> </ul>	<b>Professional Services</b> Survey design, programming, monitoring, analysis, and telephone reminders	<b>\$35,000</b>
	<b>Survey Incentives Email Only Survey Participants</b> n=800 general population (\$10 per) n=150 small business (\$30 per)	<b>\$12,500</b>
	<b>Survey Incentives Postcard Participants (drawing for gift cards)</b> n=800 general population (two \$100 gift cards) n=150 small business (two \$100 gift cards)	<b>\$400</b>
	<b>Postcard Printing and Mailing Costs</b>	<b>\$7,000</b>
<b>TOTAL</b>		<b>\$54,900</b>

## TIMELINE



Overall project	
Survey design and respondent logistics (Weeks 1-3)	<ul style="list-style-type: none"> <li>▪ Project kick-off with the Utah Bar Association team</li> <li>▪ Identification of respondent pool</li> <li>▪ Survey programming and logistics</li> <li>▪ Pilot launch</li> <li>▪ Assessment of pilot launch</li> </ul>
Survey in field (Weeks 4-6)	<ul style="list-style-type: none"> <li>▪ Survey is fully launched</li> <li>▪ Quantitative analysis and report development</li> </ul>
Reporting & data analysis (Week 7-8)	<ul style="list-style-type: none"> <li>▪ Report on logistical outcomes of report</li> <li>▪ Draft final report</li> <li>▪ Data cleaning, preparing, analysis</li> <li>▪ Report creation</li> </ul>
Delivery (Week 9)	<ul style="list-style-type: none"> <li>▪ Final deliverables and presentation to Utah Bar Association</li> </ul>

### PROFESSIONAL ARRANGEMENTS

The project will be charged on Net-30 day terms. 50% of the project will be invoiced up-front and 50% of the project will be invoiced at the delivery of the final report.

Payment should be mailed to the following address:

Cicero Research, LLC  
Accounts Receivable Department  
35 N Rio Grande  
Salt Lake City, UT 84101  
Federal Tax ID#: 26-1190513

### Additional Provisions

The parties agree to hold each other's Proprietary or Confidential Information in strict confidence. For purposes of this Contract, Proprietary or Confidential Information shall include all information or material which (i) is not publicly available; (ii) gives the owner of the information some competitive business advantage or opportunity of obtaining such advantage or disclosure of which could be detrimental to the interests of that party; and (iii) is marked "Confidential," "Restricted," or "Proprietary Information" or other similar marking or known by the parties to be considered confidential and proprietary. The parties agree not to make each other's Proprietary or Confidential Information available in any form to any third party or to use each other's Proprietary or Confidential Information for any purpose other than as specified in this Contract. Each party's Proprietary or Confidential Information shall remain the sole and exclusive property of that party. Notwithstanding the foregoing, Cicero shall maintain and have access to all data for normative and internal business purposes. Additionally, Cicero reserves the right to invite all study participants to volunteer their e-mail address in order to participate in future studies or focus groups.

Each party hereto shall indemnify and hold the other party harmless against any and all liabilities, losses, damages, judgments, claims, causes of action, and costs (including attorney fees and disbursements) which the other party may hereafter incur, suffer, or be required to pay, defend, settle, or satisfy as a result of the party's breach of any terms of this Contract or the party's violation of applicable law.

This Contract shall be deemed executed in and performable primarily in Salt Lake County, Utah. This Contract shall be governed by, and construed in accordance with, the substantive laws of the State of Utah, exclusive of the choice of law rules of that state.

Any suit between the parties that arises from this Contract or relates to the subject matter of this Contract must be filed in a state or federal court in Salt Lake County, Utah. The parties expressly submit to the jurisdiction of said courts for purposes of any litigation arising from or related to the Contract and expressly waive any rights they may have for venue to

lie elsewhere. If a party files suit in violation of this paragraph, the opposing party shall, upon motion to the court, be entitled to dismissal of the suit, and shall further be entitled to recover its reasonable attorneys' fees incurred in connection with the motion.

The parties shall submit any dispute between or among them to mediation with a mutually agreeable mediator at a mutually agreeable time and place. The parties will negotiate in good faith to choose a mediator and a time and place for the mediation, and will pay equal shares of the mediator's fee. Absent an emergency or other compelling circumstances, such mediation must be completed before, and as a condition precedent to, filing of any lawsuit that arises from this Contract or relates to the subject matter of this Contract.

In the event any party files a lawsuit against another party that arises from this Contract or relates to the subject matter of this Contract, the prevailing party in such action shall be entitled to recover, in addition to damages or other forms of relief, its reasonable attorneys' fees and costs incurred in connection therewith.

The foregoing paragraphs survive termination of this Contract.

This Contract and any amendment thereto may be executed in any number of counterparts and transmitted by facsimile or e-mail, and each counterpart executed and transmitted in such way shall be considered an original for all purposes and shall together constitute one and the same instrument.

The State of Utah does not require that this contract be signed by the Company in order for the terms of the contract to be effective. We will consider the terms in this letter to constitute the agreement between the Company and Cicero unless amended in writing by the Company.

**TAB**  
**2**

## The April 2017 Report on Lawyer Discipline System in Utah

Completed By:

The American Bar Association Standing Committee on Professional Discipline

[https://www.utcourts.gov/resources/reports/docs/ABA-OPC\\_Report.pdf](https://www.utcourts.gov/resources/reports/docs/ABA-OPC_Report.pdf)

**TAB**  
**3**

**UTAH BAR COMMISSION MEETING  
AGENDA ITEM**

**Title:** Professionalism Award Selection

Item # 3.1

**Submitted by:** John Baldwin

Meeting Date: October 2, 2017

**ITEM/ISSUE:**

To select the Professionalism Award recipient.

**CRITERIA:**

The Professionalism Award recognizes a lawyer or judge whose “deportment in the practice of law represents the highest standards of fairness, integrity, and civility.” The award was first given out in 2004 and includes a list of prominent members of the Bar who have exhibited the type of truthfulness, reliability, and honor which is held as a standard among their peers.

**NOMINEES:**

1. Linda Jones

**PAST RECIPIENTS AND NOMINEES:**

<b>Past Recipients</b>		<b>Other Nominations That Year</b>
2016	Patrick Anderson	Ralph R. Mabey, Jenifer L. Tomchak
2015	Tara Isaacson	Kent Scott
2014	Laura S. Scott	Greg Bell, Martin Blaustein, R. Bruce Johnson, Stuart Schultz, Laura Scott, John A. Snow
2013	William S. Britt	Greg Bell
2012	Paul M. Durham	
2011	T. Richard Davis	T. Richard Davis Judge Glenn K. Iwasaki Sean Reyes
2010	Timothy B. Anderson	Richard Gunnarson
2009	Craig Mariger	Timothy B. Anderson T. Richard Davis
2008	Ellen Maycock Don Winder	
2007	Francis J. Carney	
2006	Bert L. Dart, Jr.	Victoria Kidman
2005	Hon. Richard C. Howe	Ray R. Christensen
2004	Ken Chamberlain M. Dayle Jeffs Stephen B. Nebeker Richard W. Campbell Hon. Gordon J. Low	Gary N. Anderson Carol Clawson Ray R. Christensen Ken Anderton Bill Schultz George Hammond Gayle McKeachnie

**INFO ONLY:**

**DISCUSSION:**

**ACTION NEEDED: X**

## Christy Abad

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**From:** Lori Seppi <lseppi@sllda.com>  
**Sent:** Friday, September 29, 2017 12:15 PM  
**To:** Christy Abad  
**Subject:** Professionalism Award Nomination

I am writing to nominate Linda Jones for the Professionalism Award.

Linda represents the highest standards of fairness, integrity, and civility. I worked with Linda at the Salt Lake Legal Defender Association for ten years. During that time, I saw Linda work tirelessly for her clients. She was always the first person in the office, and the last person to leave. She was scrupulous in her interpretation of the record, but zealous in her advocacy, and her dedication often resulted in favorable outcomes for those who otherwise may never have been heard at all. Linda taught me to treat everyone—from clients, to court personnel, to opposing counsel—with respect and civility.

In 2011, Linda left LDA to start an appellate practice firm. I miss her terribly, but I am glad that Utah finally gets to share what LDA had to itself for so many years—a strong, profoundly ethical, deeply dedicated legal advocate. Linda cares passionately about the law and about her clients. She has been an example of leadership, dedication, and impeccable moral character to me throughout my career, and she stands out in the legal community as a strong example of integrity, fairness, and civility. I cannot think of an attorney who would be more deserving of the Professionalism Award.

I could go on and on about Linda, and I will if you would like me to. You can reach me any time at (801) 933-8733.

Sincerely,

Lori J. Seppi  
Chief Appellate Attorney  
Salt Lake Legal Defender Association  
424 East 500 South, Suite 300  
Salt Lake City, UT 84111  
(801) 532-5444

The information in this transmission and its attachments, if any, is privileged and confidential, is attorney work product, and is intended for the recipients listed above. If you are neither the intended recipients nor a person responsible for the delivery of this transmittal to the intended recipients, you are hereby notified that any unauthorized distribution or copying of this transmittal or any part thereof is prohibited. IF YOU HAVE RECEIVED THIS TRANSMISSION IN ERROR, PLEASE IMMEDIATELY NOTIFY THE SENDER BY REPLY E-MAIL AND DELETE THE ORIGINAL MESSAGE.

## Christy Abad

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**From:** Kate Conyers <kconyers@sllda.com>  
**Sent:** Friday, September 29, 2017 2:22 PM  
**To:** Christy Abad  
**Subject:** Professionalism Award - Linda Jones

Dear Bar Commission – I would like to nominate Linda Jones for the Professional Award. I worked with Linda at the Legal Defenders in 2007-2008. I have also known her in the community since then as a member of the David Watkins Inns of Court. She has been a mentor to many members of the Women Lawyers of Utah, including me. She has helped to provide me opportunities in the legal profession, including my job at Legal Defenders. My experience with her and I believe her reputation in the legal community is that Linda exemplifies professionalism. I know from personal experience that Linda is always fair and intelligent and exercises integrity in her practice and in her relationships. Please consider Linda for this award.

Thank you.

Kate

Kate Conyers  
Salt Lake Legal Defenders  
424 East 500 South  
Salt Lake City, UT 84111  
Direct: 801-933-8799  
Fax: 801-933-8746



**TAB**  
**4**

**UTAH BAR COMMISSION MEETING  
AGENDA ITEM**

**Title:** Community Member of the Year Award Selection

**Item #** 3.2

**Submitted by:** John Baldwin

**Meeting Date:** October 6, 2017

**ITEM/ISSUE:**

To select the Community Member of the Year Award recipient.

**CRITERIA:**

Presented to a community member to recognize outstanding service toward the creation of a better public understanding of the legal profession and the administration of justice, the judiciary or the legislative process. To recognize a community member who over a period of time have served or assisted the legal profession in a significant way - has offered outstanding contributions of their time and talents to bar activities.

**NOMINEES:**

1. Roger Armstrong
2. Marianna Di Paolo

**PAST RECIPIENTS AND NOMINEES:**

Past Recipients		Other Nominations That Year
2016	JoLynn Spruance	
2015	Anne Burkholder	Susan Madsen
2014	Steven R. Burt	
2013	Robert Austin	Robert Austin, Steve Burt
2012	Mary Kay Griffin	Prof. Marianna Di Paolo Robert Austin
2011	Robert Myrick	Third Judicial Nominating Commission
2010	Linda Sappington	
2009	Karen Hale	
2008	Carma J. Harper	
2007	Daniel J. Becker	
2006	Donna K. W. Johnson	Dominique Meier
2005	Rev. France A. Davis	
2004	Peggi Lowden	
2003	Fraser Nelson	Bonnie Miller
2002	Sylvia Bennion	
2001	Jo Brandt	Sherrie Hayashi; Ethics Advisory Opinion Committee <i>Individual</i> Members
2000	Jennifer Yim	
1999	Ray O. Westergard	
1998	John Florez	
1997	Margaret R. Bird	
1996	Sherianne S. Cotterell	
1994	Ray O. Westergard	
1993	Lyle K. Campbell	
1992	Stanley B. Bonham	
1991	Norma W. Matheson	
1990	KSL	

**INFO ONLY:**

**DISCUSSION:**

**ACTION NEEDED: X**

## Christy Abad

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**From:** Beth Armstrong <Beth@phcpc.org>  
**Sent:** Tuesday, September 19, 2017 12:23 PM  
**To:** Christy Abad  
**Subject:** Re: Distinguished Community Member Award

Yes he is!

Sent from my iPhone

On Sep 19, 2017, at 11:50 AM, Christy Abad <[christy.abad@utahbar.org](mailto:christy.abad@utahbar.org)> wrote:

Thank you, Mrs. Armstrong, for your nomination. I just want to be sure I have the right man. Is your husband Roger Armstrong?

Christy

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**From:** Beth Armstrong [<mailto:Beth@phcpc.org>]  
**Sent:** Wednesday, September 13, 2017 1:39 PM  
**To:** Christy Abad <[christy.abad@utahbar.org](mailto:christy.abad@utahbar.org)>  
**Subject:** Distinguished Community Member Award

Christy,

I was reading through Utah Bar Journal (my husband left it on the counter), and came across the 2017 Fall Forum Awards. I was compelled to tear out that page because I need to nominate my husband. We are both very involved in the Park City Community. I do what I can through my non-profit work and service on 7 boards. However, my husband is the true hero of our family. He was head of the Entertainment Law Practice and Manatt, Phelps and Phillips in LA when we made the decision to move to Utah for our son who was a ski racer at the time. He maintained his practice working now from and has since become a Summit County Councilman, now in his second, four year term. He is very involved with three local organizations in town, Peace House, Children's Justice Center and People's Health Clinic. He provides countless hours of Pro Bono work with each of these organizations to insure the success of their mission in our community. In addition to this work he also serves on GOED and prior work with the Motion Picture Advisory Board. He works behind the scenes without fanfare on many issues that affect both Park City and all of Summit County and the state. In addition he is the greatest father to Brett, assisting him with his quest for medical school and Jessica as she balances her Broadway and film career, currently starring in the motion picture "Mamma Mia 2".

Thank you for reading.

Beth Armstrong  
Executive Director  
People's Health Clinic  
650 Round Valley Drive  
PO Box 681558  
Park City, UT 84068  
435-333-1875

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## **BIOGRAPHY OF ROGER L. ARMSTRONG, ESQ.**

Mr. Armstrong has been active in the entertainment industry for nearly 30 years first as a studio marketing executive and most recently as a prominent transactional entertainment attorney. Mr. Armstrong has been providing sophisticated legal representation to clients in the entertainment industry for the past fifteen years and currently operates his own private law practice.

Mr. Armstrong practices transactional law with an emphasis on intellectual property in the motion picture, television, emerging media, publishing and advertising and marketing industries. He has represented clients in substantial transactions with Warner Bros., Universal Pictures, Sony Pictures, Paramount Pictures, Walt Disney Company, 20th Century Fox, Fox Broadcasting Company, PBS, Discovery Channel, NBC Studios, HBO, Showtime, AMC and Bravo.

Mr. Armstrong represents theatrical motion picture and television producers, animation companies and motion picture production companies, television production companies along with motion picture and television actors and on-camera hosts, screenwriters, directors and book authors. Mr. Armstrong also provides legal advice to certain television news and magazine programs concerning defamation, rights of publicity and privacy issues.

Mr. Armstrong has substantial experience in film finance and has provided legal representation concerning diverse film finance structures. Mr. Armstrong also negotiates employment agreements for motion picture and television executives.

Mr. Armstrong also represents major corporations in negotiating sponsorship and endorsement agreements and agreements concerning product integration in motion picture and television productions. Mr. Armstrong also assists major companies with intellectual property assets that have been licensed for use as the basis of reality television series.

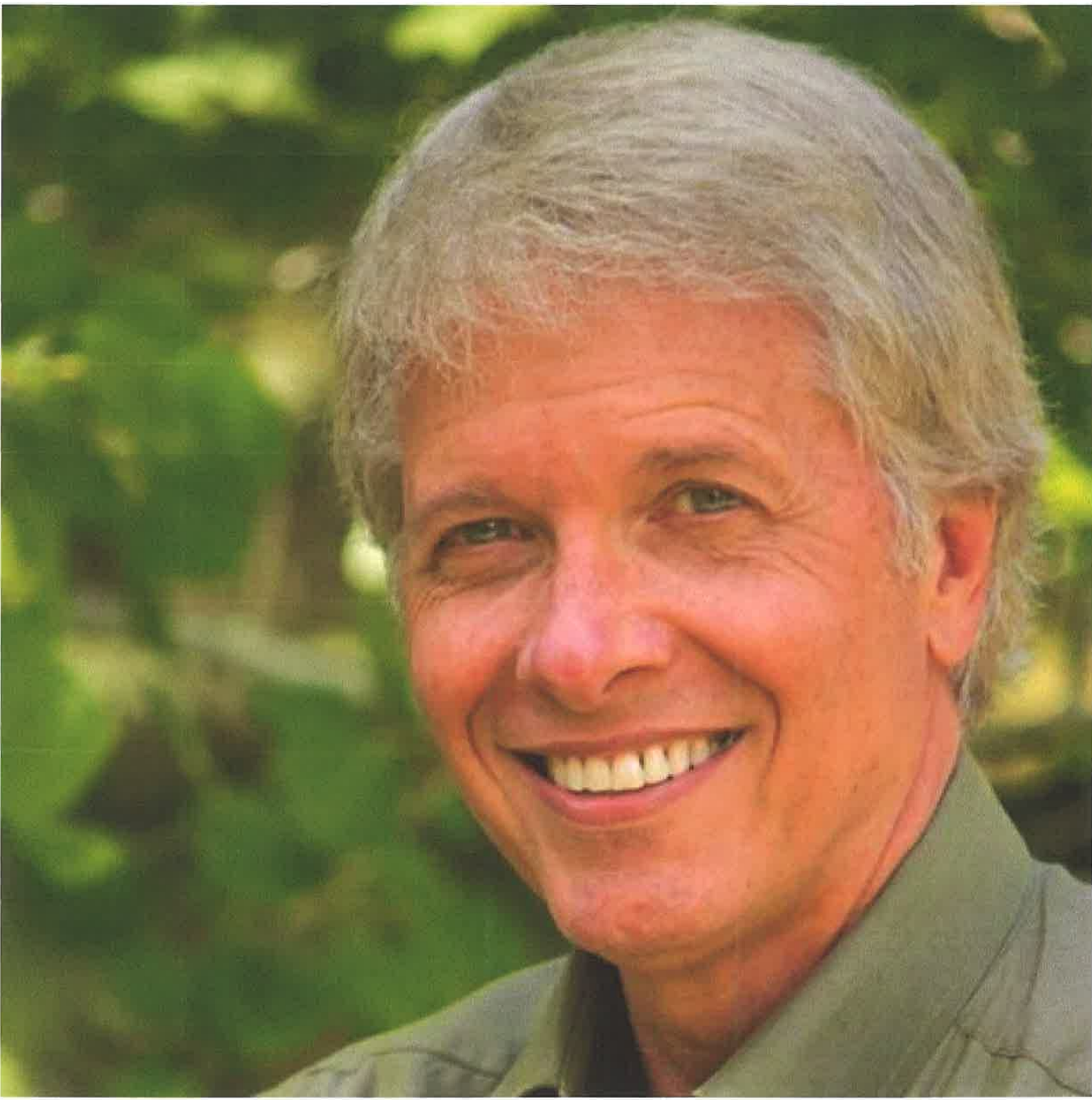
Mr. Armstrong began his legal career as a litigator with the national law firm of Baker & Hostetler but soon moved to the national law firm of Manatt, Phelps & Phillips, LLP and its substantial entertainment law practice. Mr. Armstrong was elected to partner at Manatt remarkably only five years after law school and, from 2002 to 2004, served as the co-chair of the law firm's Entertainment Practice Group.

Prior to becoming an attorney, Mr. Armstrong was a respected motion picture marketing executive. He served as Vice President of National Publicity for Universal Pictures and in the same capacity for TriStar Pictures and Executive Director of National Publicity for DeLaurentiis Entertainment Group.

Mr. Armstrong formulated and implemented publicity campaigns for well over a hundred motion pictures such as JFK, Field of Dreams, Back to the Future Parts II and III, Do the Right Thing, Tremors, Hook, Basic Instinct, Sea of Love, Gorillas in the Mist, Bugsy, Parenthood, Backdraft and Blue Velvet.

Mr. Armstrong lives in Park City, Utah, home of the Sundance Film Festival, and Los Angeles, California. He serves on the Motion Picture Advisory Committee for the Governor's Office of Economic Development for the State of Utah, which advises GOED concerning tax incentives for motion picture production in Utah. He also serves on the board of directors for the SLC Film Center in Salt Lake City, Utah.

Mr. Armstrong is a member of the Academy of Motion Picture Arts and Sciences and is admitted to practice in California and Utah. Mr. Armstrong is a graduate of the University of California at San Diego and Loyola Law School in Los Angeles, California.



## Christy Abad

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**From:** John R. Lund <JLund@parsonsbehle.com>  
**Sent:** Friday, September 29, 2017 3:49 PM  
**To:** Christy Abad  
**Subject:** Fwd: Your 2012 Nomination - Marianna Di Paolo

For the Community Member Award

Sent from my iPhone

Begin forwarded message:

**From:** Juli Blanch <[JBlanch@parsonsbehle.com](mailto:JBlanch@parsonsbehle.com)>  
**Date:** September 29, 2017 at 3:41:09 PM MDT  
**To:** "John R. Lund" <[JLund@parsonsbehle.com](mailto:JLund@parsonsbehle.com)>  
**Subject:** RE: Your 2012 Nomination - Marianna Di Paolo

Marianna has been on this committee since its inception. Her attendance at the meetings has not only been excellent, it has been crucial. She tells us how wording something a particular way is misleading and confusing and offers a better way to word a part of an instruction. She explains why it would be confusing to a lay person, so that we can also know how to work with her to fix what is confusing about the instruction. It has been wonderful to see how a university professor can lend her services to the Bar in order to create a set of instructions that are useful and understandable to the laypeople who serve on juries.



A Professional  
Law Corporation

**Juli Blanch • Attorney at Law**  
**Parsons Behle & Latimer**  
201 South Main Street, Suite 1800 • Salt Lake City, Utah 84111  
Main 801.532.1234 • Direct 801.536.6871 • Fax 801.536.6111

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**From:** John R. Lund  
**Sent:** Friday, September 29, 2017 12:05 PM  
**To:** Christy Abad <[christy.abad@utahbar.org](mailto:christy.abad@utahbar.org)>  
**Cc:** Juli Blanch <[JBlanch@parsonsbehle.com](mailto:JBlanch@parsonsbehle.com)>  
**Subject:** Re: Your 2012 Nomination - Marianna Di Paolo

Thanks. Juli, would you be able to do a few sentences about Marianne in support of her nomination for a Bar award?

Sent from my iPhone

**TAB**  
**5**

# Utah State Bar®

## M E M O R A N D U M

**TO:** Board of Bar Commissioners

**FROM:** Carrie T. Boren, Esq.  
Administrator, New Lawyer Training Program

**RE:** Outstanding Mentor

**DATE:** September 28, 2017

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The Utah State Bar Committee on New Lawyer Training considered 15 nominations for the Outstanding Mentor Award to be given at the November 2017 Fall Forum. All the nominees mentored a new lawyer in 2016. Five nominations were for the January 2016 mentoring term and 10 were from the July 2016 mentoring term.

The Committee voted to choose an award member from each term. For the January 2016 term, **Julia Kyte** received the most votes, Brian Coutts received the second most, and William Carlson received the third most votes. For the July 2016 term, **Leonor Perretta** received the most votes, James Holbrook received the second most, and Charles Livesy received the third most votes.

The Utah State Bar Committee on New Lawyer Training recommends that **Julia Kyte** and **Leonor Perretta** receive the 2017 Outstanding Mentor Award.

Sincerely,



Carrie T. Boren



# **RECOMMENDATIONS**

Mentor: Julia Kyte  
New Lawyer: Jeff Bramble  
Term: January 2016

I am writing to nominate Julia D. Kyte for the Outstanding Mentor Award. Julia was my mentor for the NLTP for the January 2016 term. Julia deserves this award because provided invaluable guidance in acquiring the skills needed to practice law in a highly professional and competent manner and guidance in balancing work and personal life.

Julia went above and beyond what was required of her as a mentor. In addition to our monthly meetings, Julia spent countless hours teaching me and showing me, through our cases we worked on together and through my own cases, how practicing in a professional, ethical, and efficient manner benefits our clients, our firm, and our profession. Julia also found many opportunities for me to gain experience by attending and participating in various proceedings.

For example, while working through one of my cases, I had issue arise with opposing counsel. One day counsel sent an email berating myself, our firm, and our client, making all sorts of misrepresentations and allegations. My initial reaction was to respond and give opposing counsel a piece of mind . I went to Julia with my issues and presented her my proposed response. Instead of simply reviewing the materials I gave to her and say whether it was good or not, she took that opportunity to show how responding in kind would only have made it worse and that responding in a professional manner would advance or client's case and avoid unnecessary fighting and potential motions practice. Julia reviewed with me some of the provisions in our Rules of Professional Conduct to show how we showed interact. More importantly, Julia explained and shared examples of how the legal community is small and it is little things like responding in kind to someone that will create and affect your reputation. She also taught that the concern should be centered on the client and resolving their issues.

There were, and are even after we finished the mentor program, countless occasions when Julia has stopped whatever she was doing and let me come in to her office and get advice, counsel, and sometimes just talk. I know at times this was a great sacrifice of her time because she had her full-time practice, was Chair of the Health Law Section, pregnant, and family. She never turned me away. During one of our mentor meetings, Julia could tell that I was stressed, as most new lawyers can be, with work load, cases, and life in general. After she had already spent an hour with me for our mentor meeting, she spent at least an additional hour talking about stress and how to manage it all. Julia was not simply concerned with accomplishing what was needed for the program but she was genuinely concerned for my well-being and helping me to figure out how to manage it all. Julia taught me that no matter what it is, whether it was running, working out, playing with my kids, or simply sitting and watching a show, I needed to make sure I did whatever kept me sane.

The final example is Julia always looked for opportunities where I could gain experience by attending and participating in various proceedings. One of my elective activities was regarding health care law. Julia was the Chair of the Health Law Section during my mentor

program and part of her practice focuses of health law. Julia arranged for me to attend seminars and forums so that I could attend and learn more about health care law and also to meeting other attorneys in the field. Julia also took me to a few hearing and proceedings so that I could attend and participate and start gaining experience.

These are just a few examples of how Julia went the extra mile. There are many more that I could share that show how she continually went above and beyond as a mentor. Julia deserves this award.

Mentor: Leonor Perretta  
New Lawyer: Janet Zaldivar Thorpe  
Term: July 2016

My mentor's name is Leonor Perretta. I think that she deserves the Outstanding Mentor Award because she was able to take my mentorship seriously, and truly went the extra mile in helping me develop as a new attorney during my first year of practice.

Every month we would meet together to discuss what we had scheduled for the new lawyer mentoring program, but she did not limit her mentorship to only those scheduled times. She made it clear that her door was always open for me, and I inundated her with questions, seeking guidance with regard to differing cases and client legal complications in the field of immigration law. Although I knew how busy she truly was, she would always welcome my questions and never acted as if she was annoyed or too busy to answer them. She then put trust in me, even though I was only a new attorney, and she assigned things to me that I wasn't sure I could handle, but her confidence in me helped me to tackle things head-on and realize that I was much more capable than I thought. I have learned so many things, not only about immigration law, or running an ethical and respectful practice, but also about work/life balance. To me she is a great example of balancing work with family/personal. She would come to work early, so that she could make time to go to the gym every day. She taught me to make time for family, make time for work, and make time for yourself. She was constantly volunteering at various legal clinics and inviting me to do the same. I have seen from her example that sometimes it's necessary to weigh one area more than another, depending on the circumstances, but to continually be striving for balance. This was a great example to me especially during my first year as an attorney. I have felt very lucky to have had Leonor as my mentor. She has always gone above and beyond the requirements of a mentor, she truly was an outstanding mentor.

**JANUARY 2016**

Mentor: Brian Coutts  
New Lawyer: Tyler Brown  
Term: January 2016

Brian S. Coutts was the ideal mentor for this type of program. Brian went the extra mile in every facet of the program. He started by helping me rework my goals. As a brand new lawyer, I did not know what goals I should be making. Brian met me for a weekly lunch. That's right...we ate lunch together every week. We talked about everything in the NLTP training guide, but most of our weekly conversation was centered around cases I was working and my family. He taught me how to keep the challenges of work from becoming challenges at home.

Brian is, by nature, a good listener. Being mentored by Brian was never like drinking from a fire hose. He chose his battles carefully. He provided a time and place for me to ask questions, and he answered those questions. He was careful to not overwhelm me with a bunch of information I did not ask for. When I was missing something important, he would question me until I realized I didn't have all the puzzle pieces. Then, he would help me fill in the gaps.

In addition to weekly lunches, Brian answered questions and checked in on me regularly throughout the week. I began working hard so I could share success stories with Brian. He was encouraging and seemed to take genuine pleasure hearing updates on the cases I was working.

Over time, Brian started sharing more and more about his cases and even asking my advice on specific issues. We both knew that I lacked the experience to be giving him advice, but he asked anyways. We would evaluate options together. Sometimes we would disagree, and that was fine. He helped me to not take myself so seriously.

My debt to Brian is impossible to repay. Not only has he helped me to make a better-than-expected living as a new attorney, he has shown me how practicing law can be fun. We continue to have weekly lunches. We share stories and laugh a lot. I consider him a close friend--a much older friend who has children my age.

I hope Brian will receive the recognition he deserves.

Mentor: Jens Jenkins  
New Lawyer: Sam Noel  
Term: January 2016

I would like to nominate my mentor, Jens Jenkins, for the NLTP Outstanding Mentor award. Jens was my mentor for the January 2016 term.

Jens truly went the extra mile as my mentor during my first year of practice. Jens applied each of the NLTP topics to our work as patent prosecutors. This really helped narrow in on issues in ethics, conflicts, client interactions, etc. that could come up in my area of practice. Jens also invited other shareholders from his firm to our lunches so they could share from their experiences in patent prosecution. Jens was always willing to answer questions regarding patent prosecution, the inter-workings of law firms, and work-life balance. Jens continues to be a great mentor and friend even after the NLTP term has ended.

Mentor: William Carlson  
New Lawyer: Carlyle Harris  
Term: January 2016

I had an excellent mentor in William Carlson with the Salt Lake Prosecutor's office. Even though I was on the other side of the table so to speak as a defense attorney, Mr. Carlson was very helpful in mentoring me through my early cases and has remained a mentor to me even after I completed the program. He is an honest, sincere and talented attorney who is very conscientious and hard working, but always takes time out of his schedule when I needed help even on short notice. He is someone that I respect as a person as well as an attorney.

Please accept my nomination for this award as I truly believe my mentor is worthy of the recognition.



Mentor: Ken Ashton  
New Lawyer: Blake Richards  
Term: January 2016

My mentor was Ken Ashton. He agreed to mentor me even though he did not know me before I asked him to. Even though he was very busy, he very patiently took the time to answer all of my questions. Taking me to lunch or sitting in a conference room at his office. My career path is more of a nontraditional path, which required extra discussion and questions of the NLTP topics. He pointed me to templates for legal agreements which were very useful in my work, and to highly relevant and useful CLE and CPE.

He also introduced me to attorneys in his firm who were useful contacts who had experience in related industries.

**JULY 2016**

Mentor: Steve Sullivan  
New Lawyer: Nediha Hadzikadunic  
Term: July 2016

I would like to nominate my mentor, Steve Sullivan from Robert J. Debry, for the NLTP Outstanding Mentor.

Having Steve as a mentor turned out to be much more than I expected. It was not just an educational experience, but a fun one as well. Despite his busy schedule, he always found the time to meet with me and never cancelled a meeting. Steve answered my questions in detail and invited other employees from his Firm to attend our meetings. He tried to answer all questions based on his extensive experience, but whenever he felt that there was somebody in the Firm for whom he thought to be more knowledgeable about certain aspects of the law practice and workings of a law firm, he would invite that person to the meeting.

Second, Steve introduced me to other attorneys in the firm, and I had the opportunity to work with them as well. Under his guidance, I attended numerous depositions, arbitrations and mediations.

At the end of the training program we accomplished more than we set out in the mentoring plan. At our meetings, Steve did not just talk about law. He shared some of his experiences as a young lawyer, which made me realize that all attorneys go through the same "growing pains" and struggles. At the end of our last meeting I felt that I was saying goodbye to a good friend. I will always remember the kindness and respect Steve showed to me and everyone else he came in contact with. I can only hope that other new attorneys had similar experiences.

Mentor: James Holbrook  
New Lawyer: Sage Bludworth  
Term: July 2016

I write to nominate James Holbrook for the Outstanding Mentor award. I graduated from law school in December 2015 and before I even knew that the bar required the mentoring program Jim Holbrook had volunteered to be my mentor. I later learned that he had also volunteered to be the mentor for one of my fellow December 2015 graduates, Steven Young. This exemplifies how Jim Holbrook works; he goes above and beyond the call of duty.

Jim Holbrook was always available to meet and answer any questions I had about the mentoring program, our mentoring plan, and the practice of law in general. He especially taught me how ethics and professionalism have influenced every decision he has made in the legal field; as a practicing attorney, an arbitrator, a mediator, and a professor. He embodies the character that all attorneys should strive for and has given me an example I hope to match throughout my professional career.

During my first year post bar admission I struggled continually in my search for employment. Jim Holbrook would listen to my frustrations and offer advice. He talked through various ideas with me and put me in contact with individuals who were looking for attorneys to do some contract work. It is not exaggerating to say that this contract work helped sustain me both professionally and economically during what was a very rough year.

More than anything, Jim Holbrook cares about me and my life. He wants to see me succeed and takes a tangible interest in my accomplishments. Our year of mentoring had ended, but when I wrote an op-ed for the Salt Lake Tribune he sent me a very kind note about what I had written and encouraged me to continue to advocate for positions I believe in. During a time in my life when my self-esteem has been challenged Jim Holbrook has continued to be a refreshing and well needed boost of confidence. I will always be honored to call Jim Holbrook a friend and a mentor.

Mentor: Charles Livesy  
New Lawyer: Nolan Cordon  
Term: July 2016

I would like to submit my mentor Charles Livsey for the Outstanding Mentor Award.

When I approached Charles about being my mentor he agreed without first knowing what was required of him. At his insistence we started meeting right away, even before the required time period started. Each month we met, we not only discussed the required topics, but also the work I was doing and he always made suggestions on how I might do things differently to achieve better results.

While the above would make him a great mentor, and it did, it is what happened next that makes him an outstanding mentor. In December of last year my 2 and a half year old son passed away suddenly. My family and I were devastated, and I struggled to continue to move forward with my career. Charles came to the funeral with his family and for the next couple of meetings Charles always took time out of our scheduled appointments to discuss how my wife and I were doing. He even took me to lunch during one of our appointments and discussed his own experiences with loss. He recommended that I seek out counseling and told me how much it improved his life when he went through a similar rough patch due to loss. He also helped me brainstorm ideas of how to approach the insurance company to ensure they paid their end of the medical bills (we had had some problems with the insurance company).

All said, Charles went above and beyond what is typically required of a mentor under the program. Charles did a fantastic job in coaching me into the practice of law. More importantly for me, however, was his willingness to stand by me during one of the darkest and hardest periods of my life. For this reason, I wish to nominate Mr. Charles Livsey for the Outstanding Mentor Award.

Mentor: Tyler Young  
New Lawyer: Chandler Tanner  
Term: July 2016

I would like to nominate my mentor, Tyler Young, for the outstanding mentor award.

Tyler was an outstanding mentor for three important reasons:

First, he was very generous with his time. He was willing to give our mentoring relationship all the time we needed. He never made it seem like a burden or hassle to meet. He was also flexible in finding times to meet.

Second, he was sincere in his desire to help. As we met, discussed, and worked through the program, he always made efforts to provide thoughtful, meaningful answers to my questions. He shared personal examples from his own years of experience that have stuck with me and will help me be a better attorney.

Third, he paid close attention to the goals I shared with him. I remember at the beginning of one of our meetings he asked me about how certain activities for one of my goals turned out. I was a little surprised because I forgot we even discussed the activities, but Tyler had not only listened but also remembered.

Like Isaac Newton said, "If I have seen further it is by standing on the shoulders of giants." Tyler Young is a mentor who exemplifies the New Lawyer Training Program's purpose in helping new attorneys get a solid start in their practices by building on the experience and knowledge of seasoned attorneys.

Mentor: Quinn Sperry  
New Lawyer: Lauren DeVoe  
Term: July 2016

I am writing to nominate my New Lawyer Training Program mentor, Quinn A. Sperry, for the 2017 Outstanding Mentor Award. Mr. Sperry was and still is always available to answer questions dealing with my actual practice and the interpersonal dynamics of our shared profession, whether we are in the office or via text on a weekend. During my mentorship, Mr. Sperry gave me opportunities to conduct depositions and make opening statements, all while staying near me in the event I felt I needed a more experienced helping hand.

Most importantly, however, Mr. Sperry has taught me how critical good relationships with other attorneys are, regardless of whether they are opposing counsel we have never heard of, or competitors in our own area of practice. While working with Mr. Sperry on completing the various aspects of my mentoring plan, I observed how professional and cordial he was with every attorney he interacted with, and how that relationship based on civility allowed him to navigate to the heart of client issues with other attorneys, instead of simply battling each and every step to a resolution.

I could not have asked for a better mentor, because of the numerous opportunities Mr. Sperry afforded me to develop real, practical lawyering skills, because of the considered feedback and advice I always received from him, and because of the attitude and spirit of collegiality he has taught me. For these reasons, and many more, I submit Mr. Quinn A. Sperry for the 2017 Outstanding Mentor Award.

Mentor: Brent Hawkins  
New Lawyer: Mark Tschaggeny  
Term: July 2016

Brent Hawkins is extremely deserving of the New Lawyer Training Program ("NLTP") Outstanding Mentor Award. I came into the NLTP seven years after graduating from law school and passing the bar (I had been working in an industry that did not require me to have an active bar license), so I was worried that the NLTP would merely be an unhelpful hoop that I had to jump through in order to actively practice law. And with some mentors, it might have been. But with Brent, it proved to be an invaluable and enjoyable experience.

When determining what we should discuss in our meetings, Brent took my prior work experience into account, and planned productive discussions that were catered towards someone who wasn't coming to him directly out of law school. I serve in an associate general counsel role, and Brent, who serves as his company's general counsel, became a sounding board for me, allowing me to pick his brain (both during our meetings and as needed) and providing me useful materials that I could use at my company.

Brent also recognized that several people he knew could provide additional insight into areas of the NLTP curriculum, so he invited them to join our meetings. Because of this, I was able to meet with attorneys with various specialties from several Salt Lake City firms (and with an investment banker). In addition to learning from their expertise and Brent's expertise as in-house counsel, it was extremely helpful to see how Brent's company interacted with them.

Brent took on an additional mentor part-way through the NLTP cycle, but my interactions with him did not suffer at all. He remained as available and helpful as ever.

I hope he receives strong consideration for this award. Because of him, my experience with the NLTP was very positive.



Mentor: Tom Vaughn  
New Lawyer: Michael Curtis  
Term: July 2016

Tom is a very caring mentor, and clearly put my development first. During my mentorship, Tom picked up a second mentee, but he didn't miss a beat in genuinely caring for us and pushing us forward. He is knowledgeable and experienced, and marshaled that background to help me learn and grow as an attorney. I feel better prepared to navigate my career thanks to Tom's mentorship.

Mentor: Matt Janzen  
New Lawyer: Chad Curtis  
Term: July 2016

I nominate Matt Janzen. He was always available for questions, always helped me find opportunities to meet the mentoring requirements, introduced me to other lawyers who could help in areas outside his expertise, helped keep things organized, progressing, and on track, and gave me wonderful feedback. I feel like I can reach out to Matt in the future for help even though the mentorship is over. Matt was absolutely wonderful.

Mentor: Jeremy Sink  
New Lawyer: Tyler Montrone  
Term: July 2016

I nominate Jeremy Sink at McKay Burton & Thurman as mentor of the year. While acting as my mentor, Mr. Sink consistently went out of his way to provide an incredible experience built around providing timely feedback, insightful discussions, and valuable introductions. Throughout my experience, I found that he was always there to assist me when I needed a little extra help. Additionally, Mr. Sink took time to discuss my professional development, and to help me understand the nature of the legal profession through his experiences. Considering that we do not work at the same firm, or even in the same city, I found his commitment to my success inspiring and exemplary of the true intent of the mentor model.

**TAB**  
**6**

## Christy Abad

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**From:** Tyler Needham  
**Sent:** Monday, October 02, 2017 2:47 PM  
**To:** Christy Abad  
**Subject:** RE: Pro Bono Award Nominations

The names are **Rod Snow** and **Rob Rice**. I'll see if Judge Hansen has finished the write-up.

---

**From:** Christy Abad  
**Sent:** Monday, October 02, 2017 2:46 PM  
**To:** Tyler Needham <Tyler.Needham@utahbar.org>  
**Subject:** Pro Bono Award Nominations

Hello Tyler –

When you get the Pro Bono Award nominations, will you please forward them to me? I am putting the Commission packet together and hope to get it sent out tomorrow.

Thanks.

Christy

**TAB**  
**7**

September 25, 2017

Board of Commissioners  
Utah State Bar  
645 South 200 East, Suite 310  
Salt Lake City, UT 84111

Dear Board Members:

We have audited the financial statements of the Utah State Bar (the Bar) as of June 30, 2017 and for the year then ended (fiscal year 2017), together with summarized financial information as of and for the year ended June 30, 2016, and have issued our report thereon dated September 25, 2017. Professional standards require that we provide you with information about our responsibilities under auditing standards generally accepted in the United States of America (US GAAS), as well as certain information related to the planned scope and timing of our audit. We have communicated such information in our letter to you dated July 5, 2017. Professional standards also require that we communicate to you the following information related to our audit.

***Qualitative Aspects of Accounting Policies***

Management is responsible for the selection and use of appropriate accounting policies. The significant accounting policies used by the Bar are described in Note 1 to the financial statements. No new accounting policies were adopted that had a significant impact on financial reporting and the application of existing policies was not changed during fiscal year 2017. We noted no transactions entered into by the Bar during fiscal year 2017 for which there is a lack of authoritative guidance or consensus. All significant transactions have been recognized in the financial statements in the proper year.

Accounting estimates are an integral part of the financial statements prepared by management and are based on management's knowledge and experience about past and current events and assumptions about future events. Certain accounting estimates are particularly sensitive because of their significance to the financial statements and because of the possibility that future events affecting them may differ significantly from those expected. The most sensitive estimates affecting the financial statements are as follows:

Management estimates the economic useful lives of property and equipment based on the expected number of years the assets will be used. Management revisits these assumptions annually and adjusts the economic useful lives if warranted.

We evaluated the key factors and assumptions used to develop the estimates above in determining that they are reasonable in relation to the financial statements as a whole.

The financial statement disclosures are neutral, consistent and clear.

***Difficulties Encountered in Performing and Completing the Audit***

We encountered no significant difficulties in performing and completing the audit.

We will be pleased to respond to any questions you have about the foregoing. We appreciate the opportunity to continue to be of service to the Bar.

This information is intended solely for the use of the Board of Commissioners, and is not intended to be and should not be used by anyone else.

Sincerely,

Tanner LLC

By: \_\_\_\_\_  
Kent M. Bowman, Partner



September 25, 2017

Board of Commissioners and Management  
Utah State Bar  
645 South 200 East, Suite 310  
Salt Lake City, UT 84111

Ladies/Gentlemen:

In planning and performing our audit of the financial statements of the Utah State Bar (the Bar) as of June 30, 2017 and for the year then ended, in accordance with auditing standards generally accepted in the United States of America, we considered the Bar's internal control over financial reporting (internal control) as a basis for designing audit procedures that are appropriate in the circumstances for the purpose of expressing an opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the Bar's internal control. Accordingly, we do not express an opinion on the effectiveness of the Bar's internal control.

Our consideration of internal control was for the limited purpose described in the preceding paragraph and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies and, therefore, material weaknesses or significant deficiencies may exist that were not identified. In addition, because of inherent limitations in internal control, including the possibility of management override of controls, misstatements due to error or fraud may occur and not be detected by such controls.

A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis.

A material weakness is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the Bar's financial statements will not be prevented, or detected and corrected, on a timely basis.

A significant deficiency is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

We consider the following deficiency to be a material weakness:

**Segregation of Incompatible Duties in Accounting and Financial Reporting Functions**

Internal controls should be designed to safeguard assets and help prevent losses, errors, or fraudulent acts. A fundamental concept in an adequate system of internal control is the segregation of incompatible duties. Proper segregation of incompatible duties dictates that the same individual should be involved only once in the authorization, recording, asset custody, and control activities related to a transaction. Currently, Clear Vantage has the ability to make and adjust invoices as well as collect cash payments.

\*\*\*\*\*

***Corrected and Uncorrected Misstatements***

Professional standards require us to accumulate all known and likely misstatements identified during the audit, other than those that are trivial, and communicate them to the appropriate level of management. There were no material adjustments proposed by us during the audit; however, there was one adjustment for \$4,775 to correct the capital lease obligation and the related property and equipment held under that lease arrangement.

***Disagreements with Management***

For purposes of this letter, professional standards define a disagreement with management as a financial accounting, reporting, or auditing matter, whether or not resolved to our satisfaction, that could be significant to the financial statements or the auditors' report. No such disagreements arose during the course of the audit.

***Management Representations***

We have requested certain representations from management that are included in the management representation letter dated September 25, 2017. A copy of that letter has been provided to you.

***Management Consultations with Other Independent Accountants***

Management may decide to consult with other accountants about auditing and accounting matters, similar to obtaining a "second opinion" in certain situations. If a consultation involves application of an accounting principle to the Bar's financial statements or a determination of the type of auditors' opinion that may be expressed on those financial statements, professional standards require the consulting accountant to check with us to determine that the consultant has all the relevant facts. To our knowledge, there were no such consultations with other accountants.

***Other Audit Findings or Issues***

We generally discuss a variety of matters, including the application of accounting principles and auditing standards, with management prior to retention as the Bar's auditors. However, these discussions occurred in the normal course of our professional relationship and our responses were not a condition to our retention.

***Independence***

Independence is crucial to the performance of audit services. We are subject to the independence standards of the American Institute of Certified Public Accountants.

All partners and employees of our firm are provided access to our policies and procedures relating to independence and conflicts of interest. Annually, we obtain written confirmation from partners and employees about their adherence to these policies.

There are no relationships between Tanner LLC and the Bar that in our professional judgment may reasonably be thought to impair our independence.

***Other Information in Documents Containing Audited Financial Statements***

With respect to the supplemental schedules accompanying the financial statements, we made certain inquiries of management and evaluated the form, content, and methods of preparing the information to determine that the information complies with accounting principles generally accepted in the United States of America, the method of preparing it has not changed from the prior year, and the information is appropriate and complete in relation to our audit of the financial statements. We compared and reconciled the supplemental schedules to the underlying accounting records used to prepare the financial statements or to the financial statements themselves.

The following deficiency should be considered as part of the ongoing process of modifying and improving the Bar's internal control practices and procedures over accounting and financial reporting:

**Third-Party SOC 1 Reports**

The third-party payroll processing company, Intuit, does not have a SOC 1 report. A SOC 1 report provides reasonable assurance that transactions with the third party are captured completely, accurately, and timely. We suggest that management take into consideration whether a third-party provider obtains a SOC 1 report as a criterion in the Bar's selection process for such third-party providers.

\*\*\*\*\*

The following is not a deficiency in internal control but is a suggestion for the Board of Commissioners and management to consider.

***Information Security Risk Assessment***

Ransomware attacks and other security breaches from criminals attempting to obtain access to confidential data are increasing at alarming rates. We recommend that management consider having periodic Information Security Risk Assessments and Vulnerability Assessments performed that provide specified enhancements and monitoring of the Company's information security. These assessments and testing can be done in an economical manner and greatly reduce the risk of loss of critical data and cash, significant capital expenditures, and lost productivity.

This communication is intended solely for the information and use of the Board of Commissioners and management, and is not intended to be and should not be used by anyone other than these specified parties.

Sincerely,

Tanner LLC

By: \_\_\_\_\_  
Kent M. Bowman, Partner

**Utah State Bar**

**Financial Statements and Supplemental Schedules  
As of and for the Year Ended June 30, 2017  
(with Summarized Financial Information  
as of and for the Year Ended June 30, 2016)**

**Together with Independent Auditors' Report**

## **INDEPENDENT AUDITORS' REPORT**

### **To the Board of Commissioners of the Utah State Bar**

We have audited the accompanying financial statements of the Utah State Bar (a nonprofit corporation) (the Bar), which comprise the statement of financial position as of June 30, 2017, the related statements of activities and cash flows for the year then ended, and the related notes to financial statements.

#### ***Management's Responsibility for the Financial Statements***

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to error or fraud.

#### ***Auditors' Responsibility***

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditors' judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to error or fraud. In making those risk assessments, the auditors consider internal control relevant to the Bar's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Bar's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

#### ***Opinion***

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of the Bar as of June 30, 2017, and the changes in its net assets and its cash flows for the year then ended, in accordance with accounting principles generally accepted in the United States of America.

***Report on Summarized Comparative Information***

The summarized comparative information presented herein as of June 30, 2016 and for the year then ended is consistent, in all material respects, with the audited financial statements from which it was derived.

***Report on Supplemental Schedules***

Our audit was conducted for the purpose of forming an opinion on the financial statements as a whole. The supplemental schedules are presented for the purpose of additional analysis and are not a required part of the financial statements. These schedules are the responsibility of the Bar's management and are derived from and relate directly to the underlying accounting and other records used to prepare the financial statements. Such schedules have been subjected to the auditing procedures applied in our audit of the financial statements and certain additional procedures, including comparing and reconciling such schedules directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, in accordance with auditing standards generally accepted in the United States of America. In our opinion, such schedules are fairly stated in all material respects in relation to the financial statements as a whole.

September 25, 2017

**UTAH STATE BAR**  
Statement of Financial Position

**As of June 30, 2017**  
**(with Summarized Financial Information as of June 30, 2016)**

	Bar Operations	Bar Sections	Client Security Fund	Mandatory Continuing Legal Education Fund	Total 2017	Total 2016
<b>Assets</b>						
Current assets:						
Cash and cash equivalents	\$ 1,745,519	\$ 105,760	\$ 56,552	\$ 96,453	\$ 2,004,284	\$ 2,668,808
Investments, at fair value	5,371,843	415,155	202,196	554,936	6,544,130	4,586,992
Receivables	14,536	-	-	-	14,536	9,211
Prepaid expenses	101,132	-	-	-	101,132	222,763
Total current assets	7,233,030	520,915	258,748	651,389	8,664,082	7,487,774
Property and equipment, net	1,627,849	-	-	838	1,628,687	1,727,432
Total assets	\$ 8,860,879	\$ 520,915	\$ 258,748	\$ 652,227	\$ 10,292,769	\$ 9,215,206
<b>Liabilities and Net Assets</b>						
Current liabilities:						
Accounts payable and accrued liabilities	\$ 641,036	\$ -	\$ -	\$ 5,056	\$ 646,092	\$ 597,000
Deferred revenue	2,907,099	-	-	-	2,907,099	2,324,862
Current portion of Client Security Fund claims payable	-	-	3,196	-	3,196	50,000
Current portion of capital lease obligation	2,739	-	-	-	2,739	2,905
Interfund advance	(32,697)	11,565	-	21,132	-	-
Total current liabilities	3,518,177	11,565	3,196	26,188	3,559,126	2,974,767
Capital lease obligation, net of current portion	14,786	-	-	-	14,786	-
Total liabilities	3,532,963	11,565	3,196	26,188	3,573,912	2,974,767
Commitments and contingencies (Notes 5, 7 and 8)						
Net assets - unrestricted:						
Undesignated	5,327,916	-	-	-	5,327,916	5,029,507
Designated	-	509,350	255,552	626,039	1,390,941	1,210,932
Total net assets	5,327,916	509,350	255,552	626,039	6,718,857	6,240,439
Total liabilities and net assets	\$ 8,860,879	\$ 520,915	\$ 258,748	\$ 652,227	\$ 10,292,769	\$ 9,215,206

See accompanying notes to financial statements.

**UTAH STATE BAR**  
Statement of Activities

For the Year Ended June 30, 2017  
(with Summarized Financial Information for the Year Ended June 30, 2016)

	Bar Operations	Bar Sections	Client Security Fund	Mandatory Continuing Legal Education Fund	Total 2017	Total 2016
Revenues:						
Licensing	\$ 4,231,420	\$ -	\$ -	\$ -	\$ 4,231,420	\$ 4,217,626
Admissions	459,651	-	-	-	459,651	521,860
New lawyer training program	69,643	-	-	-	69,643	79,029
Office of Professional Conduct	16,741	-	-	-	16,741	14,866
Continuing legal education and conferences	1,065,487	-	-	-	1,065,487	1,022,078
Member services	172,389	-	-	-	172,389	179,957
Public services	15,350	-	-	-	15,350	22,656
Bar sections	-	458,368	-	-	458,368	425,397
Client Security Fund	-	-	44,778	-	44,778	48,142
Mandatory Continuing Legal Education Fund	-	-	-	297,466	297,466	336,191
Facilities	92,046	(54,839)	-	(7,412)	29,795	33,116
In-kind and interfund	24,211	54,839	-	7,412	86,462	95,946
Net investment income	67,046	-	2,625	6,215	75,886	52,531
Total revenues	\$ 6,213,984	\$ 458,368	\$ 47,403	\$ 303,681	\$ 7,023,436	\$ 7,049,395

(continued)

See accompanying notes to financial statements.



**UTAH STATE BAR**  
Statement of Activities

For the Year Ended June 30, 2017  
(with Summarized Financial Information for the Year Ended June 30, 2016)  
(Continued)

	Bar Operations	Bar Sections	Client Security Fund	Mandatory Continuing Legal Education Fund	Total 2017	Total 2016
Expenses:						(continued)
Licensing	\$ 100,057	\$ -	\$ -	\$ -	\$ 100,057	\$ 101,764
Admissions	461,090	-	-	-	461,090	448,738
New lawyer training program	83,473	-	-	-	83,473	82,355
Office of Professional Conduct	1,325,501	-	-	-	1,325,501	1,270,115
Continuing legal education and conferences	931,941	-	-	-	931,941	1,011,213
Member services	517,274	-	-	-	517,274	499,435
Public services	408,768	-	-	-	408,768	396,437
Bar sections	-	281,685	-	-	281,685	253,856
Client Security Fund	-	-	26,658	-	26,658	31,703
Mandatory Continuing Legal Education Fund	-	-	-	258,849	258,849	234,581
Bar operations	1,552,971	-	-	-	1,552,971	1,446,334
Facilities	510,290	-	-	-	510,290	497,728
In-kind and interfund	24,211	54,839	-	7,412	86,462	95,943
Total expenses	5,915,576	336,524	26,658	266,261	6,545,019	6,370,202
Increase in net assets	298,408	121,844	20,745	37,420	478,417	679,193
Net assets:						
Beginning of the year	5,029,508	387,506	234,807	588,619	6,240,440	5,561,246
End of the year	\$ 5,327,916	\$ 509,350	\$ 255,552	\$ 626,039	\$ 6,718,857	\$ 6,240,439

See accompanying notes to financial statements.

**UTAH STATE BAR**  
Statement of Cash Flows

**For the Year Ended June 30, 2017**  
**(with Summarized Financial Information for the Year Ended June 30, 2016)**

	Bar Operations	Bar Sections	Client Security Fund	Mandatory Continuing Legal Education Fund	Total 2017	Total 2016
<b>Cash flows from operating activities:</b>						
Change in net assets	\$ 298,408	\$ 121,844	\$ 20,745	\$ 37,420	\$ 478,417	\$ 679,193
Adjustments to reconcile change in net assets to net cash provided by (used in) operating activities:						
Depreciation and amortization	234,804	-	-	975	235,779	229,043
Net unrealized gains on investments	24,377	525	306	1,804	27,012	(52,531)
Changes in assets and liabilities:						
Prepaid expenses	121,630	-	-	-	121,630	(140,305)
Receivables	(5,324)	-	-	123	(5,201)	(7,751)
Accounts payable and accrued liabilities	47,121	-	-	1,971	49,092	(22,237)
Deferred revenue	582,237	-	-	-	582,237	209,030
Client Security Fund claims payable	-	-	(46,804)	-	(46,804)	(75,000)
Interfund advance	11,538	3,691	-	(15,229)	-	-
Net cash provided by (used in) operating activities	1,314,791	126,060	(25,753)	27,064	1,442,162	819,442
<b>Cash flows from investing activities:</b>						
Purchases of property and equipment	(118,874)	-	-	-	(118,874)	(101,968)
Purchases of investments	(7,485,438)	(298,972)	(151,555)	(423,384)	(8,359,349)	(13,135,470)
Proceeds from sale of investments and reinvested income	5,729,201	200,000	151,000	295,000	6,375,201	12,234,821
Net cash used in investing activities	(1,875,111)	(98,972)	(555)	(128,384)	(2,103,022)	(1,002,617)
<b>Cash flows from financing activities:</b>						
Payments on capital lease obligation	(3,664)	-	-	-	(3,664)	(3,473)
Net increase (decrease) in cash and cash equivalents	(563,984)	27,088	(26,308)	(101,320)	(664,524)	(186,648)
Cash and cash equivalents as of beginning of the year	2,309,503	78,672	82,860	197,773	2,668,808	2,855,456
Cash and cash equivalents as of end of the year	\$ 1,745,519	\$ 105,760	\$ 56,552	\$ 96,453	\$ 2,004,284	\$ 2,668,808

See accompanying notes to financial statements.

**UTAH STATE BAR**  
Statement of Cash Flows

For the Year Ended June 30, 2017  
(with Summarized Financial Information for the Year Ended June 30, 2016)  
(Continued)

	Bar Operations	Bar Sections	Client Security Fund	Mandatory Continuing Legal Education Fund	Total 2017	Total 2016
<b>Supplemental disclosure of cash flow information:</b>						
Cash paid for interest	\$ 395	\$ -	\$ -	\$ -	\$ 395	\$ 647
<b>Supplemental disclosures of non-cash investing and financing activities:</b>						
Purchase of property and equipment through capital lease	\$ 18,470	\$ -	\$ -	\$ -	\$ 18,470	\$ -

See accompanying notes to financial statements.

**UTAH STATE BAR**  
**Notes to Financial Statements**

**June 30, 2017**

**1. Description of Organization and Summary of Significant Accounting Policies**

***Description of Organization***

The Utah State Bar (the Bar) is an organization created by statute in 1931 under the laws of the state of Utah. The Bar's purpose was amended and clarified by the Utah State Constitution and by court order on June 30, 1981, and was incorporated as a 501(c)(6) organization on June 24, 1991. All attorneys licensed under the laws of the state of Utah are considered members of the Bar.

***Basis of Presentation and Fund Accounting***

The assets, liabilities and net assets of the Bar are reported using the accrual method of accounting. The undesignated fund is used for the general operations of the Bar. The designated funds are used for activities of the various Bar sections, the Client Security Fund, and the Mandatory Continuing Legal Education Fund (MCLE Fund), including overhead charges to defray the costs of administering those funds.

The financial statements include the prior-year summarized comparative information in total but not by net asset class. Such information does not include sufficient detail to constitute a presentation in conformity with accounting principles generally accepted in the United States of America (US GAAP). Accordingly, such information should be read in conjunction with the Bar's financial statements as of and for the year ended June 30, 2016, from which the summarized information was derived.

***Concentrations of Risk***

The Bar maintains its cash and cash equivalents in bank deposit accounts which, at times, exceed federally insured limits. As of June 30, 2017, the Bar had approximately \$1,856,000 of cash and cash equivalents that exceeded federally insured limits. To date, the Bar has not experienced a loss or lack of access to its invested cash and cash equivalents; however, no assurance can be provided that access to the Bar's invested cash and cash equivalents will not be impacted by adverse conditions in the financial markets.

***Use of Estimates in Preparing Financial Statements***

The preparation of financial statements in conformity with US GAAP requires management to make estimates and assumptions that affect the reported amounts and disclosures. Accordingly, actual results could differ from those estimates.

***Cash Equivalents***

The Bar considers all highly liquid investments purchased with original maturities to the Bar of three months or less to be cash equivalents. As of June 30, 2017, these cash equivalents consisted of money market accounts and certificates of deposit totaling approximately \$2,004,000.

**1. Description of Organization and Summary of Significant Accounting Policies**  
*(Continued)*

***Investments***

Investments consist primarily of corporate bonds and certificates of deposit. Realized and unrealized gains or losses are reflected currently in the statement of activities.

***Property and Equipment***

Property and equipment are stated at cost less accumulated depreciation and amortization. Depreciation and amortization are calculated using the straight-line method over the estimated economic useful lives of the assets or over the related lease terms (if shorter), as follows:

Building	25 years
Building improvements	10-25 years
Office furniture, equipment and leased equipment	3-7 years
Computers and computer software	3-5 years

Expenditures for routine maintenance and repairs are charged to operating expenses as incurred. Major renewals and betterments are capitalized and depreciated over their estimated useful lives. Upon retirement or other disposition of property and equipment, the cost and accumulated depreciation are removed from the accounts and any gain or loss is recorded as income or expense in the statement of activities.

***Revenue Recognition and Deferred Revenue***

The Bar recognizes revenue from services and programs, conventions, bar examinations, room rental and catering and other services at the time of sale or at the time services are provided. Licensing fees are assessed in June for the following fiscal year. All fees collected prior to the current fiscal year-end are recorded as deferred revenue. Deferred revenue is recognized as income in the year in which it is earned.

***Income Taxes***

On June 24, 1991, the Bar was incorporated as a 501(c)(6) organization and has received a determination letter from the Internal Revenue Service exempting the Bar from federal income taxes. Management believes that the Bar is designed and operated in compliance with the applicable requirements of the Internal Revenue Code and, accordingly, no provision for federal and state income taxes has been provided for in the accompanying statement of activities.

The Bar is subject to income tax at current corporate rates on net income from unrelated business activities. Income taxes on unrelated business activities have not been significant. The Bar paid no income taxes for the year ended June 30, 2017.

**UTAH STATE BAR**  
**Notes to Financial Statements**  
*(Continued)*  
**June 30, 2017**

**1. Description of Organization and Summary of Significant Accounting Policies**  
*(Continued)*

***Income Taxes (continued)***

A liability for uncertain tax positions is recognized in the financial statements when it is more likely than not the position will not be sustained upon examination by the tax authorities. As of June 30, 2017, the Bar had no uncertain tax positions that qualified for either recognition or disclosure in the financial statements. The Bar is subject to routine audits by tax jurisdictions; however, there are no audits for any tax periods in progress.

***Subsequent Events***

Management has evaluated events occurring subsequent to June 30, 2017 through September 25, 2017 (the date the financial statements were available to be issued) for possible disclosures or accounting impact.

**2. Investments and Net Investment Income**

Investments consisted of the following as of June 30, 2017:

	<b>Amortized Cost</b>		<b>Net Unrealized Gains</b>		<b>Fair Value</b>
Corporate bonds	\$ 1,979,502	\$	36,667	\$	2,016,169
Certificates of deposit	4,522,511		5,450		4,527,961
	<u>\$ 6,502,013</u>	\$	<u>42,117</u>	\$	<u>6,544,130</u>

Investment income related to cash and cash equivalents and investments for the year ended June 30, 2017, consisted of the following:

	<b>Undesignated</b>		<b>Designated</b>		<b>Total</b>
Net investment gain and interest	\$ 13,137	\$	7,724	\$	20,861
Net unrealized gains	53,401		1,624		55,025
	<u>\$ 66,538</u>	\$	<u>9,348</u>	\$	<u>75,886</u>

**UTAH STATE BAR**  
**Notes to Financial Statements**  
*(Continued)*  
**June 30, 2017**

- 3. Property and Equipment** Property and equipment consisted of the following as of June 30, 2017:

Building and improvements	\$ 2,981,760
Office furniture, equipment and leased equipment	913,348
Computers and computer software	849,338
Land	<u>633,142</u>
	5,377,588
Less accumulated depreciation and amortization	<u>(3,748,901)</u>
Property and equipment, net	<u>\$ 1,628,687</u>

Depreciation and amortization expense for property and equipment totaled \$235,779 for the year ended June 30, 2017.

- 4. Fair Value Measurements** The Bar's financial instruments include cash equivalents and investments as of June 30, 2017. Management believes that the recorded value of each financial instrument approximates its fair value.

Fair value is defined as the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. To increase the comparability of fair value measures, the following hierarchy prioritizes the inputs to valuation methodologies used to measure fair value:

Level 1	Valuations based on quoted prices for identical assets or liabilities in active markets
Level 2	Valuations based on observable inputs other than quoted prices included in Level 1, such as quoted prices for similar assets or liabilities in active markets, quoted prices for identical or similar assets and liabilities in markets that are not active, or other inputs that are observable or can be corroborated by observable market data.
Level 3	Valuations based on unobservable inputs reflecting the Bar's own assumptions, applied consistently with reasonably available assumptions made by other market participants. These valuations require significant judgment.

The Bar's cash equivalents and investments are considered Level 1 assets under the fair value hierarchy and are measured on a recurring basis. Bar management obtains valuation data for the corporate bonds and certificates of deposit from third-party sources, which determine the net asset values for the Bar's accounts using quoted market prices and reportable trades.

**5. Lease Obligation**

The Bar leases certain equipment under a capital lease obligation. The lease requires quarterly payments of \$1,064, has an effective interest rate of 16.6%, and is secured by the equipment being leased. As of June 30, 2017, equipment held under the capital lease had a cost of approximately \$18,000 and accumulated depreciation of \$2,000. As of June 30, 2017, future minimum lease payments under the capital lease were as follows:

**Year Ending June 30:**

2018	\$ 20,076
Less amount representing interest	<u>(2,551)</u>
	17,525
Less current portion	<u>(2,739)</u>
	<u>\$ 14,786</u>

**6. Employee Benefit Plans**

The Bar sponsors a defined contribution 401(k) plan (the Plan). Employees who have completed one year of service with the Bar and have attained the age of 21 or older are eligible to participate, and may elect to contribute a portion of their compensation, subject to Internal Revenue Code limitations, to the Plan. The Bar contributes to the Plan an amount equal to 10% of the compensation of all Plan participants. Contributions to the Plan were \$272,914 for the year ended June 30, 2017.

The Bar sponsors a Section 125 cafeteria plan. All contributions to this plan are made by the participants.

**7. Client Security Fund**

On October 30, 1983, the Bar received approval from the Utah Supreme Court (USC) to collect up to \$20 per attorney per year to accumulate a client security fund (the Fund) in the base amount of \$200,000. The Fund was created to partially indemnify the public against losses incurred as a result of lawyers' misappropriation of clients' funds. Claims against the Fund are limited to \$20,000 per claimant.

On April 20, 2015, the USC approved the reduction of the fee paid to the Fund by each member attorney from \$20 to \$5.



**UTAH STATE BAR**  
**Notes to Financial Statements**  
*(Continued)*  
**June 30, 2017**

- 7. Client Security Fund** Cases must be reviewed and approved by the Fund Committee of the Bar and also by the Board of Commissioners of the Bar before they are considered to be claims payable by the Fund. In 2012, the Fund Committee of the Bar approved various claims with respect to one attorney totaling \$425,000 to settle a significant matter related to client losses. The Fund paid off the remaining \$50,000 of this settlement in 2017. The Fund Committee routinely reviews open matters. In the Fund Committee's opinion, these open matters will not have a material adverse effect on the financial position, results of activities, or liquidity of the Bar.
- (Continued)*
- 8. Contingencies** The Bar may, from time to time, be subject to legal proceedings arising in the normal course of business. Management does not believe the outcome of any matters currently pending will have a material impact on the financial position, results of activities, or liquidity of the Bar.
- 9. Related Parties** The primary purpose of the Bar is to perform services on behalf of its members, which may result in related-party transactions arising through its regular activities.

## **SUPPLEMENTAL SCHEDULES**

**UTAH STATE BAR**  
**Schedule of Continuing Legal Education and Conferences**  
**Revenues and Expenses**

For the Year Ended June 30, 2017

	Summer Convention	Fall Forum	Spring Convention	CLE Events	Total
Revenues	\$ 189,772	\$ 129,611	\$ 165,065	\$ 581,039	\$ 1,065,487
Expenses:					
Program	169,341	132,761	79,777	296,873	678,752
Salaries and benefits	22,755	13,403	21,831	120,230	178,219
General and administrative	17,231	15,365	17,694	69,996	120,286
Interfund facilities	(3,737)	(819)	(1,779)	(38,981)	(45,316)
Total expenses	205,590	160,710	117,523	448,118	931,941
Excess (deficiency) of revenues over expenses	\$ (15,818)	\$ (31,099)	\$ 47,542	\$ 132,921	\$ 133,546

**UTAH STATE BAR**  
**Schedule of Member Services Revenues and Expenses**

**For the Year Ended June 30, 2017**

	Bar Journal	Member Services	Legislative	Public Education	Young Lawyers Division	Total
Revenues	\$ 146,798	\$ 21,245	\$ -	\$ -	\$ 4,346	\$ 172,389
Expenses:						
Program	29,390	138,120	52,765	4,688	41,156	266,119
Salaries and benefits	32,612	388	2,449	96,357	89	131,895
General and administrative	102,459	1,534	42	23,476	2,119	129,630
Interfund facilities	(3,555)	(384)	(6,006)	-	(425)	(10,370)
Total expenses	160,906	139,658	49,250	124,521	42,939	517,274
Deficiency of revenues over expenses	\$ (14,108)	\$ (118,413)	\$ (49,250)	\$ (124,521)	\$ (38,593)	\$ (344,885)

**UTAH STATE BAR**  
**Schedule of Public Services Revenues and Expenses**

For the Year Ended June 30, 2017

	Committees	Consumer Assistance	Access to Justice	Tuesday Night Bar	Total
Revenues	\$ 3,550	\$ -	\$ 11,800	\$ -	\$ 15,350
Expenses:					
Salaries and benefits	88,483	-	11,905	30,938	131,326
Program	34,866	115,712	103,827	3,716	258,121
General and administrative	2,871	10,621	46,505	231	60,228
Interfund facilities	(7,212)	-	(6,770)	(26,925)	(40,907)
Total expenses	119,008	126,333	155,467	7,960	408,768
Deficiency of revenues over expenses	\$ (115,458)	\$ (126,333)	\$ (143,667)	\$ (7,960)	\$ (393,418)

**UTAH STATE BAR**  
**Schedule of Bar Sections Revenues and Expenses**

**For the Year Ended June 30, 2017**

	Balance June 30, 2016	Revenues	Expenses	Balance June 30, 2017	Net Increase (Decrease)
Bar Section Funds:					
Antitrust/Unfair Competition	\$ 7,927	\$ 1,275	\$ (357)	\$ 8,845	\$ 918
Appellate Practice	6,612	8,265	(4,939)	9,938	3,326
Banking and Finance	7,804	4,385	(5,631)	6,558	(1,246)
Bankruptcy	4,481	9,640	(6,652)	7,469	2,988
Business Law	5,429	25,600	(12,760)	18,269	12,840
Collection Law	14,587	6,470	(2,192)	18,865	4,278
Communications Law	2,869	340	(119)	3,090	221
Constitutional Law	5,475	3,340	(3,398)	5,417	(58)
Construction Law	509	11,484	(9,561)	2,432	1,923
Corporate Counsel	2,989	12,649	(5,846)	9,792	6,803
Criminal Law	5,706	13,060	(10,773)	7,993	2,287
Cyber Law	8,718	8,647	(2,761)	14,604	5,886
Community Association Law	500	2,680	(1,743)	1,437	937
Dispute Resolution	15,066	11,729	(5,022)	21,773	6,707
Education Law	4,310	1,935	(1,826)	4,419	109
Elder Law	10,014	8,541	(9,963)	8,592	(1,422)
Environmental Law	3,934	12,805	(10,933)	5,806	1,872
Family Law	66,877	54,933	(56,090)	65,719	(1,157)
Franchise Law	1,665	1,330	(375)	2,620	955
Government/Administrative Law	24,180	9,289	(11,352)	22,117	(2,063)
Health Law	6,944	6,216	(2,670)	10,490	3,546
Intellectual Property	42,388	40,686	(19,280)	63,794	21,406
International Law	1,198	2,220	(2,019)	1,399	201
Indian Law	500	1,622	(537)	1,585	1,085
Juvenile Law	4,077	3,035	(2,993)	4,119	42
Labor and Employment Law	13,507	15,240	(19,376)	9,371	(4,136)
Litigation	37,195	93,552	(48,725)	82,022	44,827
Limited Scope	(19)	1,705	(1,475)	211	230
Military Law	1,319	860	(304)	1,875	556
Non-profit/Charitable Law	1,092	2,410	(1,423)	2,079	987
Probate/Estate Planning	15,749	24,209	(23,112)	16,846	1,097
Real Property	1,367	24,581	(17,416)	8,532	7,165
Securities	36,741	(1,488)	(4,115)	31,138	(5,603)
Senior Lawyers	1,693	975	(2,668)	-	(1,693)
Solo, Small Firm, Rural Practice	1,339	5,020	(2,658)	3,701	2,362
Tax	9,781	17,357	(14,522)	12,616	2,835
Total Bar Section Funds	374,523	446,597	(325,586)	495,533	121,011
Paralegal Division	12,983	11,771	(10,936)	13,817	834
	\$ 387,506	\$ 458,368	\$ (336,522)	\$ 509,350	\$ 121,845

**UTAH STATE BAR**  
**Schedule of Mandatory Continuing Education Advisory Board**

**For the Year Ended June 30, 2017**

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Revenues:

Compliance fees from attorneys	\$ 161,080
Continuing Legal Education (provider attendance fees)	136,386
Investment income	<u>6,215</u>
Total revenues	<u>303,681</u>

Expenses:

Salaries, payroll taxes, and benefits	202,812
Office overhead	52,450
Interfund facilities	7,412
Travel	1,556
Board meetings	<u>2,031</u>
Total expenses	<u>266,261</u>
Excess of revenues over expenses	<u>\$ 37,420</u>

**UTAH STATE BAR**  
**Schedule of Facilities Revenues and Expenses**

**For the Year Ended June 30, 2017**

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Revenues:

Outside parties	\$ 29,795
In-kind and interfund revenues:	
Interdepartmental charges	146,712
Sections	54,839
Utah Dispute Resolution and other in-kind	22,882
MCLE	7,412
Total in-kind and interfund revenues	231,845
Total revenues	261,640

Expenses:

Building overhead	237,041
Food, beverage and AV costs	112,360
Salaries and benefits	150,622
General and administrative	10,267
	510,290
In-kind expenses	24,211
Total expenses	534,501
Deficiency of revenues over expenses	\$ (272,861)



**TAB**  
**8**

## **ABA Delegate Selection Policy**

At the end of a Utah State Bar American Bar Association (“ABA”) Delegate’s term, the Bar will solicit applications to fill the vacant Delegate seat by sending out a public notice to all members requesting applications for the position. When selecting candidates for ABA Delegate, the Commission will consider all relevant factors including, but not limited to, a candidate’s past service as a Delegate in the interest of fostering continuity and a Delegate’s ability to gain experience, and the need to have an open application process that will encourage participation by a broad spectrum of eligible Bar members and foster a sense of transparency and fairness in the selection process.

**TAB**  
**9**

**UTAH STATE BAR  
BOARD OF BAR COMMISSIONERS  
MINUTES**

**AUGUST 26, 2017**

**PARK CITY, UTAH**

**In Attendance:** President John Lund, President-elect H. Dickson Burton, Commissioners: Grace Acosta; John Bradley, Kate Conyers, Heather Farnsworth, Mary Kay Griffin, Liisa Hancock, Michelle Mumford, Mark Morris, Herm Olsen, Cara Tangaro, Heather Thuet, and Katie Woods.

**Ex-Officio Members:** Dean Robert Adler, Nate Alder, Julie Emery, Dani Cepernich, Diana Hagen, Jamie Sorenson, and Angelina Tsu.

**Not in Attendance:** Steven Burt, Ex-Officio Members: Amy Fowler, Margaret Plane, Rob Rice, Dean Gordon Smith and Chris Wharton

**Also in Attendance:** Executive Director John C. Baldwin, Assistant Executive Director Richard Dibblee and General Counsel Elizabeth A. Wright.

**Minutes: 9:25 a.m. start**

- 1. Commission Photo.** A photographer took a photo of the 2017-2018 Utah State Bar Commission.
- 2. Young Lawyers “Deep Dive” Conclusion.** Dani Cepernich presented the Commission with local and national statistics concerning law students and new lawyers. Kate Conyers described the Bar programs for young lawyers which are the NLTP, the YLD and the Leadership Academy. Law students Abigail Brammer and Rebecca Horne, new lawyer Audrey Phillips, NLTP Administrator Emily Lee and NLTP Committee Chair Lesley Manley joined the Commission for an in-depth discussion of issues facing new lawyers, the unique characteristics of the next generation of new lawyers and how the Bar can serve these individuals to help them become the lawyers the public and clients need and engaged members of the Bar.
- 3. Action Items**
  - 3.1 Appoint Committee Chairs and Liaisons.** Kate Conyers moved to appoint the 2017-2018 Bar committee Chairs. Herm Olsen seconded the motion which passed unopposed. Michelle Mumford moved to approve Commission member liaison assignments to Bar committees and sections with the amendment that Kate Conyers will liaison with the Government and Administrative Law Section and John Bradley will liaison to the Government Relations Committee.

**3.2 Appoint Access to Justice Coordinating Committee.** Heather Farnsworth moved to approve the creation of an Access to Justice Coordinating Committee which will oversee the Bar's access to justice programs and help coordinate efforts in the state. Michelle Mumford seconded the motion which passed unopposed.

**3.3 Appoint Bar Awards Committee.** Cara Tangaro moved to approve the creation of a Bar Awards Committee that will review all Bar awards and award nominations to insure the awards are not duplicative and receive meaningful nominations. Liisa Hancock seconded the motion which passed unopposed.

**Kate Conyers moved to appoint Heather Farnsworth as Chair of the Bar Awards Committee. Mark Morris seconded the motion which passed unopposed.**

**4. Information Item.** Nate Alder reported on the August 2017 ABA Delegates meeting in New York City.

**5. Other Business. Item for Action Not Listed On Agenda.** After a presentation by Herm Olsen, Herm Olsen moved that the Commission express support for a rule that will allow the lawyer spouses of military members stationed in Utah to temporality practice law in Utah while the spouse is serving in Utah. Michelle Mumford seconded the motion which passed unopposed.

**6. Executive Session.**

**The meeting adjourned at 1:00 p.m.**

**Consent Agenda**

1. Approved Minutes from the July 26, 2017 Commission Meeting.
2. 2017-2018 Committee Charges
3. Practice Pending Admission Housekeeping Rules.
4. Law Student Practice Rule Clarifications.

John C. Baldwin (Bar No. 0186)  
Utah State Bar  
645 South 200 East  
Salt Lake City, Utah 84111-3834  
(801) 531-9077

BEFORE THE SUPREME COURT OF THE STATE OF UTAH

In the Matter of Utah State Bar  
October 2017  
Applicants for Admission

**MOTION FOR ADMISSION  
TO THE UTAH STATE BAR AND THE  
UTAH SUPREME COURT**

The Board of Commissioners of the Utah State Bar ("Board") hereby respectfully moves for admission of the following individuals to the Utah State Bar and the Utah Supreme Court. These individuals have been approved for admission by the Board, and the Board certifies to this Court that these persons possess the necessary qualifications of learning, ability, and character prerequisite to the privilege of engaging in the practice of law. The Board further represents that these individuals have fulfilled all requirements for admission to the Bar as provided for in the Rules Governing Admission to the Utah State Bar.

Dated this 6<sup>th</sup> Day of October, 2017.

---

John C. Baldwin  
Utah State Bar

**October 2017 Admittees -- Utah Supreme Court**

Robert M. Ahlander  
Briana R. Allen  
Porter C. Allred  
Joseph D. Amadon  
Ashley E. Anderson  
Elliot T. Anderson  
Jacob K. Arijanto

Sean B. Baker  
Kelly J. Baldwin  
Kenneth Baldwin  
Alex N. Ball  
Christian. Barbiero  
Kady K. Bauchman  
Michael E. Begley  
Luke D. Bell  
Caitlin M. Benson  
Skyler A. Bentley  
Daniel Benzion  
Laura Biber  
Chaunceton B. Bird  
Madelyn L. Blanchard  
Hyrum J. Bosserman  
Angela I. Bowen  
Bailee E. Bringhurst  
Kathryn K. Brinton  
Bryant Brown  
Kendra Brown  
Levi S. Brown  
Matthew J. Bury

Tyler R. Cahoon  
Kaden B. Canfield  
Jacqueline Carlton  
Anna F. Caruso  
William Chadwick  
Andrew Chapman  
Lauren N. Chauncey  
Daniel M. Cheung  
Brandon T. Christensen  
Carissa C. Christensen  
Tye L. Christensen  
Shannon L. Clarke

Dean Collinwood  
Cedar Q. Cosner

Kalab R. Cox  
Kyle G. Cramer  
Michael C. Crane  
Blithe E. Cravens  
Paul L. Creech  
Catherine O. Crellin  
Cole P. Crowther  
Brennan J. Curtis  
Joshua Cutler

Jay B. Dalley  
Chelsea J. Davis  
Steven G. Dearing  
Dominica G. Dela Cruz  
Andee G. DeVore  
Jugraj Dhaliwal  
Ellis Dobkin  
Bronwen L. Dromey  
Samantha R. Dugan  
David A. Duncan  
Benjamin T. Dyches

Michael A. Eixenberger  
Ericka A. Evans  
Joseph M. Evans

Kevin T. Farrelly  
Ryan S. Ficklin  
Jeffrey J. Finley  
Adam P. Forsyth  
Stefanie M. Franc  
Karma L. French

Jacob L. Gadd  
Cody J. Garcia  
Angela J. George  
Chad A. Gessel  
David Glauser  
Lindsey S. Goff  
Michael K. Goodrich

Dallin R. Groneman  
Matthew A. Grow  
Thomas C. Gunnerson

Michael M. Haddock  
Sarah A. Hafen

Justin R. Hamady  
David Handy  
Jonathan D. Hart  
Mark D. Hesiak  
Ray E. Hingson II  
Jacob T. Hogle  
Neal A. Hoopes  
Brent J. Huff

David A. Jaffa  
Cody R. Jenkins  
Parker R. Jenkins  
Daniel E. Jenkins  
Jake D. Jensen  
Joshua M. Jewett  
Joshua P. Johnson  
Michael E. Johnson  
Annika L. Jones  
Marcie M. Jones  
Bradley G. Jubber

Yuliya A. Karabin  
John E. Keiter Jr.  
Jeris T. Kendall  
Anikka T. Knight  
Samuel L. Knight  
Krystaly N. Koch  
Michael E. Kostrinsky  
John K. Kwarm

Erika M. Larsen  
Garrett R. Leatham  
Michael S. Lehr  
Paxton M. Lewis  
David J. Linthorst  
Kurt B. London

Chauntel M. Lopez  
Joshua R. Lucherini  
Thomas A. Luchs  
Lesley D. Lueke

Tyler G. MacKay  
Leilani D. Maldonado  
Elizabeth V. Mann  
Matthew A. Martinez  
Amy L. Martz  
Jason L. May  
Katherine McKeen  
Caitlin E. McKelvie  
Abby McKeon  
Margot C. Merrill-  
Johnson  
Ann R. Metler  
Matthew B. Miles  
Grant A. Miller  
Kali F. Miller  
Melissa Moeinvaziri  
Heidi E. Moore  
Sherry A. Moore  
Randall J. Morris  
Rachael M. Motzkus  
Stephen C. Mouritsen  
Colt R. Mund  
Dane S. Murray  
Megan M. Mustoe

Jacob W. Nelson  
Joshua R. Nelson  
Joshua B. Nemeth  
Courtney C. Neves  
David B. Nielson  
Marc A. Nowak

Rachel J. Okura  
Kylie C. Orme  
Jennifer Orrison  
Christian E. Otteson  
Kristen J. Overton  
James C. Owen  
Neela Pack  
Kali Jo Parker  
Jay B. Patel

Arianne N. Pehrson  
William A. Penrod  
Denton C. Peterson  
Scott P. Phelan  
Rachel E. Phillips  
Jean M. Pierce  
Cameron S. Platt  
Richard B. Plehn  
Elijah W. Pratt

Elisse T. Quinn

Jonathan D. Radford  
Bradley N. Rebeiro  
Kyle F. Reeder  
Hannah M. Roberts  
Peter H. Robinson  
Amy C. Rose

Daniel R. Sam  
Ryan D. Sam  
Jill L. Sanders  
Aminata Sarr  
Matthew D. Schmoldt  
Samantha A. Scott  
John E. Sellers  
Mathew S. Shechter  
Cade A. Shiozaki  
Laura A. Shrum  
Emily K. Shumway  
Lauren Simpson  
Aaron H. Smith  
Scott L. Smith  
Taylor D. Smith  
Michael A. Snell  
Richard S. Snow  
Kristofer Snow  
Kyle A. Snow  
John A. Sorenson  
Paul D. Spiel  
Taylor J. Stanton  
Robert Starling  
David R. Stoddard  
Alex D. Stoedter  
Tyson C. Stokes  
Keven J. Stratton Jr.

Ashley D. Sturtz  
Steven A. Swan  
Ryan C. Swapp

Stephen J. Terrell  
Chase R. Terry  
Curt X. Trickett

Amanda L. Ulland  
Ryan C. Ulrich

Ryan Valentin  
Chase A. Van Oostendorp  
Katherine L. Van Pelt  
Matthew J. Van Wagoner  
Trevor D. Vincent  
Lynda L. Viti

Aaron B. Wade  
Jonathan L. Waldram  
Karly B. Walton  
Lucy A. Wasmund  
Jane F. Watts  
Andrew C. Weber  
Chad D. West  
Oliver B. Whaley  
Emma Whitaker  
Alexis L. Whitmer  
Karissa Wilcox  
Gary K. Wilkinson  
Ashley B. Wilson  
Spencer J. Witt  
Bert T. Wolfley  
Alyssa J. Wood  
Clint D. Wood  
Karl J. Worsham  
William J. Wright  
Matthew G. Wright

Blake D. Young

House Counsel  
Emelia Jo Hanson  
Timothy Patrick O'Hagan



**TAB**  
**10**

# Utah State Bar Income Statement August 31, 2017

		Actual LYTD	Actual YTD	Budget YTD	Fav (Unfav) variance	% of Budget	Total Budget	YTD % of Tot Budget
<b>Revenue</b>								
Licensing	3,960,057	4,055,605	4,056,147	(542)	100%		4,331,399	94%
Admissions	34,075	21,940	33,392	(11,452)	66%		473,405	5%
NLTP	6,450	4,650	6,552	(1,902)	71%		72,434	6%
OPC	580	854	389	465	220%		12,000	7%
CLE	108,170	97,122	109,481	(12,359)	89%		570,000	17%
Summer Convention	186,215	282,855	252,105	30,750	112%		257,000	110%
Fall Forum	5,914	1,950	5,290	(3,340)	37%		111,000	2%
Spring Convention	450	-	395	(395)	0%		147,200	0%
Member Services	21,388	25,873	20,646	5,227	125%		226,798	11%
Public Services	2,200	2,820	2,424	396	116%		17,336	16%
Bar Operations	8,557	25,802	9,580	16,222	269%		85,569	30%
Facilities	26,541	27,202	26,266	936	104%		257,979	11%
Total Revenue	4,360,597	4,546,674	4,522,667	24,007	101%		6,562,120	69%
<b>Expenses</b>								
Licensing	18,324	16,878	22,399	5,521	75%		114,999	15%
Admissions	102,440	97,893	106,477	8,584	92%		490,501	20%
NLTP	14,725	14,477	12,794	(1,683)	113%		78,015	19%
OPC	229,731	237,899	241,545	3,646	98%		1,388,385	17%
CLE	65,323	37,142	79,573	42,431	47%		552,826	7%
Summer Convention	190,694	76,237	108,849	32,612	70%		257,201	30%
Fall Forum	4,768	8,758	4,652	(4,106)	188%		111,312	8%
Spring Convention	3,614	2,954	4,071	1,117	73%		129,439	2%
Member Services	96,206	87,623	102,025	14,402	86%		657,325	13%
Public Services	132,608	129,079	127,476	(1,603)	101%		471,416	27%
Bar Operations	301,602	344,309	341,010	(3,299)	101%		1,627,662	21%
Facilities	74,639	63,947	75,091	11,144	85%		548,265	12%
Total Expenses	1,234,674	1,117,196	1,225,962	108,766	91%		6,427,346	17%
<b>Net Profit (Loss)</b>	<b>\$ 3,125,924</b>	<b>\$ 3,429,478</b>	<b>\$ 3,296,705</b>	<b>\$ 132,773</b>	<b>104%</b>		<b>\$ 134,774</b>	<b>2545%</b>
Depreciation	37,578	38,960	40,225	1,265	97%		250,930	
Cash increase (decrease) from operations	3,163,501	3,468,438	3,336,930	131,508	104%		385,704	
Changes in operating assets/liabilities	(1,917,367)	(2,611,491)	(2,611,491)	-	100%		20,000	
Capital expenditures	(13,847)	(27,443)	(22,000)	(5,443)	125%		(132,000)	
<b>Net change in cash</b>	<b>\$ 1,232,287</b>	<b>\$ 829,503</b>	<b>\$ 703,439</b>	<b>\$ 126,065</b>	<b>118%</b>		<b>\$ 273,704</b>	<b>303%</b>

# Utah State Bar

## Licensing

### August 31, 2017

Revenue		Actual LYTD	Actual YTD	Budget YTD	Fav (Unfav) variance	% of Budget	Total Budget	YTD % of Tot Budget
4010 · Section/Local Bar Support fees		-	-	-	-	-	17,220	0%
4021 · Lic Fees > 3 Years		3,378,462	3,471,825	3,467,370	4,455	100%	3,556,750	98%
4022 · Lic Fees < 3 Years		193,000	172,250	198,455	(26,205)	87%	252,150	68%
4023 · Lic Fees - House Counsel		24,650	31,025	25,266	5,759	123%	29,607	105%
4025 · Pro Hac Vice Fees		13,750	9,500	15,015	(5,515)	63%	70,981	13%
4026 · Lic Fees - Inactive/FS		109,950	113,400	113,613	(213)	100%	114,595	99%
4027 · Lic Fees - Inactive/NS		200,270	204,750	204,652	98	100%	215,055	95%
4029 · Prior Year Lic Fees		-	2,695	-	2,695	-	3,778	71%
4030 · Certs of Good Standing		3,900	3,570	3,954	(384)	90%	24,569	15%
4095 · Miscellaneous Income		175	290	160	130	181%	1,694	17%
4096 · Late Fees		35,900	46,300	27,662	18,638	167%	45,000	103%
Total Revenue		3,960,057	4,055,605	4,056,147	(542)	100%	4,331,399	94%
Expenses		-	-	-	-	-	-	-
Program Services		-	-	-	-	-	-	-
Salaries & Benefits		12,548	13,992	16,744	2,752	84%	63,438	22%
General & Administrative		4,802	1,972	4,642	2,670	42%	45,220	4%
Building Overhead		975	915	1,013	98	90%	6,341	14%
Total Expenses		18,324	16,878	22,399	5,521	75%	114,999	15%
Net Profit (Loss)		\$ 3,941,733	\$ 4,038,727	\$ 4,033,748	\$ 4,979	100%	\$ 4,216,400	96%

# Utah State Bar Admissions August 31, 2017

	Actual LYTD	Actual YTD	Budget YTD	Fav (Unfav) variance	% of Budget	Total Budget	YTD % of Tot Budget
Revenue							
4001 · Admissions - Student Exam Fees	1,950	550	2,008	(1,458)	27%	147,900	0%
4002 · Admissions - Attorney Exam Fees	7,550	425	8,510	(8,085)	5%	65,433	1%
4003 · Admissions - Retake Fees	-	-	-	-	-	58,395	0%
4004 · Admissions - Laptop Fees	750	150	788	(638)	19%	69,360	0%
4006 · Transfer App Fees	400	300	441	(141)	68%	2,040	15%
4008 · Attorney - Motion	20,400	16,700	19,574	(2,874)	85%	76,806	22%
4009 · House Counsel	1,700	3,400	1,595	1,805	213%	19,941	17%
4095 · Miscellaneous Income	475	415	476	(61)	87%	1,530	27%
4096 · Late Fees	-	-	-	-	-	32,000	0%
Total Revenue	34,075	21,940	33,392	(11,452)	66%	473,405	7%
Expenses							
Program Services	37,739	33,492	39,921	6,429	84%	139,556	24%
Salaries & Benefits	58,071	58,593	60,307	1,714	97%	308,650	19%
General & Administrative	4,968	4,248	4,521	273	94%	31,480	13%
Building Overhead	1,663	1,560	1,728	168	90%	10,815	14%
Total Expenses	102,440	97,893	106,477	8,584	92%	490,501	20%
Net Profit (Loss)	\$ (68,365)	\$ (75,953)	\$ (73,085)	\$ (2,868)	104%	\$ (17,096)	444%

**August 31, 2017**

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# Utah State Bar OPC

August 31, 2017

		Actual LYTD	Actual YTD	Budget YTD	Fav (Unfav) variance	% of Budget	Total Budget	YTD % of Tot Budget
<b>Revenue</b>								
4095 · Miscellaneous Income	580		854	389	465	220%	2,000	43%
4200 · Seminar Profit/Loss	-		-	-	-	-	10,000	0%
Total Revenue	580		854	389	465	220%	12,000	7%
<b>Expenses</b>								
Program Services	6,263		7,844	9,677	1,833	81%	32,119	24%
Salaries & Benefits	193,789		202,133	201,712	(420)	100%	1,172,899	17%
General & Administrative	15,066		14,211	14,949	738	95%	88,303	16%
Building Overhead	14,612		13,711	15,207	1,496	90%	95,064	14%
Total Expenses	229,731		237,899	241,545	3,646	98%	1,388,385	17%
<b>Net Profit (Loss)</b>		\$ (229,151)	\$ (237,045)	\$ (241,156)	\$ 4,111	98%	\$ (1,376,385)	17%

# Utah State Bar CLE

## August 31, 2017

		Actual LYTD	Actual YTD	Budget YTD	Fav (Unfav) variance	% of Budget	Total Budget	YTD % of Tot Budget
<b>Revenue</b>								
4052 · Meeting - Sponsor Revenue	500	-	-	-	-	-	25,000	0%
4054 · Meeting - Material Sales	-	-	-	-	-	-	-	-
4081 · CLE - Registrations	51,692	38,420	60,268	(21,849)	64%		450,000	9%
4082 · CLE - Video Library Sales	49,663	58,703	49,213	9,490	119%		105,000	56%
4084 · Business Law Book Sales	4,965	-	-	-	-	-	-	-
4095 · Miscellaneous Income	-	-	-	-	-	-	-	-
4200 · Seminar Profit/Loss	1,350	-	-	-	-	-	(10,000)	0%
Total Revenue	108,170	97,122	109,481	(12,359)	89%		570,000	17%
<b>Expenses</b>								
Program Services	34,034	10,534	44,058	33,524	24%		316,615	3%
Salaries & Benefits	16,570	16,573	22,925	6,352	72%		160,723	10%
General & Administrative	10,776	6,190	8,316	2,126	74%		49,235	13%
Building Overhead	3,944	3,844	4,274	430	90%		26,253	15%
Total Expenses	65,323	37,142	79,573	42,431	47%		552,826	7%
<b>Net Profit (Loss)</b>	<b>\$ 42,847</b>	<b>\$ 59,980</b>	<b>\$ 29,908</b>	<b>\$ 30,072</b>	<b>201%</b>		<b>\$ 17,174</b>	<b>349%</b>

# Utah State Bar Summer Convention August 31, 2017

	Actual LYTD	Actual YTD	Budget YTD	Fav (Unfav) variance	% of Budget	Total Budget	YTD % of Tot Budget
<b>Revenue</b>							
4051 · Meeting - Registration	153,815	234,935	211,605	23,330	111%	216,500	109%
4052 · Meeting - Sponsor Revenue	20,000	20,550	25,000	(4,450)	82%	25,000	82%
4053 · Meeting - Vendor Revenue	10,600	13,100	12,000	1,100	109%	12,000	109%
4055 · Meeting - Sp Ev Registration	1,800	14,270	3,500	10,770	408%	3,500	408%
Total Revenue	186,215	282,855	252,105	30,750	112%	257,000	110%
<b>Expenses</b>							
Program Services	164,971	41,099	78,611	37,512	52%	206,600	20%
Salaries & Benefits	11,510	17,536	17,805	269	98%	35,200	50%
General & Administrative	13,806	17,220	12,010	(5,210)	143%	12,754	135%
Building Overhead	407	382	423	41	90%	2,647	14%
Total Expenses	190,694	76,237	108,849	32,612	70%	257,201	30%
<b>Net Profit (Loss)</b>	<b>\$ (4,479)</b>	<b>\$ 206,618</b>	<b>\$ 143,256</b>	<b>\$ 63,362</b>	<b>144%</b>	<b>\$ (201)</b>	<b>-102795%</b>



# Utah State Bar Fall Forum

August 31, 2017

		Actual LYTD	Actual YTD	Budget YTD	Fav (Unfav) variance	% of Budget	Total Budget	YTD % of Tot Budget
<b>Revenue</b>								
4051 · Meeting - Registration	3,364	-	-	3,169	(3,169)	0%	101,000	0%
4052 · Meeting - Sponsor Revenue	-	-	-	-	-	-	-	#DIV/0!
4053 · Meeting - Vendor Revenue	2,550	1,950	2,121	(171)	(171)	92%	10,000	20%
4055 · Meeting - Sp Ev Registration	-	-	-	-	-	-	-	-
Total Revenue	5,914	1,950	5,290	(3,340)	(3,340)	37%	111,000	2%
<b>Expenses</b>								
Program Services	-	5,813	-	(5,813)	(5,813)	-	83,715	7%
Salaries & Benefits	3,024	2,218	2,935	717	717	76%	13,000	17%
General & Administrative	1,337	346	1,294	948	948	27%	11,950	3%
Building Overhead	407	382	423	41	41	90%	2,647	14%
Total Expenses	4,768	8,758	4,652	(4,106)	(4,106)	188%	111,312	8%
<b>Net Profit (Loss)</b>	<b>\$ 1,146</b>	<b>\$ (6,808)</b>	<b>\$ 638</b>	<b>\$ (7,446)</b>	<b>\$ (7,446)</b>	<b>-1067%</b>	<b>\$ (312)</b>	<b>2182%</b>

# Utah State Bar Spring Convention August 31, 2017

Revenue		Actual LYTD	Actual YTD	Budget YTD	Fav (Unfav) variance	% of Budget	Total Budget	YTD % of Tot Budget
4051 · Meeting - Registration		450	-	395	(395)	0%	115,000	0%
4052 · Meeting - Sponsor Revenue		-	-	-	-	-	17,000	0%
4053 · Meeting - Vendor Revenue		-	-	-	-	-	12,000	0%
4055 · Meeting - Sp Ev Registration		-	-	-	-	-	3,200	0%
Total Revenue		450	-	395	(395)	0%	147,200	0%
Expenses								
Program Services		2,813	2,419	3,237	818	75%	92,550	3%
Salaries & Benefits		349	74	367	293	20%	22,943	0%
General & Administrative		45	79	44	(35)	179%	11,299	1%
Building Overhead		407	382	423	41	90%	2,647	14%
Total Expenses		3,614	2,954	4,071	1,117	73%	129,439	2%
Net Profit (Loss)		\$ (3,164)	\$ (2,954)	\$ (3,676)	\$ 722	80%	\$ 17,761	-17%

**Utah State Bar**  
**Member Services**  
**(Bar Journal, Member Benefits, Section Support, Legislative, Public Education & YLD)**  
**August 31, 2017**

		Actual LYTD	Actual YTD	Budget YTD	Fav (Unfav) variance	% of Budget	Total Budget	YTD % of Tot Budget
Revenue	4010 · Section/Local Bar Support fees	-	-	-	-	-	84,000	0%
	4052 · Meeting - Sponsor Revenue	-	-	-	-	-	2,000	0%
	4061 · Advertising Revenue	21,014	25,495	20,368	5,127	125%	134,573	19%
	4062 · Subscriptions	-	-	-	-	-	61	0%
	4071 · Mem Benefits - Lexis	-	-	-	-	-	1,163	0%
	4072 · Royalty Inc - Bar J, MBNA, LM,M	374	378	278	100	136%	5,001	8%
	Total Revenue	21,388	25,873	20,646	5,227	125%	226,798	11%
Expenses								
	38,652	49,952	38,331	(11,621)	130%	288,645	17%	
Program Services	33,016	12,463	34,862	22,399	36%	201,463	6%	
Salaries & Benefits	20,932	21,680	24,905	3,225	87%	143,150	15%	
General & Administrative	3,607	3,528	3,927	399	90%	24,067	15%	
Building Overhead								
Total Expenses	96,206	87,623	102,025	14,402	86%	657,325	13%	
Net Profit (Loss)		\$ (74,818)	\$ (61,750)	\$ (81,379)	\$ 19,629	76%	\$ (430,527)	14%

**Utah State Bar  
Public Services  
(Committees, Consumer Assistance, Access to Justice, Tuesday Night Bar)  
August 31, 2017**

<b>Revenue</b>		<b>Actual LYTD</b>	<b>Actual YTD</b>	<b>Budget YTD</b>	<b>Fav (Unfav) variance</b>	<b>% of Budget</b>	<b>Total Budget</b>	<b>YTD % of Tot Budget</b>
4063 · Modest Means revenue		2,200	2,800	2,424	376	116%	13,000	22%
4093 · Law Day Revenue		-	-	-	-	-	4,000	0%
4095 · Miscellaneous Income		-	20	-	20	-	50	40%
4200 · Seminar Profit/Loss		-	-	-	-	-	286	-
<b>Total Revenue</b>		<b>2,200</b>	<b>2,820</b>	<b>2,424</b>	<b>396</b>	<b>116%</b>	<b>17,336</b>	<b>16%</b>
<b>Expenses</b>								
Program Services		81,479	73,155	71,977	(1,178)	102%	127,754	57%
Salaries & Benefits		42,252	43,539	46,732	3,193	93%	284,964	15%
General & Administrative		5,629	9,338	5,393	(3,945)	173%	37,566	25%
Building Overhead		3,248	3,048	3,374	326	90%	21,132	14%
<b>Total Expenses</b>		<b>132,608</b>	<b>129,079</b>	<b>127,476</b>	<b>(1,603)</b>	<b>101%</b>	<b>471,416</b>	<b>27%</b>
<b>Net Profit (Loss)</b>		<b>\$ (130,408)</b>	<b>\$ (126,259)</b>	<b>\$ (125,052)</b>	<b>\$ (1,207)</b>	<b>101%</b>	<b>\$ (454,080)</b>	<b>28%</b>

**Utah State Bar**  
**Bar Operations**  
**(Bar Management, General Counsel, IT, Commission/Special Projects)**  
**August 31, 2017**

		Actual LYTD	Actual YTD	Budget YTD	Fav (Unfav) variance	% of Budget	Total Budget	YTD % of Tot Budget
<b>Revenue</b>								
4060 · E-Filing Revenue	-	6,405	-	6,405	-	-	13,211	48%
4103 · In - Kind Revenue - UDR	218	536	210	326	326	255%	1,277	42%
4095 · Miscellaneous Income	150	157	250	(93)	(93)	63%	2,593	6%
Investment Income	8,189	18,704	9,120	9,584	9,584	205%	68,488	12%
Total Revenue	8,557	25,802	9,580	16,222	16,222	269%	85,569	10%
<b>Expenses</b>								
Program Services	81,555	106,099	108,302	2,203	2,203	98%	259,313	41%
Salaries & Benefits	170,908	178,763	175,421	(3,342)	(3,342)	102%	1,074,911	17%
General & Administrative	40,407	50,902	47,928	(2,974)	(2,974)	106%	235,086	22%
In Kind	532	850	828	(22)	(22)	103%	5,000	17%
Building Overhead	8,200	7,695	8,531	836	836	90%	53,352	14%
Total Expenses	301,602	344,309	341,010	(3,299)	(3,299)	101%	1,627,662	21%
<b>Net Profit (Loss)</b>		<b>\$ (293,045)</b>	<b>\$ (318,507)</b>	<b>\$ (331,430)</b>	<b>\$ 12,923</b>	<b>96%</b>	<b>\$ (1,542,093)</b>	<b>21%</b>

# Utah State Bar Facilities

August 31, 2017

		Actual LYTD	Actual YTD	Budget YTD	Fav (Unfav) variance	% of Budget	Total Budget	YTD % of Tot Budget
<b>Revenue</b>								
	4039 · Room Rental-All parties	12,712	15,400	12,823	2,577	120%	115,574	13%
	4042 · Food & Beverage Rev-All Parties	10,084	8,166	9,694	(1,528)	84%	118,222	7%
	4043 · Setup & A/V charges-All parties	107	-	113	(113)	0%	2,186	0%
	4090 · Tenant Rent	3,612	3,612	3,612	-	100%	21,672	17%
	4095 · Miscellaneous Income	26	24	24	0	101%	325	7%
	Total Revenue	26,541	27,202	26,266	936	104%	257,979	11%
<b>Expenses</b>								
	Program Services	8,390	8,240	8,319	79	99%	115,859	7%
	Salaries & Benefits	23,431	23,651	24,743	1,092	96%	159,094	15%
	General & Administrative	2,140	(5,816)	(472)	5,344	1232%	5,084	-114%
	In Kind	2,650	1,970	2,698	728	73%	20,030	10%
	Building Overhead	38,028	35,903	39,803	3,900	90%	248,198	14%
	Total Expenses	74,639	63,947	75,091	11,144	85%	548,265	12%
<b>Net Profit (Loss)</b>		<b>\$ (48,099)</b>	<b>\$ (36,745)</b>	<b>\$ (48,825)</b>	<b>\$ 12,080</b>	<b>75%</b>	<b>\$ (290,286)</b>	<b>13%</b>

**Utah State Bar**  
**Income Statement - Consolidated By Account**  
**August 31, 2017**

	Actual LYTD	Actual YTD	Budget YTD	Fav (Unfav) variance	% of Budget	Total Budget	YTD % of Tot Budget
<b>Revenue</b>							
4001 · Admissions - Student Exam Fees	1,950	550	2,008	(1,458)	27%	147,900	0%
4002 · Admissions - Attorney Exam Fees	7,550	425	8,510	(8,085)	5%	65,433	1%
4003 · Admissions - Retake Fees	-	-	-	-	-	58,395	0%
4004 · Admissions - Laptop Fees	750	150	788	(638)	19%	69,360	0%
4006 · Transfer App Fees	400	300	441	(141)	68%	2,040	15%
4008 · Attorney - Motion	20,400	16,700	19,574	(2,874)	85%	76,806	22%
4009 · House Counsel	1,700	3,400	1,595	1,805	213%	19,941	17%
4010 · Section/Local Bar Support fees	-	-	-	-	-	101,220	0%
4020 · NLTP Fees	6,450	4,650	6,552	(1,902)	71%	73,134	6%
4021 · Lic Fees > 3 Years	3,378,462	3,471,825	3,467,370	4,455	100%	3,556,750	98%
4022 · Lic Fees < 3 Years	193,000	172,250	198,455	(26,205)	87%	252,150	68%
4023 · Lic Fees - House Counsel	24,650	31,025	25,266	5,759	123%	29,607	105%
4025 · Pro Hac Vice Fees	13,750	9,500	15,015	(5,515)	63%	70,981	13%
4026 · Lic Fees - Inactive/FS	109,950	113,400	113,613	(213)	100%	114,595	99%
4027 · Lic Fees - Inactive/NS	200,270	204,750	204,652	98	100%	215,055	95%
4029 · Prior Year Lic Fees	-	2,695	-	2,695	-	3,778	71%
4030 · Certs of Good Standing	3,900	3,570	3,954	(384)	90%	24,569	15%
4039 · Room Rental-All parties	12,712	15,400	12,823	2,577	120%	115,574	13%
4042 · Food & Beverage Rev-All Parties	10,084	8,166	9,694	(1,528)	84%	118,222	7%
4043 · Setup & A/V charges-All parties	107	-	113	(113)	0%	2,186	0%
4051 · Meeting - Registration	157,629	234,935	215,169	19,766	109%	432,500	54%
4052 · Meeting - Sponsor Revenue	20,500	20,550	25,000	(4,450)	82%	69,000	30%
4053 · Meeting - Vendor Revenue	13,150	15,050	14,121	929	107%	34,000	44%
4055 · Meeting - Sp Ev Registration	1,800	14,270	3,500	10,770	408%	6,700	213%
4060 · E-Filing Revenue	-	6,405	-	6,405	-	13,211	48%
4061 · Advertising Revenue	21,014	25,495	20,368	5,127	125%	134,573	19%
4062 · Subscriptions	-	-	-	-	-	61	0%
4063 · Modest Means revenue	2,200	2,800	2,424	376	116%	13,000	22%
4071 · Mem Benefits - Lexis	-	-	-	-	-	1,163	0%
4072 · Royalty Inc - Bar J, MBNA, LM,M	374	378	278	100	136%	5,001	8%
4081 · CLE - Registrations	51,692	38,420	60,268	(21,849)	64%	450,000	9%
4082 · CLE - Video Library Sales	49,663	58,703	49,213	9,490	119%	105,000	56%
4084 · Business Law Book Sales	4,965	-	-	-	-	-	-
4090 · Tenant Rent	3,612	3,612	3,612	-	100%	21,672	17%
4093 · Law Day Revenue	-	-	-	-	-	4,000	0%
4095 · Miscellaneous Income	1,406	1,760	1,299	461	135%	8,192	21%
4096 · Late Fees	35,900	46,300	27,662	18,638	167%	77,000	60%
4103 · In - Kind Revenue - UDR	218	536	210	326	255%	1,277	42%
4200 · Seminar Profit/Loss	1,350	-	-	-	-	(414)	0%
Investment income	8,189	18,704	9,120	9,584	205%	68,488	27%
<b>Total Revenue</b>	<b>4,360,597</b>	<b>4,546,674</b>	<b>4,522,667</b>	<b>24,007</b>	<b>101%</b>	<b>6,562,120</b>	<b>69%</b>
<b>Program Service Expenses</b>							
5001 · Meeting Facility-external only	39,248	10,398	63,366	52,969	16%	67,489	15%
5002 · Meeting facility-internal only	8,192	9,498	8,275	(1,223)	115%	69,110	14%
5013 · ExamSoft	16,148	14,623	16,745	2,122	87%	24,000	61%
5014 · Questions	95	-	99	99	0%	50,000	0%
5015 · Investigations	25	50	45	(5)	111%	430	12%
5016 · Credit Checks	28	126	31	(95)	408%	2,568	5%
5017 · Medical Exam	-	-	-	-	-	2,560	0%
5025 · Temp Labor/Proctors	3,300	2,750	3,300	550	83%	6,600	42%
5030 · Speaker Fees & Expenses	500	7,780	5,000	(2,780)	156%	43,100	18%
5031 · Speaker Reimb. - Receipt Req'd	1,163	1,672	-	(1,672)	-	10,500	16%
5035 · Awards	366	1,774	292	(1,482)	608%	5,467	32%
5037 · Grants/ contributions - general	250	-	158	158	0%	9,500	0%
5040 · Witness & Hearing Expense	74	170	99	(71)	172%	9,700	2%
5041 · Process Serving	287	65	227	162	29%	1,200	5%



**Utah State Bar**  
**Income Statement - Consolidated By Account**  
**August 31, 2017**

	Actual LYTD	Actual YTD	Budget YTD	Fav (Unfav) variance	% of Budget	Total Budget	YTD % of Tot Budget
5046 · Court Reporting	-	152	-	(152)	-	850	18%
5047 · Casemaker	11,675	11,721	11,890	169	99%	70,000	17%
5055 · Legislative Expense	7,000	7,000	6,522	(478)	107%	43,000	16%
5060 · Program Special Activities	75	-	5,000	5,000	0%	5,250	0%
5061 · LRE - Bar Support	65,000	65,000	65,000	-	100%	65,000	100%
5062 · Law Day	-	-	-	-	-	17,760	0%
5063 · Special Event Expense	1,095	3,748	3,343	(405)	112%	27,379	14%
5064 · MCLE Fees Paid	4,094	-	4,500	4,500	0%	38,000	0%
5070 · Equipment Rental	28,156	2,982	8,200	5,218	36%	37,342	8%
5075 · Food & Bev-external costs only	127,584	20,875	30,055	9,180	69%	491,714	4%
5076 · Food & beverage - internal only	7,386	5,694	7,890	2,196	72%	70,452	8%
5079 · Soft Drinks	581	1,577	571	(1,006)	276%	11,038	14%
5085 · Misc. Program Expense	3,486	2,118	3,253	1,135	65%	16,540	13%
5090 · Commission Expense	3,543	4,584	3,275	(1,309)	140%	23,856	19%
5096 · UDR Support	10,000	-	-	-	-	-	#DIV/0!
5099 · Blomquist Hale	12,320	12,327	12,494	167	99%	75,000	16%
5702 · Travel - Lodging	24,155	16,757	32,221	15,464	52%	55,600	30%
5703 · Travel - Transportation/Parking	5,960	2,157	6,429	4,272	34%	24,899	9%
5704 · Travel - Mileage Reimbursement	1,341	6,293	3,279	(3,014)	192%	10,878	58%
5705 · Travel - Per Diems	1,135	3,186	3,693	507	86%	8,434	38%
5706 · Travel - Meals	415	424	415	(9)	102%	1,185	36%
5707 · Travel - Commission Mtgs	30,481	28,047	31,927	3,880	88%	46,000	61%
5805 · ABA Annual Meeting	1,614	17,771	18,141	370	98%	21,602	82%
5810 · ABA Mid Year Meeting	-	-	-	-	-	18,081	0%
5815 · Commission/Education	12,100	14,065	12,930	(1,135)	109%	26,000	54%
5820 · ABA Annual Delegate	2,304	8,233	2,635	(5,598)	312%	11,000	75%
5830 · Western States Bar Conference	-	-	-	-	-	11,550	0%
5840 · President's Expense	3,000	3,937	2,840	(1,097)	139%	18,000	22%
5841 · President's Reimbursement	94	3,273	1,077	(2,196)	304%	4,000	82%
5850 · Leadership Academy	-	543	-	(543)	-	20,000	3%
5855 · Bar Review	-	-	-	-	-	1,500	0%
5865 · Retreat	12,190	34,088	12,143	(21,945)	281%	26,000	131%
5960 · Overhead Allocation - Seminars	-	-	5,209	5,209	0%	1,261	0%
5970 · Event Revenue Sharing - 3rd Pty	10,599	14,008	11,148	(2,860)	126%	70,000	20%
<b>Total Program Service Expenses</b>	<b>457,066</b>	<b>339,468</b>	<b>403,717</b>	<b>64,249</b>	<b>84%</b>	<b>1,671,395</b>	<b>20%</b>
<b>Salaries &amp; Benefit Expenses</b>							
5510 · Salaries/Wages	447,296	455,043	481,150	26,107	95%	2,765,971	16%
5605 · Payroll Taxes	35,192	35,610	36,788	1,178	97%	201,505	18%
5610 · Health Insurance	41,441	39,852	42,630	2,778	93%	254,671	16%
5630 · Dental Insurance	2,660	2,627	2,784	157	94%	16,914	16%
5640 · Life & LTD Insurance	2,980	2,893	2,656	(237)	109%	15,875	18%
5645 · Workman's Comp Insurance	546	441	534	93	83%	2,948	15%
5650 · Retirement Plan Contributions	42,962	43,702	45,420	1,718	96%	254,737	17%
5655 · Retirement Plan Fees & Costs	-	-	-	-	-	22,393	0%
5660 · Training/Development	3,884	825	2,083	1,258	40%	19,530	4%
<b>Total Salaries &amp; Benefit Expenses</b>	<b>576,961</b>	<b>580,994</b>	<b>614,045</b>	<b>33,051</b>	<b>95%</b>	<b>3,554,544</b>	<b>16%</b>
<b>General &amp; Administrative Expenses</b>							
7025 · Office Supplies	2,701	2,908	2,396	(512)	121%	23,888	12%
7033 · Operating Meeting Supplies	2,988	3,278	3,078	(200)	106%	22,694	14%
7035 · Postage/Mailing, net	13,463	2,589	11,372	8,783	23%	49,085	5%
7040 · Copy/Printing Expense	37,242	31,944	31,186	(758)	102%	158,170	20%
7041 · Copy/Print revenue	(4,056)	(4,501)	(4,258)	243	106%	(26,036)	17%
7045 · Internet Service	986	2,465	1,080	(1,385)	228%	15,469	16%
7050 · Computer Maintenance	4,552	4,552	10,732	6,180	42%	65,135	7%
7055 · Computer Supplies & Small Equip	1,091	1,256	1,056	(200)	119%	8,341	15%
7089 · Membership Database Fees	4,663	6,923	4,582	(2,341)	151%	33,658	21%



**Utah State Bar**  
**Income Statement - Consolidated By Account**  
**August 31, 2017**

	Actual LYTD	Actual YTD	Budget YTD	Fav (Unfav) variance	% of Budget	Total Budget	YTD % of Tot Budget
7100 · Telephone	6,614	10,899	6,363	(4,536)	171%	56,854	19%
7105 · Advertising	357	1,385	523	(862)	265%	20,650	7%
7106 · Public Notification	35	100	50	(50)	200%	1,158	9%
7110 · Publications/Subscriptions	4,335	1,378	4,237	2,859	33%	16,340	8%
7115 · Public Relations	688	-	4,238	4,238	0%	12,000	0%
7120 · Membership/Dues	6,623	7,106	7,107	1	100%	11,096	64%
7135 · Bank Service Charges	533	365	535	171	68%	1,662	22%
7136 · ILM Service Charges	2,285	2,691	2,243	(448)	120%	15,009	18%
7138 · Bad debt expense	-	-	-	-	-	1,890	0%
7140 · Credit Card Merchant Fees	3,579	18,437	22,117	3,680	83%	96,958	19%
7141 · Credit Card surcharge	(17,029)	(13,435)	(14,916)	(1,481)	90%	(51,298)	26%
7145 · Commission Election Expense	-	-	-	-	-	3,500	0%
7150 · E&O/Off & Dir Insurance	8,199	8,491	8,096	(395)	105%	48,576	17%
7160 · Audit Expense	15,000	25,539	15,234	(10,305)	168%	30,000	85%
7170 · Lobbying Rebates	7	-	14	14	0%	14	0%
7175 · O/S Consultants	-	3,985	1,600	(2,385)	249%	21,200	19%
7176 · Bar Litigation	654	1,159	437	(722)	265%	15,244	8%
7177 · UPL	942	621	1,135	514	55%	10,000	6%
7178 · Offsite Storage/Backup	657	692	658	(34)	105%	4,000	17%
7179 · Payroll Adm Fees	480	477	478	1	100%	2,811	17%
7180 · Administrative Fee Expense	110	210	101	(109)	208%	952	22%
7190 · Lease Interest Expense	-	-	-	-	-	185	0%
7191 · Lease Sales Tax Expense	-	-	-	-	-	704	0%
7195 · Other Gen & Adm Expense	3,558	95	3,083	2,988	3%	7,098	1%
<b>Total General &amp; Administrative Expenses</b>	<b>120,950</b>	<b>121,610</b>	<b>124,557</b>	<b>2,947</b>	<b>98%</b>	<b>677,007</b>	<b>18%</b>
<b>In Kind Expenses</b>							
7103 · InKind Contrib-UDR & all other	3,182	2,820	3,526	706	80%	25,030	11%
<b>Total In Kind Expenses</b>	<b>3,182</b>	<b>2,820</b>	<b>3,526</b>	<b>706</b>	<b>80%</b>	<b>25,030</b>	<b>13%</b>
<b>Building Overhead Expenses</b>							
6015 · Janitorial Expense	4,000	5,678	4,220	(1,458)	135%	31,783	18%
6020 · Heat	952	549	967	418	57%	17,933	3%
6025 · Electricity	10,774	9,149	11,231	2,082	81%	50,207	18%
6030 · Water/Sewer	613	1,653	618	(1,035)	268%	5,195	32%
6035 · Outside Maintenance	2,047	565	1,940	1,375	29%	13,050	4%
6040 · Building Repairs	5,741	187	4,808	4,621	4%	27,216	1%
6045 · Bldg Mtnce Contracts	5,521	6,134	5,535	(599)	111%	38,194	16%
6050 · Bldg Mtnce Supplies	246	230	313	83	73%	3,082	7%
6055 · Real Property Taxes	6,233	6,367	7,048	681	90%	42,597	15%
6060 · Personal Property Taxes	133	84	146	62	57%	797	11%
6065 · Bldg Insurance/Fees	2,678	2,748	3,066	318	90%	18,386	15%
6070 · Building & Improvements Depr	8,737	8,471	9,420	949	90%	56,664	15%
6075 · Furniture & Fixtures Depr	2,543	2,541	2,734	193	93%	16,532	15%
7065 · Computers, Equip & Sftwre Depr	26,298	27,948	28,071	123	100%	177,734	16%
<b>Total Building Overhead Expenses</b>	<b>76,516</b>	<b>72,304</b>	<b>80,117</b>	<b>7,813</b>	<b>90%</b>	<b>499,370</b>	<b>15%</b>
<b>Total Expenses</b>	<b>1,234,674</b>	<b>1,117,196</b>	<b>1,225,962</b>	<b>108,766</b>	<b>91%</b>	<b>6,427,346</b>	<b>19%</b>
<b>Net Profit (Loss)</b>	<b>\$ 3,125,924</b>	<b>\$ 3,429,478</b>	<b>\$ 3,296,705</b>	<b>\$ 132,773</b>	<b>-8%</b>	<b>\$ 134,774</b>	

## Utah State Bar Balance Sheets

	<u>8/31/2017</u>	<u>6/30/2017</u>
<b>ASSETS</b>		
Current Assets		
Petty Cash	\$ 625	\$ 625
Cash in Bank	177,631	363,232
Invested Funds	7,768,608	6,753,504
Total Cash/Investments	<u>7,946,864</u>	<u>7,117,361</u>
Accounts Receivable	16,084	22,953
Prepaid Expenses	123,431	101,133
A/R - Sections	<u>12,425</u>	<u>11,565</u>
Total Other Current Assets	<u>151,940</u>	<u>135,652</u>
Total Current Assets	<u>8,098,805</u>	<u>7,253,013</u>
Fixed Assets		
Property & Equipment	4,766,448	4,739,005
Accumulated Depreciation	(3,783,258)	(3,744,298)
Land	<u>633,142</u>	<u>633,142</u>
Total Fixed Assets	<u>1,616,332</u>	<u>1,627,849</u>
<b>TOTAL ASSETS</b>	<u><u>\$ 9,715,137</u></u>	<u><u>\$ 8,880,862</u></u>
<b>LIABILITIES &amp; EQUITY</b>		
Liabilities		
Current Liabilities		
AP Trade	\$ 21,460	\$ 88,187
Other Accounts Payable	212,232	143,363
Accrued Payables	411,036	437,371
Cap Lease Oblig - ST	2,739	2,739
A/P - Sections	295,460	187,570
Deferred Revenue	30	2,678,930
Total Current Liabilities	<u>942,957</u>	<u>3,538,160</u>
Long Term Liabilities		
Capital Lease Oblig	<u>14,786</u>	<u>14,786</u>
Total Long Term Liabilities	<u>14,786</u>	<u>14,786</u>
Total Liabilities	<u>957,743</u>	<u>3,552,946</u>
Equity		
Unrestricted Net Assets (R/E)	5,327,916	5,029,507
Fund Balance - Current Year	<u>3,429,478</u>	<u>298,408</u>
Total Equity	<u>8,757,394</u>	<u>5,327,916</u>
<b>TOTAL LIABILITIES &amp; EQUITY</b>	<u><u>\$ 9,715,137</u></u>	<u><u>\$ 8,880,862</u></u>

Balance Sheet Classification

Base Currency: USD As of 08/31/2017

ILM-UT ST BAR (3176)

Dated: 09/25/2017

CE

Identifier	Description	Current Units	Rating	Coupon	Effective Maturity	Book Yield	Yield	Base Book Value	Base Net Total Unrealized Gain/Loss	Market Price	Base Accrued Balance	Base Market Value + Accrued
38141W232	FINANCIAL SQUARE CL FST MMF	459,840.17	AAA	1.19	08/31/2017	1.19	1.19	459,978.12	0.00	1.0003	0.00	459,978.12
CCYUSD	Receivable	1,003.56	AAA	0.00	08/31/2017	0.00	0.00	1,003.56	0.00	1.0000	0.00	1,003.56
--	--	460,843.73	AAA	--	08/31/2017	1.187	1.187	460,981.68	0.00	--	0.00	460,981.68

ST

Identifier	Description	Current Units	Rating	Coupon	Effective Maturity	Book Yield	Yield	Base Book Value	Base Net Total Unrealized Gain/Loss	Market Price	Base Accrued Balance	Base Market Value + Accrued
46625HGY0	JPMORGAN CHASE & CO	380,000.00	A-	6.00	01/15/2018	1.512	1.744	386,276.77	-314.57	101.5690	2,913.33	388,875.53
41283DAB9	HARLEY-DAVIDSON FUNDING CORP	205,000.00	A-	6.80	06/15/2018	1.472	1.798	213,509.23	-520.38	103.8970	2,942.89	215,931.74
665501AH5	NORTHERN NATURAL GAS CO	220,000.00	A	5.75	07/15/2018	1.712	1.694	227,631.46	57.54	103.4950	1,616.39	229,305.39
14916RAB0	CATHOLIC HEALTH INITIATIVES	280,000.00	BBB+	1.60	11/01/2017	1.599	1.592	280,000.00	0.00	100.0000	1,493.33	281,493.33
459200HK0	INTERNATIONAL BUSINESS MACHINES CORP	150,000.00	A+	1.25	02/08/2018	1.41	1.459	149,896.24	-32.74	99.9090	119.79	149,983.29
36066R5S1	GENERAL ELECTRIC CAPITAL CORPORATION	225,000.00	AA-	4.75	02/15/2018	1.415	2.573	228,381.37	-1,180.87	100.9780	475.00	227,675.50
585055BA3	MEDTRONIC INC	380,000.00	A	1.375	04/01/2018	1.441	1.504	379,854.39	-139.39	99.9250	2,177.08	381,892.08
0258MDR7	AMERICAN EXPRESS CREDIT CORP	270,000.00	A	1.55	09/22/2017	1.41	1.557	270,021.48	-24.18	99.9980	1,848.38	271,845.67
91324PCF7	UNITEDHEALTH GROUP INC	270,000.00	A+	1.40	12/15/2017	1.369	1.437	270,023.67	-56.07	99.9880	798.00	270,765.60
89352HAN9	TRANSCANADA PIPELINES LTD	270,000.00	A-	1.875	01/12/2018	1.563	1.76	270,302.57	-194.57	100.0400	689.06	270,797.06
2027AQH2	COMMONWEALTH BANK OF AUSTRALIA	280,000.00	AA-	1.636	03/12/2018	1.562	1.429	280,125.57	311.23	100.1560	1,018.23	281,455.03
00182EAW9	ANZ NEW ZEALAND (INTL) LTD	370,000.00	AA-	1.75	03/29/2018	1.58	1.536	370,357.13	94.27	100.1220	2,733.89	373,185.29
38141GNM2	GOLDMAN SACHS GROUP INC	340,000.00	A-	2.316	02/19/2018	1.737	2.244	340,912.51	-786.71	100.0370	218.77	340,344.57
22546QAW7	CREDIT SUISSE AG (NEW YORK BRANCH)	380,000.00	A+	1.997	04/27/2018	1.465	1.484	381,376.26	-57.66	100.3470	758.73	382,077.33
78012KPY7	ROYAL BANK OF CANADA	300,000.00	AA-	1.50	06/07/2018	1.55	1.535	299,884.53	34.47	99.9730	1,050.00	300,969.00
063677JW1	BANK OF MONTREAL	270,000.00	A+	1.35	08/28/2018	1.677	1.557	269,117.56	334.34	99.7970	30.38	269,482.28
084601GG2	Berkshire Bank	100,000.00	NA	0.80	09/22/2017	0.80	0.794	100,000.00	0.00	100.0000	751.78	100,751.78
--	--	4,690,000.00	A	--	03/06/2018	1.518	1.655	4,717,670.74	-2,475.29	--	21,835.04	4,736,830.49

LT

Identifier	Description	Current Units	Rating	Coupon	Effective Maturity	Book Yield	Yield	Base Book Value	Base Net Total Unrealized Gain/Loss	Market Price	Base Accrued Balance	Base Market Value + Accrued
459200GM7	INTERNATIONAL BUSINESS MACHINES CORP	220,000.00	A+	7.625	10/15/2018	1.719	1.685	234,350.27	110.33	106.5730	6,337.22	240,797.82
525ESC1Y5	LEHMAN ESCROW	300,000.00	NA	0.00	01/01/2049	0.00	0.00	0.00	18,000.00	6.0000	0.00	18,000.00
05565QCQ1	BP CAPITAL MARKETS PLC	180,000.00	A+	2.241	09/26/2018	1.706	1.588	181,013.46	226.74	100.6890	1,736.78	182,976.98
06367VHL2	BANK OF MONTREAL	100,000.00	A+	2.375	12/25/2018	1.63	1.694	100,965.40	-82.40	100.8830	237.50	101,120.50
45866FAB0	INTERCONTINENTALEXCHANGE INC	280,000.00	A	2.50	10/15/2018	1.657	4.343	282,607.06	-8,207.06	98.0000	2,644.44	277,044.44
85771PAR3	STATOIL ASA	230,000.00	AA-	1.95	11/08/2018	1.64	1.593	230,832.75	126.35	100.4170	1,407.79	232,366.89
65474QAH2	NISSAN MOTOR ACCEPTANCE CORP	219,000.00	A	2.35	03/04/2019	2.004	1.845	220,119.75	516.18	100.7470	2,530.36	223,166.29
44987CAJ7	ING BANK NV	340,000.00	A+	2.00	11/26/2018	1.80	1.834	340,824.05	-140.65	100.2010	1,794.44	342,477.84
59217GBQ1	METROPOLITAN LIFE GLOBAL FUNDING I	200,000.00	AA-	1.95	12/03/2018	1.772	1.699	200,439.57	178.43	100.3080	953.33	201,571.33
795450B53	Sellie Mae Bank	250,000.00	A-2	1.65	06/28/2019	1.701	1.70	249,771.95	0.00	99.9088	734.59	250,506.54
02006L3L5	Ally Bank	250,000.00	NA	1.65	06/24/2019	1.701	1.70	249,773.94	0.00	99.9096	802.40	250,576.34
58403B7B6	Medallion Bank	250,000.00	NA	1.55	01/14/2019	1.55	1.55	250,000.00	0.00	100.0000	191.10	250,191.10
--	--	2,819,000.00	A+	--	03/25/2019	1.72	1.969	2,540,698.21	10,727.91	--	19,368.96	2,570,796.07

Summary

Balance Sheet Classification

Base Currency: USD As of 08/31/2017

ILM-UT ST BAR (3176)

Dated: 09/25/2017

Identifier	Description	Current Units	Rating	Coupon	Effective Maturity	Book Yield	Yield	Base Book Value	Base Net Total Unrealized Gain/Loss	Market Price	Base Accrued Balance	Base Market Value + Accrued
---	---	7,969,843.73	A+	---	06/30/2018	1.565	1.731	7,719,350.63	8,252.62	---	41,004.99	7,768,608.24

\* Grouped by: BS Class 2. \* Groups Sorted by: BS Class 2. \* Weighted by: Base Market Value + Accrued, except Book Yield by Base Book Value + Accrued.