

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Lafferty, William J.	2. Court or Organization Bankruptcy Court, Northern District of California	3. Date of Report 06/13/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address 1300 Clay Street, Room 220 Oakland, CA 94612		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Trustee	Trust No. 1
2. Partner, various Howard Rice Investment Funds	Howard Rice Investments Funds, 01-09
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 1/1/98	Filer and Spouse, Family Trust
2. 3/1/93	Filer and [REDACTED] et al, See "8" for details
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 25

Name of Person Reporting

Lafferty, William J.

Date of Report

06/13/2013

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*DATESOURCE AND TYPEINCOME
(yours, not spouse's)

1. _____

2. _____

3. _____

4. _____

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*DATESOURCE AND TYPE

1. 2012

The Permanente Medical Group--Salary

2. _____

3. _____

4. _____

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*NONE *(No reportable reimbursements.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 25

Name of Person Reporting

Lafferty, William J.

Date of Report

06/13/2013

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	Head Royce School	Tuition Agreement	None
2.	Bank of America	Credit Card	None
3.	GSA ViSA	Credit Card	None
4.	LLBean	Credit Card	None
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 25

Name of Person Reporting

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06/13/2013

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "X" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. I. For Filer (includes CP) (H)									
2. Charles Schwab Bank, Deposit Account	A	Interest	M	T					
3. CBS Corp., Common Stock	A	Dividend	J	T					
4. Dreyfus Growth & Income Mutual Fund	A	Int./Div.	J	T					
5. Howard Rice Investment Fund 01 (no control)		None	J	U					
6. Howard Rice Investment Fund 02 (no control)		None	J	U					
7. Howard Rice Investment Fund 04 (no control)	B	Distribution	J	U					
8. Howard Rice Investment Fund 05 (no control)		None	J	U					
9. Howard Rice Investment Fund 06 (no control)	A	Distribution	J	U					
10. Howard Rice Investment Fund 07 (no control)	A	Distribution	J	U					
11. Howard Rice Investment Fund 08 (no control)		None	J	U					
12. Howard Rice Investment Fund 09 (no control)	A	Int./Div.	J	U					
13. Howard Rice Profit Sharing Plan (no control)	F	Int./Div.	O	T					
14. Howard Rice 401(k) Match (no control)	E	Int./Div.	N	T					
15.									
16. II. Trust No. 1 [Family Trust] (H)									
17. Real property, Orinda, CA		None	N	R					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 5 of 25

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18. III. Spouse (includes (CP) (H))									
19. -Rental Property, Alameda, CA	E	Rent	N	W					
20. -Rental Property, Ventura, CA, & see discussion under "VIII"	C	Rent	N	W					
21. -Schwab Money Market Fund: SWMXX	A	Int./Div.	J	T					
22. -Vanguard Total Intl Stock Market Index Fund: VGTXX	A	Int./Div.	J	T					
23. -Vanguard Total Stock Market Index Fund: VTSMX	A	Int./Div.	J	T					
24. -Capital One (savings)	B	Interest	M	T					
25. -Wells Fargo Bank (Deposit Account)	A	Interest	L	T					
26. -Cross Timbers Partnership	A	Dividend	J	T					
27. -Schwab Short-Term Bond Market Funds SWBDX	A	Int./Div.	J	T					
28. A. Cathy Scharf Retirement Accounts (H)									
29. I. TPMG Salary Deferral (H)									
30. -FID Contra Fund K, See Text in Part VIII	C	Int./Div.			Sold	10/23/12	K	C	
31. -BTC US Equity Market	C	Int./Div.	L	T	Buy (add'l)	10/23/12	K		
32. -Cap Guardian International Equity	D	Int./Div.	K	T	Sold (part)	10/23/12	K	C	
33. -TPMG Target DT 2020	C	Int./Div.	K	T					
34. -FID MIP II CL 3	A	Int./Div.	J	T	Sold (part)	10/23/12	J	A	

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FINANCIAL DISCLOSURE REPORT

Page 6 of 25

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35.					Sold (part)	12/04/12	K	A	
36. FR Fixed Income	C	Int./Div.	L	T	Buy (add'l)	10/23/12	K		
37. TPMI International Foreign Fund (new)	A	Int./Div.	K	T	Buy	12/04/12	K		
38. 2. Permanente Contribution Plan (H)									
39. -BTC US Equity Market	B	Int./Div.	K	T					
40. -FID Contra Fund K	A	Int./Div.			Sold	10/23/12	J	A	
41. -Cap Guardian International Equity	C	Int./Div.	K	T					
42. -TPMG Target DT 2020	B	Int./Div.	J	T					
43. -FID MIP II CL 3	A	Int./Div.			Sold	10/23/12	J	A	
44. -FR Fixed Income	B	Int./Div.	K	T					
45. -TPMI International Foreign Fund (new)	A	Int./Div.	K	T	Buy	12/04/12	K		
46. 3. Kaiser Foudation Health Plan (H)									
47. (a) Plan B (H)									
48. -Vanguard Wellington Fund, Inv	D	Int./Div.	L	T					
49. -Vanguard Total Bond Mkt 1x 1st Plus (See text VIII)	A	Int./Div.	K	T					
50. -Vanguard 1st Tt St. Mkt Inx 1st Plus (See text VIII)	D	Int./Div.	K	T					
51. -KP Growth Equity Fund	E	Int./Div.	M	T					

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FINANCIAL DISCLOSURE REPORT

Page 7 of 25

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Lafferty, William J.

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52. -KP Interest Income Fund (X)	A	Int./Div.	J	T					
53. (b) TSA (H)									
54. -Vanguard Wellington Fund, Inv	E	Dividend	M	T					
55. -Vanguard Stable Income Fund (X)	A	Int./Div.	J	T					
56. -Janus Adviser Forty I	D	Int./Div.	L	T					
57. -Vanguard Total Bond Mkt 1x 1st Plus (See text VIII)	A	Int./Div.	L	T					
58. -Vanguard 1st Tt St. Mkt Inv 1st Plus (See text VIII)	D	Int./Div.	M	T					
59. -Wells Fargo Deposit Account	A	Dividend	J	T					
60. IV. FRC Accounts: Family Trust, Trust, William IRA	E	Int./Div.	P1	T					
61. -Amylin Pharmaceuticals, I					Buy	2/7/12	J		
62.					Buy (add'l)	2/23/12	J		
63.					Buy (add'l)	4/13/12	J		
64.					Sold (part)	05/25/12	J	A	
65.					Sold (part)	07/02/12	J	C	
66. -3M Company					Sold (part)	3/30/12	J	A	
67.					Sold (part)	9/24/12	J	A	
68.					Buy (add'l)	11/14/12	J		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 25

Name of Person Reporting

Lafferty, William J.

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06/13/2013

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69. -Access Midstream Partners, L.P (fka Chesapeake Midstream)					Buy (add'l)	02/03/12	J		
70.					Sold (part)	09/26/12	J		
71. -AES Corporation					Sold (part)	1/25/12	J	A	
72.					Sold (part)	6/15/12	J	A	
73.					Buy	7/23/12	J		
74.					Buy (add'l)	7/23/12	J		
75.					Buy (add'l)	8/7/12	J		
76. -Allscripts Healthcare Solution					Sold (part)	4/27/12	J	A	
77. -Altria Group Inc									
78. -Amarin Corporation plc					Buy	7/6/12	J		
79.					Buy (add'l)	7/10/12	J		
80.					Buy (add'l)	7/27/12	J		
81.					Buy (add'l)	9/28/12	J		
82.					Buy (add'l)	9/28/12	J		
83.					Buy (add'l)	11/1/12	J		
84. -Amazon.com Inc.					Sold (part)	12/12/12	J	A	
85. -Amgen Inc.					Buy (add'l)	1/26/12	J		

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FINANCIAL DISCLOSURE REPORT

Page 9 of 25

Name of Person Reporting

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86.					Buy (add'l)	1/26/12	J		
87.					Buy (add'l)	1/26/12	J		
88.					Buy (add'l)	5/24/12	J		
89.					Sold (part)	7/27/12	J	A	
90.					Sold (part)	8/27/12	J	A	
91.					Sold (part)	11/30/12	J	B	
92. -Apple Inc.					Buy	7/25/12	J		
93. -Archer Daniels Midland									
94. -Australia & NZ Bank					Sold (part)	9/27/12	J	A	
95. -Automatic Data Processing Inc.					Buy	4/25/12	J		
96.					Buy (add'l)	7/24/12	J		
97.					Buy (add'l)	7/31/12	J		
98.					Buy (add'l)	7/31/12	J		
99. -Bristol-Myers Squibb Co.					Buy (add'l)	1/4/12	J		
100.					Buy (add'l)	6/25/12	J		
101.					Buy (add'l)	6/25/12	J		
102. -Broadcom Corporation					Buy (add'l)	1/26/12	J		

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FINANCIAL DISCLOSURE REPORT

Page 10 of 25

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103.					Buy (add'l)	8/14/12	J		
104. -Chipotle Mexican Grill					Buy	8/2/12	J		
105.					Buy (add'l)	12/28/12	J		
106. -Chubb Corp					Buy	2/28/12	J		
107.					Buy (add'l)	2/28/12	J		
108.					Buy (add'l)	2/28/12	J		
109. -Church & Dwight Co Inc					Sold (part)	5/08/12	J	B	
110.					Sold (part)	7/27/12	J	C	
111.					Buy (add'l)	8/7/12	J		
112. -Coca-Cola Company									
113. -Columbia Large Cap Enhan Core FD CL Z NMIMX									
114. -Costco Wholesale Corp									
115. -Cree Inc.					Buy (add'l)	2/3/12	J		
116.					Buy (add'l)	2/3/12	J		
117.					Sold (part)	3/9/12	J	A	
118.					Buy (add'l)	8/6/12	J		
119.					Buy (add'l)	10/11/12	J		

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FINANCIAL DISCLOSURE REPORT

Page 11 of 25

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. -Cross Timbers Royalty					Buy (add'l)	4/9/12	J		
121.					Buy (add'l)	7/3/12	J		
122. -Deere & Company									
123. -DFA International Core Equity DFIEX					Sold (part)	1/18/12	K	A	
124.					Sold (part)	7/26/12	J	A	
125. -DFA U.S. Large Cap Value Portfolio DFLVX									
126. -Emerson Electric Co.					Buy (add'l)	4/25/12	J		
127. -Engility Holdings, Inc. (Spinoff from L-3 Communications)					Sold (part)	7/8/12	J	A	
128. -Exxon Mobil Corporation					Sold (part)	7/30/12	J	B	
129.					Sold (part)	9/27/12	J	A	
130.					Sold (part)	9/27/12	J	B	
131.					Buy	11/13/12	J		
132. -Fidelity National Info Srv									
133. -Fifth Third Bancorp					Sold (part)	4/2/12	J	A	
134. -First Eagle Overseas Fund					Sold (part)	1/18/12	J	A	
135. -Freeport-McMoran Copper									
136. -Generac Holdings Inc.					Buy	6/18/12	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 12 of 25

Name of Person Reporting

Lafferty, William J.

Date of Report

06/13/2013

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137.					Buy (add'l)	7/6/12	J		
138.					Buy (add'l)	7/6/12	J		
139. -Gentex Corporation					Buy	10/2/12	J		
140.					Buy (add'l)	10/2/12	J		
141.					Buy (add'l)	10/4/12	J		
142.					Buy (add'l)	10/4/12	J		
143. -Google Inc					Buy	10/18/12	J		
144.					Buy (add'l)	10/18/12	J		
145.					Buy (add'l)	11/16/12	J		
146. -Honeywell Intl Inc					Sold (part)	2/3/12	J	A	
147.					Sold (part)	9/24/12	J	A	
148.					Sold (part)	9/24/12	J	A	
149.					Sold (part)	11/2/12	J	A	
150.					Sold (part)	11/7/12	J	A	
151.					Sold (part)	11/23/12	J	A	
152.					Sold (part)	11/23/12	J	A	
153.					Sold (part)	11/23/12	J	A	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 13 of 25

Name of Person Reporting

Lafferty, William J.

Date of Report

06/13/2013

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154. -Hudson Pacific Properties, Inc					Buy	01/04/12	J	A	
155.					Buy (add'l)	01/04/12	J	A	
156.					Sold (part)	11/30/12	J		
157.					Sold (part)	11/30/12	J		
158. -IBM Corp					Buy	4/8/12	J		
159.					Buy (add'l)	10/17/12	J		
160.					Buy (add'l)	10/17/12	J		
161. -Illumina Inc					Sold (part)	1/25/12	J		
162.					Sold (part)	1/25/12	J		
163.					Sold (part)	1/25/12	J		
164. -Intel Corporation					Buy	4/16/12	J		
165.					Buy (add'l)	9/11/12	J		
166.					Buy (add'l)	9/11/12	J		
167.					Buy (add'l)	9/11/12	J		
168.					Buy (add'l)	9/28/12	J		
169. -International Flavors&Frag.									
170. -Intuit Inc.									

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 14 of 25

Name of Person Reporting

Lafferty, William J.

Date of Report

06/13/2013

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171. -Johnson & Johnson					Buy (add'l)	5/25/12	J		
172.					Buy (add'l)	5/25/12	J		
173.					Sold (part)	6/15/12	J	A	
174.					Sold (part)	6/15/12	J	A	
175.					Sold (part)	11/2/12	J	A	
176. -Kinder Morgan, Inc. cl P					Sold (part)	4/2/12	J	A	
177.					Sold (part)	4/2/12	J	A	
178. -Kraft Foods Group Inc (Spinoff from Mondelez International)					Buy (add'l)	10/2/12	J		
179.					Buy (add'l)	10/2/12	J		
180.					Sold (part)	10/2/12	J	A	
181.					Sold (part)	10/2/12	J	A	
182. -L-3 Communications									
183. -Martin Marietta Materials Inc									
184. -Merck & Co. Inc.									
185. -Microsoft Corporation					Sold (part)	1/20/12	J	A	
186.					Sold (part)	1/20/12	J	A	
187.					Sold (part)	1/20/12	J	A	

1. Income Gain Codes: (See Columns B1 and D4)	A - \$1,000 or less F - \$50,001 - \$100,000 J - \$15,000 or less N - \$250,001 - \$500,000 P3 - \$25,000,001 - \$50,000,000	B - \$1,001 - \$2,500 G - \$100,001 - \$1,000,000 K - \$15,001 - \$50,000 O - \$500,001 - \$1,000,000	C - \$2,501 - \$5,000 H1 - \$1,000,001 - \$5,000,000 L - \$50,001 - \$100,000 P1 - \$1,000,001 - \$5,000,000 P4 - More than \$50,000,000	D - \$5,001 - \$15,000 H2 - More than \$5,000,000 M - \$100,001 - \$250,000 P2 - \$5,000,001 - \$25,000,000	E - \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q - Appraisal U - Book Value	R - Cost (Real Estate Only) V - Other	S - Assessment W - Estimated	T - Cash Market	
3. Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

Page 15 of 25

Name of Person Reporting

Lafferty, William J.

Date of Report

06/13/2013

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188.					Sold (part)	1/20/12	J	A	
189.					Sold (part)	1/20/12	J	A	
190.					Sold (part)	1/20/12	J	A	
191.					Sold (part)	1/20/12	J	A	
192.					Sold (part)	1/20/12	J	A	
193.					Sold (part)	1/20/12	J	A	
194.					Sold (part)	1/20/12	J	A	
195.					Sold (part)	1/20/12	J	A	
196.					Sold (part)	2/16/12	J	A	
197.					Sold (part)	3/6/12	J	A	
198.					Sold (part)	3/6/12	J	A	
199.					Sold (part)	3/6/12	J	A	
200.					Sold (part)	3/8/12	J	A	
201.					Sold (part)	3/8/12	J	A	
202.					Sold (part)	3/8/12	J	A	
203.					Sold (part)	3/8/12	J	A	
204.					Buy (add'l)	9/28/12	J		

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 16 of 25

Name of Person Reporting

Lafferty, William J.

Date of Report

06/13/2013

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
205. -Mondelez International Inc (f/k/a Kraft Foods Inc.)									
206. -Monsanto Co					Sold (part)	4/17/12	J	A	
207. -Nestle S.A. ADR					Sold (part)	4/2/12	J	A	
208.					Sold (part)	10/15/12	J	A	
209.					Sold (part)	10/15/12	J	A	
210. -Newmont Mining Corp					Buy	7/26/12	J		
211.					Buy (add'l)	7/26/12	J		
212.					Buy (add'l)	10/10/12	J		
213. -Nokia Corp					Sold (part)	12/17/12	J	A	
214. -Norfolk Southern Corp					Sold (part)	1/19/12	J	A	
215.					Sold (part)	1/19/12	J	A	
216.					Sold (part)	1/19/12	J	A	
217.					Buy (add'l)	3/5/12	J		
218.					Buy (add'l)	3/5/12	J		
219.					Buy (add'l)	3/9/12	J		
220. -Novartis AG									
221. -Novo-Nordisk A/S					Sold (part)	4/2/12	J	A	

1. Income Gain Codes:	A ~\$1,000 or less	B ~\$1,001 - \$2,500	C ~\$2,501 - \$5,000	D ~\$5,001 - \$15,000	E ~\$15,001 - \$50,000
(See Columns B1 and D4)	F ~\$50,001 - \$100,000	G ~\$100,001 - \$1,000,000	H1 ~\$1,000,001 - \$5,000,000	H2 ~More than \$5,000,000	
2. Value Codes	J ~\$15,000 or less	K ~\$15,001 - \$50,000	L ~\$50,001 - \$100,000	M ~\$100,001 - \$250,000	
(See Columns C1 and D3)	N ~\$250,001 - \$500,000	O ~\$500,001 - \$1,000,000	P1 ~\$1,000,001 - \$5,000,000	P2 ~\$5,000,001 - \$25,000,000	
	P3 ~\$25,000,001 - \$50,000,000		P4 ~More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 17 of 25

Name of Person Reporting

Lafferty, William J.

Date of Report

06/13/2013

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34–60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
222.					Sold (part)	4/2/12	J	A	
223.					Sold (part)	7/3/12	J	A	
224. -OmniVision Technologies					Buy (add'l)	1/10/12	J		
225.					Buy (add'l)	2/3/12	J		
226.					Buy (add'l)	2/13/12	J		
227.					Sold (part)	3/9/12	J	A	
228.					Sold (part)	3/9/12	J	A	
229.					Sold (part)	3/9/12	J	A	
230.					Sold (part)	3/9/12	J	A	
231.					Buy (add'l)	4/13/12	J		
232.					Buy (add'l)	10/11/12	J		
233. -Oracle Corporation					Buy (add'l)	1/6/12	J		
234.					Buy (add'l)	1/6/12	J		
235.					Buy (add'l)	1/6/12	J		
236.					Buy (add'l)	2/8/12	J		
237.					Buy (add'l)	3/14/12	J		
238.					Buy (add'l)	8/8/12	J		

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 18 of 25

Name of Person Reporting

Lafferty, William J.

Date of Report

06/13/2013

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

239. -Paychex, Inc.					Sold (part)	3/8/12	J	A	
240.					Sold (part)	3/8/12	J	A	
241.					Sold (part)	4/17/12	J	A	
242.					Sold (part)	4/17/12	J	A	
243. -Pfizer Inc.					Buy (add'l)	4/16/12	J		
244.					Buy (add'l)	4/30/12	J		
245.					Buy (add'l)	6/25/12	J		
246.					Sold (part)	10/3/12	J	A	
247. -Philip Morris Intl					Sold (part)	4/2/12	J	C	
248.					Sold (part)	4/2/12	J	B	
249.					Sold (part)	10/3/12	J	B	
250.					Buy (add'l)	11/5/12	J		
251.					Buy (add'l)	12/28/12	J		
252. -Potash Corp. Saskatch					Sold (part)	11/23/12	J	A	
253.					Sold (part)	11/23/12	J	A	
254.					Buy (add'l)	12/7/12	J		
255. -Principal Financial Group					Buy	2/28/12	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 19 of 25

Name of Person Reporting

Lafferty, William J.

Date of Report

06/13/2013

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

256.					Buy (add'l)	2/28/12	J		
257.					Buy (add'l)	2/28/12	J		
258. -ProShrs UltraShort Leh 20+Trea					Sold (part)	10/8/12	J	A	
259.					Buy (add'l)	11/6/12	J		
260. -Qualcomm Inc.					Sold (part)	2/23/12	J	A	
261.					Sold (part)	2/23/12	J	A	
262.					Sold (part)	2/23/12	J	A	
263.					Buy (add'l)	7/24/12	J		
264. -Roche Holdings Ltd					Buy	3/14/12	J		
265.					Sold	4/2/12	J	A	
266.					Sold	4/2/12	J	A	
267.					Sold	4/2/12	J	A	
268.					Sold	9/6/12	J	A	
269.					Sold	9/6/12	J	A	
270.					Sold	11/21/12	J	A	
271.					Sold	12/7/12	J	A	
272.					Sold	12/7/12	J	A	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market

FINANCIAL DISCLOSURE REPORT

Page 20 of 25

Name of Person Reporting

Lafferty, William J.

Date of Report

06/13/2013

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

273.					Sold	12/7/12	J	A	
274. -Sabine Royalty Trust					Buy	03/14/12	J		
275. -Schlumberger Ltd.					Buy	01/10/12	J	A	
276.					Buy (add'l)	01/10/12	J		
277.					Buy (add'l)	01/10/12	J		
278.					Buy (add'l)	02/13/12	J		
279.					Sold (part)	07/27/12	J		
280. -Schwab Value Advantage Money Fund									
281. -Sigma-Aldrich Corporation					Sold (part)	02/03/12	J	A	
282.					Sold (part)	02/03/12	J	A	
283.					Sold (part)	04/02/12	J	A	
284. -State Street Corp					Buy	09/04/12	J		
285.					Buy (add'l)	09/04/12	J		
286. -Suncor Energy					Sold (part)	11/21/12	J	A	
287.					Sold (part)	11/21/12	J	A	
288. -T Rowe Price Group Inc					Buy	3/16/12	J		
289.					Buy (add'l)	3/16/12	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 21 of 25

Name of Person Reporting

Lafferty, William J.

Date of Report

06/13/2013

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
290.					Buy (add'l)	3/16/12	J		
291. -Thomas & Betts Corp.					Sold (part)	5/17/12	J	B	
292.					Sold (part)	5/17/12	J	C	
293.					Sold (part)	5/17/12	J	B	
294.					Sold (part)	5/17/12	J	A	
295. -Ultra Petroleum Corp					Buy (add'l)	6/19/12	J		
296.					Buy (add'l)	6/19/12	J		
297. -Unilever PLC ADR					Sold (part)	7/3/12	J	A	
298.					Sold (part)	8/28/12	J	A	
299.					Sold (part)	9/24/12	J	A	
300.					Sold (part)	9/24/12	J	A	
301. -Union Pacific Corp.					Sold (part)	6/22/12	J	A	
302.					Sold (part)	11/7/12	J	A	
303.					Sold (part)	11/7/12	J	A	
304. -United Technologies Corp					Buy	6/25/12	J		
305.					Buy (add'l)	6/25/12	J		
306.					Buy (add'l)	7/27/12	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 22 of 25

Name of Person Reporting

Lafferty, William J.

Date of Report

06/13/2013

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
307.					Buy (add'l)	7/27/12	J		
308. -Vale S.A.					Buy	2/8/12	J		
309.					Buy (add'l)	2/8/12	J		
310.					Sold (part)	12/10/12	J	A	
311.					Sold (part)	12/12/12	J	A	
312. -Vanguard Total Bond Market Index Fund Inve									
313. -Vanguard Total Stock Market Index Fund					Sold (part)	7/27/12	K	B	
314. -VirnetX Holding Corp					Buy	5/31/12	J		
315.					Sold (part)	07/26/12	J	A	
316.					Sold (part)	7/27/12	J	A	
317. -Vornado Realty Trust					Buy (add'l)	2/8/12	J		
318.					Buy (add'l)	2/8/12	J		
319.					Buy (add'l)	2/10/12	J		
320. -W.R. Berkley Corp					Sold (part)	6/22/12	J	A	
321.					Sold (part)	11/21/12	J	A	
322. -Walter Energy, Inc.					Buy (add'l)	2/3/12	J		
323.					Buy (add'l)	2/3/12	J		

1. Income Gain Codes: (See Columns B1 and D4)	A ~\$1,000 or less F ~\$50,001 - \$100,000	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$25,000,001 - \$50,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 23 of 25

Name of Person Reporting

Lafferty, William J.

Date of Report

06/13/2013

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
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324.					Buy (add'l)	4/18/12	J		
325.					Buy (add'l)	5/1/12	J		
326.					Buy (add'l)	10/18/12	J		
327. -Wright Medical Group Inc.					Buy (add'l)	6/12/12	J		
328.					Buy (add'l)	7/26/12	J		
329.					Buy (add'l)	8/7/12	J		
330.					Sold (part)	9/24/12	J	A	
331.					Sold (part)	9/24/12	J	A	
332. -Xilinx Inc.					Sold (part)	3/6/12	J	A	
333.					Sold (part)	3/6/12	J	A	
334.					Buy (add'l)	6/18/12	J		
335.					Buy (add'l)	7/26/12	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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FINANCIAL DISCLOSURE REPORT

Page 24 of 25

Name of Person Reporting

Lafferty, William J.

Date of Report

06/13/2013

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

In Part II:

Although I terminated my employment with (then) Howard, Rice et al. in April 2011, and withdrew as a member of and a director of the firm at that time, I had also participated, in my capacity as a member and director of the firm, in various "Howard Rice Investment" partnerships, each of which is still in existence, and in each of which I am, indirectly at least, a participant. Thus, while I am no longer directly a party to an "agreement" concerning these entities, I am still an equity holder in, and, at least indirectly, a participant in, these entities.

In Part VII:

In description of Wife's Investments and Trusts:

1. From "Rental Property, Ventura" Please note that this property, which was inherited from Wife's mother in 2009, first generated rental income in November 2011, total rental income in 2011 to Wife, \$800. This amount was inadvertently deleted from my Initial Report.
2. With respect to entries for "Vanguard Total BondMkt. 1x 1st Plus" within discussion of "Kaiser Foundation Health Plan", "Plan B" and "TSA", please note that this fund was renamed from "Vanguard Total Bond Mkt Index" as reported in my Initial Report.
3. With respect to entries for "Vanguard 1st Tr St Mkt. 1st Plus" within discussion of "Kaiser Foundation Health Plan", "Plan B" and "TSA", please note that this fund was renamed from "Vanguard Total Stock Mkt Index Inst" as reported in my Initial Report.

Line 17, Property was purchased in August 2, 2011 for \$220,000.

FINANCIAL DISCLOSURE REPORT

Page 25 of 25

Name of Person Reporting

Lafferty, William J.

Date of Report

06/13/2013

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **William J. Lafferty**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544