

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) Duffey, Jr., William S.	2. Court or Organization Northern District of Georgia	3. Date of Report 04/28/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Court - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 1/1/2014 to 12/31/2014
7. Chambers or Office Address 1721 United States Courthouse 75 Spring Street, S.W. Atlanta, GA 30303-3309		
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. Chair of the Board of Directors	Atlanta Track Club
2. Chair of the Board of Directors	Center for Young Adult Addiction and Recovery Kennesaw State University
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
2.		
3.		
4.		

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2014	Simon & Schuster - royalties from copyrights
2. 2014	Penguin Group (USA) Inc. - royalties from copyrights
3. 2014	Macmillan Holdings, LLC DBA Macmillan - royalties from copyrights
4. 2014	Self-employed writer

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

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. State Bar of Georgia	10/23/14-10/24/14	Greensboro, GA	Activity of professional or civic organization	Travel
2.				
3.				
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*

☒ NONE *(No reportable liabilities.)*

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Brokerage Account #2 (H)									
2. -MS Bank Deposit Program	A	Interest	J	T					
3. -Blackrock Global Allocation C	B	Dividend	L	T					
4.	D	Distribution							
5. -Franklin Mutual Recovery C	B	Dividend	L	T					
6. -Invesco VK Amer Franchise C	C	Distribution	K	T					
7. -Invesco Developing Markets C	A	Dividend	K	T					
8.	A	Distribution							
9. -Lord Abbett SHT Duration Inc C	B	Dividend	K	T	Sold (part)	10/27/14	J		
10. IRA #1	D	Dividend	N	T					
11.	B	Distribution							
12.	B	Interest							
13. -MS Bank Deposit Program									
14. -Duke Energy Corp					Sold	02/03/14	J		
15. -Rio Tinto Finance USA Limited					Sold	05/01/14	J		
16. -General Electric Capital Corp					Sold	06/04/14	J		
17. -Morgan Stanley									

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

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18. -Comcast Corp New									
19. -Goldman Sachs Group Inc									
20. -Marathon Oil Corp									
21. -Verizon Communications									
22. -Glaxosmithkline Cap Inc									
23. -Mondelez International									
24. -Tyco International Finan									
25. -AT&T Inc									
26. -Boeing Co									
27. -CVS Caremark Corp									
28. -Indiana Michigan Power									
29. -Altria Group Inc									
30. -Barrick North America Finance LLC					Buy	04/10/14	J		
31. -Federal National Mtg Assn									
32. -Franklin Income C									
33. -Invesco Equal Wghtd S&P 500 C									
34. -AIP ABSLT RTNSTS									

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

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35. IRA #2	A	Interest	M	T					
36. -MS Bank Dep Program									
37. -Keyworth Bank									
38. -AIP ABSLT RTNSTS									
39. Roth IRA #1	A	Dividend	J	T					
40.	A	Distribution							
41. -Invesco Growth & Income C									
42. Roth IRA #2	A	Dividend	J	T					
43.	A	Distribution							
44. -Invesco VK Growth & Income C									
45. Brokerage Account #1 (H)									
46. -MS Bank Deposit Program	A	Interest	J	T					
47. -One GA Bk		None	J	T					
48. -Q2 Hldgs Inc		None	L	T	Buy	11/21/14	L		
49. Brokerage Account #3 (H)									
50. -MS Bank Deposit Program	A	Interest	J	T					
51. -Alerian Mlp Etf	A	Distribution			Sold	02/20/14	J	B	

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52.	A	Dividend							
53. -JP Morgan Alerian MLP Index ETN	A	Distribution	J	T	Buy	02/20/14	J		
54.					Buy (add'l)	06/27/14	J		
55.					Sold (part)	11/03/14	J	A	
56. -Barcap Etn-Ipath Dow Jones-AIG Commodity Tot		None			Sold	04/16/14	J		
57. -IQ Hedge Multi-Strat Tracker	A	Dividend	J	T	Buy	12/14/14	J		
58. -Ishares Russell 2000 Growth Fd	A	Dividend	J	T	Buy (add'l)	06/27/14	J		
59. -Ishares Russell 2000 Value Fd	A	Dividend	J	T	Buy (add'l)	06/27/14	J		
60. -Ishares Russell Midcap G In Fd	A	Dividend	J	T	Buy (add'l)	06/27/14	J		
61.					Sold (part)	12/01/14	J	A	
62. -Ishares Russell Midcap V In Fd	A	Dividend	J	T	Buy (add'l)	06/27/14	J		
63. -Ishares S&P 500 GRWTH Index	A	Dividend	K	T	Buy (add'l)	06/27/14	J		
64.					Buy (add'l)	08/20/14	J		
65.					Buy (add'l)	11/03/14	J		
66.					Sold (part)	12/01/14	J	A	
67. -Ishares S&P 500 Value Index	A	Dividend	K	T	Buy (add'l)	04/16/14	J		
68.					Buy (add'l)	06/27/14	J		

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69.					Sold (part)	11/03/14	J	B	
70.					Donated (part)				
71. -SPDR DJ Wilshire Global Rea	A	Dividend	J	T	Buy (add'l)	04/16/14	J		
72.					Buy (add'l)	06/27/14	J		
73.					Sold (part)	11/03/14	J	A	
74. -Dreyfus Intl Bond I	A	Dividend	J	T	Buy (add'l)	06/27/14	J		
75. -Franklin Fed Intm Trm Txfr Adv	A	Dividend	J	T	Buy (add'l)	06/27/14	J		
76.					Sold (part)	11/03/14	J	A	
77. -MFS International Value I	A	Dividend	K	T	Buy (add'l)	06/27/14	J		
78.	A	Distribution			Sold (part)	11/03/14	J	A	
79. -MFS Municipal LTD Maturity I	A	Dividend	J	T	Buy (add'l)	06/27/14	J		
80.					Sold (part)	08/20/14	J		
81.					Sold (part)	11/03/14	J		
82. -Oakmark International I	A	Dividend	K	T	Buy (add'l)	06/27/14	J		
83.	A	Distribution							
84. -Oppenheimer SR Floating Rate	A	Dividend	J	T	Buy (add'l)	06/27/14	J		
85. -Virtus Insight Emerg Mkts. I	A	Dividend	J	T	Buy (add'l)	06/27/14	J		

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2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$25,000,001 - \$50,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q ~Appraisal U ~Book Value	R ~Cost (Real Estate Only) V ~Other	S ~Assessment W ~Estimated	T ~Cash Market	

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86.	A	Distribution							
87. -Mainstay Marketfield I		None			Buy	04/16/14	J		
88.					Buy (add'l)	06/27/14	J		
89.					Sold (part)	12/01/14	J		
90.					Sold	12/04/14	J		
91. IRA #3	E	Dividend	P1	T					
92.	C	Distribution							
93.	A	Interest							
94. -Morgan Stanley Bank Deposit Program									
95. -JP Morgan Alerian MLP Index ETN					Buy	02/20/14	L		
96. -Alerian MLP EFT					Sold	02/20/14	L	C	
97. -Barcap ETN-IPATH Dow Jones-AIG Commodity Tot					Sold	04/16/14	L		
98. -Ishares Russell 2000 Growth FD									
99. -Ishares Russell 2000 Value FD									
100. -Ishares Russell Midcap G In FD									
101. -Ishares Russell Midcap V In FD									
102. -Ishares S&P 500 GRWTH Index					Sold (part)	04/16/14	J	D	

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103.					Buy (add'l)	08/20/14	K		
104. -Ishares S&P 500 Value Index					Buy (add'l)	04/16/14	J		
105. -SPDR DJ Wilshire Global Rea					Buy (add'l)	04/16/14	K		
106. -Dreyfus Intl Bond I									
107. -Lord Abbett SHT Duration Inc F					Sold (part)	08/20/14	K		
108. -Mainstay Marketfield I					Buy	04/16/14	L		
109. -Metropolitan West tot Ret Bd I									
110. -MFS International Value I									
111. -Oakmark Internatl I									
112. -Oppenheimer SR Floating Rate Y									
113. -Virtus Insight Emrg Mkts I									
114. NW Mutual Estate CompLife		None	L	T					
115. John Hancock Life Insurance		None	L	T					
116. C & B Capital I, L.P. *	A	Interest	J	U					
117. C & B Capital II, L.P. **	A	Interest	L	U					
118.	F	Distribution							
119. Betsy Byars, Inc.		None	M	W					

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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. Gold coins		None	K	T					

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Duffey, Jr., William S.

Date of Report

04/28/2015

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

*Ownership interest percentage is 0.2639%. During the reporting period, C&B Capital I, L.P. held interests in the following companies:

- Global Care, Inc
- Liaison Technologies, Inc.
- Healthcare Solutions, Inc.
- Focus Receivables, Inc. (formerly known as Focus Receivables Management, Inc.)

**Ownership interest percentage is 0.4145%. During the reporting period, C&B Capital II, L.P. held interests in the following companies:

- Alimera Sciences, Inc.
- BPG Holdings, LLC/SG-BPG, LLC
- Brand Group Holdings, Inc.
- Brightree, LLC
- Cartera Commerce, Inc. d/b/a Vesdia
- Controlscan, Inc.
- Healthcare Solutions, Inc.
- Navitas Lease Finance Corp.
- PMW Technologies, Inc. d/b/a PeopleMatter
- Q2 Holdings, Inc.
- CB Network Holdings, Inc. d/b/a cbanc Network
- REACH Health, Inc.
- SnagAJob.com, Inc.
- Computex Technology Solutions (formerly known as Stratos Management Systems Holding LLC)
- FX Bridge Technologies Incorporated
- PODS Holding, Inc.
- Computex Technology Solutions, Inc.

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Name of Person Reporting

Duffey, Jr., William S.

Date of Report

04/28/2015

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 S. Duffey, Jr.

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

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544