

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) Williams, Stephen F.	2. Court or Organization U.S. Court of Appeals, DC Ci	3. Date of Report 11/05/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III Judge, Senior Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address U.S. Court of Appeals 333 Constitution Avenue, NW Washington, DC 20001		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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

<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.	
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. University of Colorado	February 6-February 10, 2014	Boulder, CO	Speaker on panel in telecommunications program	Transportation, food and lodging
2. Mentor Group	April 7-April 9 2014	Brussels, Belgium	Program speaker	Transportation, food and lodging
3. Federalist Society	June 8-June 12, 2014	Hamburg, Germany	Program speaker	Transportation, food and lodging
4.				
5.				

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

1.

2.

3.

4.

5.

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

1.

2.

3.

4.

5.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Trust # 1 J P Morgan, N.I	A	Int/Div			Closed	08/04/14	K		
2. - Cash									
3. - J P Morgan Access Balanced Fund					Sold	07/11/14	M		
4. Vanguard Index 500	D	Dividend	N	T					
5. Vanguard Prime MM Fund	A	Dividend	K	T					
6. Vanguard Mid-Cap Index	D	Dividend	O	T					
7. Vanguard Total Int'l	A	Dividend	M	T	Buy	12/08/14	M		
8. Vanguard Total Stock	B	Dividend	M	T	Buy	08/27/14	M		
9. Vanguard Small Cap Index	B	Dividend	M	T					
10. Gold Corp., Inc	A	Dividend	K	T					
11. Dreyfus S&P 500	D	Dividend	M	T					
12. Mathews Pacific Tiger	E	Dividend	N	T					
13. House, Boulder, CO	D	Rent	O	W					
14. PNC Bank	A	Interest	L	T					
15. TIAA CREF Ret. Annuities	C	Distribution	M	T					
16. Nestle	C	Dividend	L	T					
17. Proctor & Gamble	B	Dividend	K	T					

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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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 I (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)

18. Questar	A	Dividend	K	T					
19. QEP Resources	A	Dividend	K	T					
20. Merck	A	Dividend	K	T					
21. Trust No. 2, BNY Mellon, N.2	C	Dividend	M	T					
22. - Mellon Cash Reserve									
23. - Mellon Income Stock Fund									
24. - Mellon Focused Equity									
25. - Dreyfus Opportunistic small Cap Fund									
26. - Dreyfus Large Cap Equity									
27. - Strategic Global Stock Fund									
28. - Virtus Emerging Markets Fund									
29. Trust u/w CDW, N.3	D	Dividend	O	T					
30. - Vanguard Prime MoneyMarket									
31. - PRIME Cap, Vanguard									
32. - Vanguard Extended Market									
33. - Mathews Pacific Tiger									
34. IRA #1	F	Distribution	P1	T					

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

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35. - Vanguard Total Int'l					Sold (part)	12/05/14	K	B	
36. - Vanguard Total Stock Market					Sold (part)	12/05/14	L	E	
37. - Vanguard Prime Money Market									
38. - Mathews Pacific Tiger									
39. Vanguard Index 500 N.4	D	Dividend	P1	T					
40. Vanguard Prime Money Market	A	Dividend	J	T					
41. Vanguard Mid-Cap Index	C	Dividend	O	T					
42. Vanguard Emerging Markets (X)	A	Dividend	J	T					
43. Vanguard Total Int'l Stock Index	E	Dividend	O	T	Buy	04/04/14	O		
44.					Buy (add'l)	10/03/14	N		
45. Vanguard Total Stock Index	D	Dividend	P1	T	Buy	04/04/14	N		
46.					Buy (add'l)	10/03/14	O		
47. Mathews Pacific Tiger	B	Dividend	M	T					
48. Dreyfus S&P 500	D	Dividend	N	T					
49. J P Morgan Lg Cap Growth (X)	A	Dividend	K	T					
50. IRA #2	D	Distribution	M	T					
51. - Vanguard Money Market									

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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52. - Mathews Pacific Tiger									
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

1. This is a trust established [REDACTED] of which I was a life beneficiary. The trust was terminated on August 4, 2014, and all holders of current and remainder interests received the actuarial value of those interests. The value of mine was in the K range.
2. This is a testamentary trust established [REDACTED] of which I am the life beneficiary.
3. This is a testamentary trust established [REDACTED], of which I am the life beneficiary.
4. This was mistakenly entered as having a value N at the end of 2013. Its value was then O.

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IX. CERTIFICATION.

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

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

Signature: **s/ Stephen F. Williams**

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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