

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Shaffer, Craig B.	2. Court or Organization District of Colorado	3. Date of Report 05/15/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address Alfred A. Arraj U.S. Courthouse 901 19th Street Denver, CO 80294		
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. Adjunct Faculty Member	University of Denver, Sturm College of Law
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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2017	University of Denver, Sturm College of Law - compensation as Adjunct Faculty Member	\$5,000.00
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.)*

DATE	SOURCE AND TYPE
1. 2017	self-employed diversity consultant
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. Kansas Legal Revitalization Conference	02/01/2017 - 02/02/2017	Kansas City, Kansas	panelist addressing e-discovery issues	airfare, hotel charges, fees to and from airport
2. Arizona State University, Sandra Day O'Connor Law School	03/08/2017 - 03/11/2017	Phoenix, Arizona	panelist addressing e-discovery issues	airfare
3. Meeting of the Civil Rules Advisory Committee	04/24/2017 - 04/26/2017	Austin, Texas	Civil Rules Committee sessions	airfare, taxi fares, airport parking
4. LCJ Membership Meeting	05/04/2017 - 05/05/2017	Washington, D.C.	presentation regarding Fed. R. Civ. P. 30(b)(6)	airfare, hotel charges, taxi fares, airport parking

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5.	Amrican Law Institute, Environmental Litigation Seminar	06/21/2017 - 06/23/2017	Washington, D.C.	seminar on environmental litigation	airfare, hotel charges, taxi fares, airport parking
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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. Wells Fargo Bank account	A	Interest	J	T					
2. Schwab Money Market Fund	B	Interest	K	T					
3. BMO Intermediate Tax Free CL Y	B	Int./Div.	L	T					
4. Guggenheim S&P Technology ETF	D	Int./Div.	K	T					
5. SPDR S&P 500 ETF	D	Int./Div.	K	T					
6. Vanguard FTSE Developed Markets ETF	A	Int./Div.	K	T					
7. Oppenheimer International Small Cap	A	Int./Div.	K	T					
8. Vanguard Telecommunication Services ETF	A	Int./Div.	J	T					
9. USAA Tax Exempt Intermediate	B	Int./Div.	K	T					
10. SPDR Dow Jones Global Real Estate ETF	B	Int./Div.	K	T					
11. Trust No. 2	A	Interest	J	T					
12. - Schwab Money Market Fund	B	Interest	J	T					
13. IRA - II									
14. - Schwab Money Market Fund		None	J	T					
15. - Schwab 1000 Fund - Select	C	Int./Div.	J	T					
16. - Vanguard Small Cap	E	Int./Div.	L	T					
17. - T.Rowe Price Personal Strategy Growth Fund	C	Int./Div.	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	

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☐ 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)

18. - The Charles Schwab Corp. common stock	C	Int./Div.	J	T					
19. - Doubleline Total Return		Int./Div.	M	T					
20. - Dodge & Cox International Stock Fund		Int./Div.	L	T					
21. - Parnassus Equity Income Fund	C	Int./Div.	K	T					
22. - Vanguard Equity Income Fund - Admiral Shares	D	Int./Div.	L	T					
23. - Seafarer Overseas Growth	C	Int./Div.	L	T					
24. - Ridgworth Seix High Yield		Int./Div.	K	T					
25. - Baird Core Plus Bond Inst.		Int./Div.	M	T					
26. - Lazard International Strategic Equity Open Shares		Int./Div.	J	T					
27. - Ridgworth SEIX Float Rate High Inc I	A	Int./Div.	J	T					
28. IRA - III									
29. - Schwab Money Market Fund		None	J	T					
30. - Metropolitan West Total	C	Int./Div.	K	T					
31. - Wasatch International Growth Fund	C	Int./Div.	K	T					
32. - Vanguard Global Ex US Real Estate ETF	B	Int./Div.	K	T					
33. - Tributary Small Co. Instl	D	Int./Div.	K	T					
34. - FMI International Fund	B	Int./Div.	K	T					

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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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. - MFS Emerging Markets Debt Fund	C	Interest	K	T					
36. - Vanguard High Yield Corp Fund Admiral Share	A	Int./Div.	K	T					
37. Trust No. 3									
38. - Schwab Money Market Fund		None	K	T					
39. - Dow Chemical Co. stock	C	Int./Div.	J	T					
40. - Pimco Incm Inst. Cl. Bond Fund	A	Dividend	L	T					
41. - TCW Total Return Bond Fund	B	Int./Div.	J	T	Sold	10/22/17	J	A	
42. - Artisan International Value Fund	D	Int./Div.	K	T					
43. - JPMorgan Growth Advantage	E	Int./Div.	K	T					
44. - JP Morgan Large Cap Growth	C	Int./Div.	K	T					
45. - Guggenheim S&P 500 ETC	E	Int./Div.	K	T					
46. - iShares Russell ETF	E	Dividend	L	T					
47. - iShares TR MSCI EAFE	C	Dividend	K	T					
48. - Vanguard Value ETF	D	Dividend	K	T					
49. - Matthews Asia Dividend Fund	B	Int./Div.	L	T					
50. - Vanguard FTSE All World	D	Int./Div.	J	T					
51. - JPMorgan US Equity Select Shares	D	Int./Div.	K	T					

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52. BMO Intermediate Tax Free	B	Int./Div.	L	T	Buy	04/07/17	L	B	
53. Oppenheimer International Small	D	Int./Div.	L	T	Buy	04/07/17	L		
54. USAA Tax Exempt Intermediate	C	Interest	K	T	Buy	02/10/17	K		
55. Vanguard Energy ETF	A	Int./Div.	J	T	Buy	03/22/17	J		
56. Vanguard FTSE Developed Markets	D	Int./Div.	K	T	Buy	03/22/17	K		
57. Vanguard FTSE Emerging Markets	C	Int./Div.	K	T	Buy	03/22/17	K		
58. Trust No. 4									
59. - Capital One Financial CP	B	Int./Div.	J	T					
60. - General Electric Co. common stock	C	Int./Div.	K	T	Sold	06/26/17	J	A	
61. - Home Depot Inc. common stock	C	Int./Div.	J	T					
62. - Honeywell International common stock	B	Int./Div.	J	T					
63. - Johnson & Johnson common stock	D	Int./Div.	J	T					
64. - JP Morgan Chase & Co. common stock	C	Int./Div.	J	T					
65. - Pepsico Inc. common stock	A	Dividend	J	T					
66. - Powershs Exchange Trade	B	Int./Div.			Sold	12/19/17	J	B	
67. - Harbor International Fund	B	Int./Div.			Sold	12/19/17	J	B	
68. - T. Rowe Price Blue Chip Fund	E	Int./Div.	L	T					

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69. - T. Rowe Price Small Cap Fund	D	Int./Div.	K	T					
70. - Westcore Co. Tax Exempt Fund	A	Int./Div.	L	T					
71. - United States Commodity Fund	B	Interest			Sold	12/19/17	J	B	
72. - Energy Select Sector SPDR ETF IV	B	Int./Div.	J	T					
73. - iShares Core MSCI Emerging ETF	B	Int./Div.	J	T					
74. - iShares MSCI EAFE Small Cap ETF	B	Int./Div.	J	T	Buy	06/26/17	J		
75. - Vanguard Intermediate Term Tax Exempt Fund	B	Int./Div.	L	T					
76. IRA IV									
77. - Schwab Money Market Fund		None	J	T					
78. - Vanguard Reit ETF	A	Int./Div.	J	T					
79. - Wisdomtree International Small Cap	A	Int./Div.	J	T					
80. - Tributary Small Co Instl	A	Int./Div.	J	T					
81. - Vanguard Dividend Appreciation ETF	A	Int./Div.	J	T					
82.									

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

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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/ Craig B. Shaffer

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