

FINANCIAL DISCLOSURE REPORT FINAL FILING

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 07/30/2018
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 01/01/2017 to 06/30/2018
7. Chambers or Office Address 1721 United States Courthouse 75 Ted Turner Drive, 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.	Grant Committee Member	Atlanta Foundation
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. 2017-18	Simon & Schuster - royalties from copyrights
2. 2017-18	Penguin Group (USA) Inc. - royalties from copyrights
3. 2017-18	Macmillan Holding, LLC - royalties from copyrights
4. 2017-18	Gerth Medien GmbH - royalties from copyrights
5. 2017-18	Amazon.com - royalties from copyrights
6. 2017-18	Self-employed writer
7. _____	_____

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. _____	_____	_____	_____	_____
2. _____	_____	_____	_____	_____
3. _____	_____	_____	_____	_____
4. _____	_____	_____	_____	_____

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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.		
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 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)

1. Brokerage Account #2 (H)									
2. -Charles Schwab Deposit Accounts	A	Interest	J	T					
3. -Schwab Value Advantage Money Market Fund	A	Dividend	K	T	Buy	06/13/18	K		
4. -Franklin Mutual Quest C	B	Dividend	K	T	Donated (part)				
5.	A	Distribution							
6. -Invesco VK Amer Franchise C					Donated (part)				
7.					Donated				
8. -Vanguard Dividend Appreciation	C	Dividend	M	T					
9. IRA #1 (H)									
10. -Federal National Mtg Assn Pool 357952	A	Interest	J	T					
11.	A	Distribution							
12. -Charles Schwab Deposit Accounts	A	Interest	J	T					
13. -Schwab Value Advantage Money Market Fund	A	Dividend	J	T	Buy	03/31/17	K		
14.					Sold	06/14/17	K	A	
15.					Buy	06/13/18	J		
16. -Marathon Oil Corp	A	Interest			Redeemed	08/14/17	J	A	
17. -Verizon Communications	A	Interest			Redeemed	04/24/17	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	

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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. -Glaxosmithkline Cap Inc	A	Interest			Redeemed	05/15/18	J	A	
19. -Mondelez International	A	Interest	J	T					
20. -AT&T Inc	A	Interest	J	T					
21. -Boeing Co	A	Interest	J	T					
22. -Indiana Michigan Power	A	Interest	J	T					
23. -Altria Group Inc	A	Interest	J	T					
24. -Barrick North America Finance LLC	A	Interest	J	T					
25. -Metlife Inc	A	Interest	J	T					
26. -JPMorgan Total Return FD	B	Dividend	L	T					
27. -DFA US Core Eqty 1 Port Instl	C	Dividend	M	T					
28.	A	Distribution							
29. -Vanguard Div Growth FD Investor	C	Dividend	M	T					
30.	C	Distribution							
31. -PIMCO Enhanced Shrt	B	Dividend	L	T	Buy	06/16/17	M		
32.	A	Distribution			Sold (part)	08/03/17	L	A	
33. -PIMCO Flexible Credit	C	Dividend	L	T	Buy	08/01/17	L		
34. IRA #4 (H)									

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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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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)
35. -AIP ABSLT RTNSTS		None			Sold (part)	04/28/17	M	E	
36.					Sold	04/28/18	J	B	
37. -MS Bank Dep Program (X)					Open	04/28/17	M		
38.					Closed	04/28/17	M		
39.					Open	04/28/18	J		
40.					Closed	04/28/18	J		
41. IRA #2 (H)									
42. -AIP ABSLT RTNSTS		None			Sold (part)	04/28/17	M	E	
43.					Sold	04/28/18	J	B	
44. -MS Bank Dep Program (X)					Open	04/28/17	M		
45.					Closed	04/28/17	M		
46.					Open	04/28/18	J		
47.					Closed	04/28/18	J		
48. Roth IRA #1 (H)									
49. -Ishares Core Dividend	A	Dividend	J	T	Buy	03/21/17	J		
50. Roth IRA #2 (H)									
51. -Ishares Core Dividend	A	Dividend	J	T	Buy	03/21/17	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 H = \$5,001 - \$15,000	D = \$15,001 - \$50,000 E = \$50,001 - \$100,000	F = \$100,001 - \$500,000 G = \$500,001 - \$1,000,000
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	
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52. Brokerage Account #1 (H)									
53. -Charles Schwab Deposit Accounts	A	Interest	J	T					
54. -Schwab Value Advantage Money Market Funds	A	Dividend	M	T	Buy	03/31/17	K		
55.					Buy (add'l)	07/31/17	K		
56.					Buy (add'l)	06/13/18	K		
57.					Sold (part)	06/21/18	J	A	
58. -Ishares Russel Midcap G In Fd		None			Sold	03/08/17	J	A	
59. -Ishares Russel Midcap V In Fd	B	Dividend	L	T					
60. -Ishares S&P 500 GRWTH Index	A	Dividend	K	T					
61. -Ishares S&P 500 Value Index	B	Dividend	K	T					
62. -Tortise MLP & Pipeline Inst	A	Dividend	J	T					
63. Vanguard Total Stock Market	C	Dividend	M	T					
64. IRA #3 (H)									
65. -Charles Schwab Deposit Accounts	A	Interest	J	T					
66. -Schwab Value Advantage Money Market Fund	B	Dividend	L	T	Buy	03/31/17	L		
67.					Buy (add'l)	07/31/17	K		
68.					Buy (add'l)	06/13/18	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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69. -Ishares Russell Midcap V In FD	B	Dividend	L	T	Sold (part)	06/13/18	K	D	
70. -Ishares S&P 500 GRWTH Index	B	Dividend	M	T					
71. -Renasant Corp	B	Dividend	M	T					
72. -Baird Aggregate Bond	B	Dividend	L	T					
73. -Doubleline Total Return Bond	D	Dividend	M	T					
74. -Pimco Income Inst Cl	D	Dividend	L	T					
75. -First Eagle Overseas Fund Cl I	C	Dividend	M	T	Sold (part)	06/13/18	K	A	
76.	B	Distribution							
77. -Matthews Asia Dividend Fund	C	Dividend	L	T					
78.	B	Distribution							
79. -Tweedy Browne Global Value Fund	A	Dividend	L	T					
80.	A	Distribution							
81. -Vanguard Div Growth Fd Investor	B	Dividend	L	T	Sold (part)	03/08/17	K	A	
82.	C	Distribution							
83. -Vanguard Total	A	Dividend	K	T	Buy	06/13/18	K		
84. -Vanguard Energy Fund		None	L	T	Buy	04/12/18	L		
85. -Boston Partners Long Short Eq	A	Distribution	L	T	Buy (add'l)	03/08/17	K		

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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86. -FPA Crescent Fund Inst Cl	B	Dividend	M	T	Buy (add'l)	03/08/17	K		
87.	C	Distribution			Buy (add'l)	07/10/17	K		
88. -UBS E TRACS Alerian MLP	D	Dividend			Sold	04/12/18	L		
89. -Vanguard Dividend Appreciation	B	Dividend	M	T	Sold (part)	03/13/17	K	A	
90. -Oakmark Intl Fd Inv	B	Dividend			Buy	07/07/17	L		
91.					Sold	03/14/18	L	D	
92. -Oakmark Intl Fd Inst		None	L	T	Buy	03/15/18	L		
93. -Virtus SEIX US Gov Sec Ultra Short Bd I	A	Dividend	K	T	Buy	03/22/17	K		
94. IRA #5 (H)									
95. -John Hancock Invmt Grd BD I	A	Dividend			Sold	03/10/17	L		
96. -MS Bank Deposit Program		None			Open	03/10/17	L		
97.					Closed	03/17/17	L		
98. IRA #6 (H)(X)									
99. -Fulcrum Growth Fund III, LLC ****	A	Int./Div.	K	U					
100. NW Mutual Estate CompLife		None	M	T					
101. John Hancock Life Insurance		None	L	T					
102. C & B Capital II, L.P. *	D	Distribution	K	U					

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103. CB Liquidating **	A	Distribution	J	U					
104. C & B Capital III, L.P. ***		None	J	U					
105. Betsy Byars, Inc.	D	Royalty	J	W					
106.	D	Distribution							
107. Peachtree Ridge Partners, LLC (Peachtree Corners, Georgia)	D	Rent	K	U	Buy	01/13/17	K		
108.	D	Distribution							
109. Gold coins		None	J	T					

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

Part VII. Investments and Trusts

*Ownership interest percentage is 0.754760%. During the reporting period, C&B Capital II, L.P. held interests in the following companies:

- Brand Group Holdings, Inc.
- Cartera Commerce, Inc.
- Controlscan, Inc.
- Navitas Lease Finance Corp.
- REACH Health, Inc.
- CB Network Holdings, Inc. d/b/a cbanc Network
- Computex Technology Solutions, Inc.
- SAJ Shift Corp (Name changed to Snag Holdings, Inc. in 2018)
- InTouch Technologies, Inc. (Acquired REACH Health)

**Ownership interest percentage is 0.261180%. During the reporting period, C&B Liquidating, LLC. held interests in the following companies:

- Liaison Technologies, Inc.
- Focus Receivables, Inc.

***Ownership interest percentage is 0.492983%. During the reporting period, C&B Capital III, L.P. held interests in the following companies:

- Brand Group Holdings, Inc.
- Confirmation Capital, LLC
- Gro Solutions, Inc.
- DefenceStorm, Inc.
- Secretariat International, Inc.

****Ownership interest percentage is 1.2358393%. During the reporting period, Fulcrum Growth Fund III, LLC held interests in the following companies:

- Advantum Health
- CarePlus
- Dropoff
- Synthio
- Fattmerchant
- Liberation Way
- SaaSOptics

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Name of Person Reporting

Duffey, Jr., William S.

Date of Report

07/30/2018

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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