

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) Williams, Stephen F.	2. Court or Organization U.S. Court of Appeals, DC Ci	3. Date of Report 05/15/2013
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 01/01/2012 to 12/31/2012
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.)*

DATE	SOURCE AND TYPE	INCOME (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.)*

DATE	SOURCE AND TYPE
1. 2012	DC Public Schools
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. University of Penn Law School	January 26, 2012	Philadelphia, PA	Moot Court	Transportation, food and lodging
2. University of Colorado	February 11-February 13, 2012	Boulder, CO	Telecommunications Program	Transportation, food and lodging
3. Duke Law School	April 26-April 27, 2012	Durham, NC	Panel Discussion	Transportation, food and lodging
4. Federal Trade Commission	September 22-September 29, 2012	Moscow, Russia	Meeting with another government entity	Transportation, food and lodging
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 Chase Manhattan (J.P. Morgan mutual funds) N, I	B	Int/Div	L	T					
2. Dreyfus S&P 500 Fund	B	Dividend	L	T					
3. Dreyfus S&P 500 Fund	D	Dividend	N	T					
4. Vanguard Index 500	D	Dividend	N	T					
5. Vanguard Prime MM Fund	A	Dividend	N	T					
6. Vanguard Index 500	D	Dividend	O	T					
7. Vanguard Mid-Cap Index	D	Dividend	N	T					
8. Vanguard Prime MM Fund	A	Dividend	N	T					
9. Vanguard Mid-Cap Index	C	Dividend	N	T					
10. Barrick Gold Corp.	A	Dividend	K	T					
11. Gold Corp., Inc	A	Dividend	K	T					
12. House, Boulder, CO	D	Rent	O	W					
13. PNC Bank	A	Interest	L	T					
14. TIAA CREF Ret. Annuities	C	Distribution	M	T					
15. Nestle	A	Dividend	L	T					
16. Proctor & Gamble	A	Dividend	K	T					
17. Questar	A	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	
	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		

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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)

18. QEP Resources	A	Dividend	K	T					
19. Bank of America	A	Dividend			Sold	11/13/12	J		
20. Merck	A	Dividend	K	T					
21. JP Morgan Access Balanced Fund	C	Dividend			Buy (add'l)	02/21/12	M		
22.					Sold	10/26/12	N	D	
23. JP Morgan Access Growth Fund	A	Dividend			Sold	02/21/12	L		
24. JP Morgan cash reserve.	A	Int./Div.			Sold	11/13/12	N		
25. JP Morgan Access Balanced Fund	C	Dividend			Buy (add'l)	02/21/12	M		
26.					Sold	10/26/12	N	D	
27. JP Morgan Access Growth Fund	A	Dividend			Sold	02/21/12	L		
28. JP Morgan cash reserve	A	Int./Div.			Sold	11/13/12	N		
29. Trust No. 2, BNY Mellon, Dreyfus Mutual Funds (T-BNY)	A	Dividend	K	T					
30. BNY Mellon Mutual Funds (T-BNY)	A	Dividend	L	T					
31. BNY Mellon Cash Reserve Account (T- BNY)	A	Dividend	J	T					
32. ETF Vanguard Emerging Markets (T-BNY)	A	Dividend	J	T					
33. Strategic Global Stock Fund (T-BNY)	A	Dividend	K	T					
34. SPDR Gold Trust (T-BNY)	A	Dividend	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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35. Vanguard Prime MoneyMarket (T-CDW) N. 3	A	Dividend	N	T					
36. Mid-Cap Index Vanguard T-(CDW)	A	Dividend			Sold	11/20/12	M	F	
37. PRIME Cap, Vanguard (T-CDW)	A	Dividend	L	T					
38. Total Int'l Stock Index, Vanguard (T-CDW)		None			Sold	02/23/12	L	D	
39. JP Morgan cash reserve (T-CDW)	A	Int./Div.			Sold	10/19/12	J		
40. JP Morgan Access Balanced Fund (T-CDW)	B	Dividend			Buy (add'l)	02/27/12	M		
41.					Sold	10/18/12	N	D	
42. JP Morgan, cash reserve (IRA)	A	Int./Div.			Sold	10/19/12	J		
43. JP Morgan Access Balanced Fund (IRA)	D	Dividend			Sold	10/26/12	O	C	
44. Morgan Stanley 2-YR Asian Outperformance Note (IRA)		None			Sold	05/18/12	K	C	
45. Morgan Stanley Market Plus SPX (IRA)		None			Sold	01/27/12	K	D	
46. Barclays Bren Commodities Note (10/2/12) (IRA)		None			Sold	10/26/12	K		
47. Goldman Sachs SPX Note (6/10/12) (IRA)		None			Sold	06/22/12	K	C	
48. HSBC Structured Note due v3/13/13 (IRA)		None	L	T	Buy	02/24/12	K		
49. JP Morgan Short Duration Bond Fund (IRA)	A	Dividend			Sold	03/21/12	M		
50. JPM Access Multi-Strategy Fund (IRA)		None	N	T	Buy	03/28/12	M		
51. Vanguard Total Int'l (IRA)	B	Dividend	M	T	Buy	12/05/12	M		

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52. Vanguard Total Stock Market Index (IRA)	D	Dividend	O	T	Buy	12/05/12	O		
53. JP Morgan Access Balanced Fund (- IRA)	A	Dividend			Sold	10/26/12	M	B	
54. JP Morgan cash reserve (IRA)	A	Interest			Sold	11/28/12	J		
55. Vanguard Money Market Fund (IRA)	A	Dividend	M	T	Buy	11/28/12	M		
56. SSgA Age Based 2010 (IRA))		None							

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

1. This is a trust established [REDACTED] of which I am a life beneficiary.
2. This is a testamentary trust established [REDACTED] of which I am the life beneficiary. Investments designated (T-BNY) are held in this trust.
- 2A. This investment was acquired 3/4/2011 but was inadvertently omitted from my report for 2011. The income during the reporting period and the value at the end of the reporting period were in the same categories for 2011 as for 2012.
3. This is a testamentary trust established [REDACTED] of which I am the life beneficiary. Investments designated (T-CDW) are held in this trust.
4. It develops that this account expired automatically because of [REDACTED] change of employment.

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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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Washington, D.C. 20544