

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) Shaffer, Craig B.	2. Court or Organization District of Colorado	3. Date of Report 08/16/2013
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 01/01/2012 to 12/31/2012
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2012	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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2012	Executive Director, Center for Legal Inclusiveness
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. Q1 Productions - eDiscovery for Financial Services Conference	2/6/2012-2/7/2012	New York, New York	panelist addressing e-discovery issues	transportation, hotel room
2. Q1 Productions - eDiscovery in Highly Regulated Industries E-Discovery Conference	2/26/2012-2/27/2012	Philadelphia, Pennsylvania	panelist addressing e-discovery issues	transportation, hotel room
3. ABA Criminal Justice Section -Spring CLE Program	4/12/2012-4/13/2012	Los Angeles, California	panelist addressing e-discovery issues	transportation, hotel room
4. Cohasset - MER National Conference	5/8/2012 - 5/9/2012	Chicago, Illinois	panelist addressing e-discovery issues	transportation, hotel room

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5.	Sandra Day O' Connor School of Law -eDiscovery Conference	5/23/2012-5/25/2012	Tempe, Arizona	panelist addressing e- discovery issues	transportation, hotel room
6.	ALI-ABA - Environmental Litigation Course	6/19/2012-6/22/2012	Washington, D.C.	panelist addressing environmental litigation issues	transportation, hotel room
7.	ALI-ABA - Employment Litigation Course	7/26/2012-7/28/2012	Sante Fe, New Mexico	panelist addressing employment litigation issues	transportation, hotel room
8.	Georgetown University Law Center -Advanced eDiscovery Institute	12/5/2012-12/7/2012	Tysons Corner, Virginia	panelist addressing e- discovery issues	transportation, hotel room

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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. Wells Fargo Bank account	A	Interest	J	T					
2. Schwab Money Market Fund	A	Interest	L	T					
3. Dreyfus Inter Muni Bond Fund	A	Interest	J	T					
4. Dreyfus Inter Term Income Fund	A	Interest	K	T					
5. Pimco Real Return Fund	A	Interest	K	T					
6. Trust No. 2	B	Dividend	L	T					
7. - Maryland College Investment Plan - T. Rowe Price									
8. - Schwab Money Market Fund									
9. - College Invest - Aggressive Age-Based Option									
10. - James Balanced Golden Rainbow Fund									
11. Schwab - SEP/IRA	B	Dividend	K	T					
12. - Schwab Money Market Fund									
13. -The Charles Schwab Corp. common stock									
14. - Royce Low Priced Stock Fund									
15. - Pimco Total Return Fund									
16. IRA - II	D	Dividend	N	T					
17. - Schwab Money Market Fund									

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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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)

18. - Schwab 1000 Fund - Select									
19. - Dreyfus Inter Term Income Fund					Sold	06/17/12	J	A	
20. - Royce Low Priced Stock Fund					Sold	06/17/12	K	D	
21. - T. Rowe Price Personal Strategy Growth Fund									
22. - UMB Scout Worldwide Fund					Sold	06/17/12	L	D	
23. - American Century Equity Fund									
24. - Pimco Total Return Fund									
25. - Excelsior Value and Restructuring Fund					Sold	06/17/12	M	E	
26. - Loomis Sayles Bond Fund									
27. IRA - III	A	Dividend	M	T					
28. - Schwab Money Market Fund									
29. - Royce Low Priced Stock Fund					Sold	06/17/12	K	C	
30. - Pimco Total Return Fund									
31. IRA - IV	A	Dividend	J	T					
32. - Fid Balanced Fund					Closed	6/30/12	J		
33. - Vanguard Target Retirement 2025 Fund					Open	6/30/13	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
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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII, Lines 19, 20, 22 and 25: the proceeds from these sales were re-invested in the money market fund listed at line 17 and the value of those proceeds are reflected in the IRA appearing at line 16.

Part VII, line 29: the proceeds from this sale were re-invested in the money market fund listed at line 28 and the value of those proceeds are reflected in the IRA appearing at line 27.

Part VII, lines 32 and 33: in this IRA account, the investment in Fid Balanced Fund (line 32) was closed when the IRA management company transferred all investments in the IRA to Vanguard Target Retirement 2025 Fund (line 33) . . . this decision was not made by the account holder and did not result in any gains or losses

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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
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