

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 11/14/2016
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 01/01/2015 to 12/31/2015
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. 2015	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. 2015	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. Arizona State University, Sandra Day O'Connor Law School	3/11/2015-3/13/2015	Tempe, Arizona	panelist addressing e-discovery issues	transportation, hotel room
2. Sedona Conference mid-year meeting	4/29/2015-4/30/2015	Dallas, Texas	panelist addressing e-discovery issues	transportation, hotel room
3. ALI Environmental Litigation Course	6/24/2015-6/26/2015	Washington, D.C.	faculty member	transportation, hotel room
4. Duke Law School Distinguished Lawyers Conference	7/2/2015-7/24/2015	Washington, D.C.	attendee	transportation, hotel room

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5.	Securities and Exchange Commission	9/10/2015	Washington, D.C.	presentation on 2015 Civil Rules amendments	transportation, hotel room
6.	Georgetown University Law Center, Advanced eDiscovery Institute	11/19/2015-11/20/2015	Washington, D.C.	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 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	A	Interest	L	T					
3. BMO Intermediate Tax Free CL Y	A	Interest	J	T					
4. Guggenheim S&P 500 Technology ETF	A	Interest	K	T	Sold (part)	12/22/15	J	C	
5. SPDR S&P 500 ETF	A	Interest	K	T	Sold (part)	12/22/15	J	C	
6. Vanguard FTSE Developed Markets ETF	A	Interest	K	T	Buy	12/22/15	K		
7. Oppenheimer International Small Cap	A	Interest	K	T	Buy	07/07/15	J		
8. Vanguard Telecommunication Services ETF	A	Interest	J	T	Buy	07/07/15	J		
9.					Sold (part)	12/22/15	J	A	
10. USAA Tax Exempt Intermediate	A	Interest	J	T	Buy	01/13/15	J		
11. Trust No. 2	A	Interest	J	T					
12. - Schwab Money Market Fund									
13. IRA - II	E	Dividend	O	T					
14. - Schwab Money Market Fund									
15. - Schwab 1000 Fund - Select									
16. - Vanguard Small Cap									
17. - T. Rowe Price Personal Strategy Growth 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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☐ NONE (No reportable income, assets, or transactions.)

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	(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									
19. - Doubleline Total Return									
20. - Dodge & Cox International Stock Fund									
21. - Harding Loevner Emerging Markets					Sold	07/07/15	K		
22. - Parnassus Equity Income Fund					Sold (part)	07/07/15	K		
23. - Vanguard Equity Income Fund -Admiral Shares									
24. - Seafarer Overseas Growth					Buy	07/07/15	K		
25. - Ridgeworth Seix High Yield					Buy	07/07/15	K		
26. - Baird Core Plus Bond Inst.									
27. IRA - III	B	Dividend	M	T					
28. - Schwab Money Market Fund									
29. - Metropolitan West Total									
30. - Hodges Small Cap									
31. - Wasatch International Growth Fund									
32. - SPDR S&P Regional Banking					Sold	03/05/15	J		
33. - Artisan International Fund					Buy	03/05/15	J		
34. - Vanguard International Equity ETF					Buy	03/05/15	J		

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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. Trust No. 3	E	Int./Div.	O	T					
36. - Schwab Money Market Fund									
37. - Altria Group, Inc. stock					Sold	03/05/15	J		
38. - ConocoPhillips stock					Sold	03/05/15	J		
39. - Dow Chemical Co. stock									
40. - Pimco Incm Inst. C1 Bond Fund									
41. - TCW Total Return Bond Fund									
42. - Artisan International Value Fund									
43. - Aston Fairpointe Mid Cap					Sold	03/05/15	K		
44. - Hartford Capital Appr					Sold	12/22/15	K		
45. - JPMorgan Growth Advantage					Sold (part)	12/22/15	J		
46. - JPMorgan Large Cap Growth									
47. - JPMorgan US Equity Select									
48. - T Rowe Price New Asia Fund					Sold	10/13/15	K		
49. - Guggenheim S&R 500 ETF					Sold (part)	12/22/15	J		
50. - iShares MSCI All Country									
51. - iShares Russell ETF									

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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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52. - iShares TR MSCI EAFE									
53. - Powershares Exch Trade Fund TR					Sold	07/07/15	K		
54. - Vanguard Telecommunication Systems					Sold	10/13/15	J		
55. - Vanguard Value ETF									
56. - Janus Global Real Estate									
57. - Matthews Asia Dividend Fund					Buy	10/13/15	K		
58. Trust No. 4	C	Int./Div.	N	T					
59. - Capital One Financial CP									
60. - General Electric Co. common stock									
61. - Hess Corp. common stock									
62. - Home Depot Inc. common stock									
63. - Honeywell International common stock									
64. - Johnson & Johnson common stock									
65. - JPMorgan Chase & Co. common stock									
66. - Mondelez Intl. Inc. Class A stock					Sold	03/05/15	J		
67. - Pepsico Inc. common stock									
68. - iShares Russell ETF Midcap									

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69. - Powershs Exchange Trade									
70. - Credit Suisse Commodity Fund					Sold	10/13/15	J		
71. - Harbor Internatinal Fund									
72. - Schwab Tax Free Bond Fund									
73. - T Rowe Price Blue Chip Fund									
74. - T Rowe Price Small Cap Fund									
75. -Westcore Co. Tax Exempt Fund									
76. - United States Commodity Fund					Buy	10/13/15	J		
77. IRA IV	A	Interest	J						
78. - Schwab Money Market Fund					Buy	07/29/15	J		
79. - Vanguard REIT ETF					Buy	07/29/15	J		
80. - Wisdometree International Small Cap					Buy	07/29/15	J		
81.									

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.)*

On the undersigned's 204 financial disclosure form, at lines lines 53 and 54, the undersigned reported holding investments in "Guggenheim ETC" and "Guggenheim Exchange Trade Fund." Those assets were incorrectly listed because they were duplicative of the entry at line 50 which was described as "Guggenheim Exch Trade Fund." The assets described at lines 53 and 54 on last year's report have been omitted from this report to correct those duplicate entries.

The reference to "FMI Large Cap Fund," found at Part VII, line 41 of my 2014 amended report was incorrect to the extent that the second entry reported a part sale of that asset on 10/08/14. That transaction should have been identified as a "sale" of that asset on that date. After 10/08/14, the undersigned disposed of that asset completely. For that reason, FMI Large Cap Fund was not included in my 2015 financial disclosure 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