

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Lafferty, William J.	2. Court or Organization Bankruptcy Court, Northern District of California	3. Date of Report 05/15/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge--Full Time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 1300 Clay Street, Room 220 Oakland, CA 94612		
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. Trustee	Trust No. 1
2. Partner, various Howard Rice Investment Funds	Howard Rice Investment Funds, 01-09
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. 1/1/98	Family Trust
2. 3/1/98	Filer and Howard Rice et al.
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. 2016

The Permanente Medical Group--Salary

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. California Bankruptcy Forum

May 20-22, 2016

Indian Wells, CA

Attend Annual meeting
CBF, Make Presentations

Two Nights Hotel, Meals

2.

3.

4.

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.)*

<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. I. Filer (H)									
2. Charles Schwab Bank, Deposit Account	A	Interest	M	T					
3. CBS Corp., Common Stock	A	Dividend	J	T					
4. Dreyfus Growth & Income Mutual Fund	A	Int./Div.	J	T					
5. Howard Rice Investment Fund 01 (no control)		None	J	U					
6. Howard Rice Investment Fund 02 (no control)		None	J	U					
7. Howard Rice Investment Fund 03 (no control)		None	J	U					
8. Howard Rice Investment Fund 04 (no control)		None	J	U					
9. Howard Rice Investment Fund 05 (no control)		None	J	U					
10. Howard Rice Investment Fund 06 (no control)		None	J	U					
11. Howard Rice Investment Fund 07 (no control)		None	J	U					
12. Howard Rice Investment Fund 08 (no control)		None	J	U					
13. Howard Rice Investment Fund 09 (no control)	A	Distribution	J	U	Distributed (part)	12/15/16	J		See Part VIII
14. II. Trust No. 1 (W) (H)									
15. Real Property, Orinda, CA		None	N	W					
16. III. Other Non-Trust (W) (H)									
17. Rental property, Alameda, CA	E	Rent	O	W					

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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18. Rental property, Ventura, CA (1/3 interest--shared with two sisters)	B	Rent	M	W					
19. Schwab Deposit Account	A	Interest	J	T					See Part VIII
20. Barclays Bank	A	Interest	N	T					
21.									
22. IRA's: (H)									
23. Schwab, SWBDX (IRA)	A	Dividend	J	T					
24. Schwab, Vanguard Total Intl Stock Market Index Fund, VGT SX (IRA)	A	Dividend	J	T					
25. Schwab, Vanguard Total Stock Market Index Fund, VTSMX (IRA)	A	Dividend	K	T					
26. Schwab Money Market Fund: SWMMX	A	Dividend	L	T					See Part VIII
27.									
28. Schwab, (S&P 500 Index), SWPPX	B	Dividend	K	T					See Part VIII
29. Retirement Accounts (W) Permanente (H)									
30. I. TPMG Salary Deferral (W) (H)									
31. BTC US Equity Market	A	Dividend	L	T	Sold (part)	03/15/16	J	A	
32.					Buy (add'l)	06/14/16	J		
33.					Sold (part)	07/27/16	J	A	
34.					Buy (add'l)	11/15/16	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	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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35. Cap Group Int'l Equity.	A	Dividend	K	T	Buy (add'l)	03/15/16	J		
36.					Buy (add'l)	06/14/16	J		
37.					Sold (part)	07/27/16	J	B	
38.					Buy (add'l)	11/15/16	J		
39. BTC Life Path 2020 F	A	Dividend	K	T	Sold (part)	03/15/16	J	A	
40.					Sold (part)	06/14/16	J	A	
41.					Sold (part)	07/27/16	J	A	
42.					Sold (part)	11/15/16	J	A	
43. FR Fixed Income Retirement (Permanente)	A	Dividend	L	T	Buy (add'l)	03/15/16	J		
44.					Sold (part)	06/14/16	J	B	
45.					Buy (add'l)	07/27/16	J		
46.					Sold (part)	11/15/16	J	A	
47. TPML International Foreign Fund	A	Dividend			Sold (part)	03/15/16	J	A	
48.					Sold	04/08/16	J	A	
49. TPML Intl Foreign A3	A	Dividend	K	T	Buy	04/08/16	J		
50.					Buy (add'l)	06/14/16	J		
51.					Sold (part)	07/27/16	J	A	

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52.					Buy (add'l)	11/15/16	J		
53. MP II CL 3	A	Interest			Open	03/15/16	J		See Part VIII
54.					Sold (part)	06/14/16	J	A	
55.					Buy (add'l)	07/27/16	J		
56.					Closed	11/15/16	J	A	
57. 2. Permanente Employer Contribution Plan (W) (H)									
58. TPMG Conservative Fund	A	Dividend			Sold (part)	03/15/16	J	A	See Part VIII
59.					Sold	06/14/16	J	A	
60. BTC US Equity Market	A	Dividend	K	T	Buy (add'l)	06/14/16	J		
61. Cap Group International Equity Equity	A	Dividend	K	T					
62. BTC Life Path 2020 F	A	Dividend	J	T					
63. FR Fixed Income Employer Retirement Plan (Permanente)	A	Dividend	K	T					
64. TPML International Foreign Fund	A	Dividend	J	T					
65. 3. Kaiser Foundation Health Plan(W) (H)									
66. (a) Plan B(W) (H)									
67. Vanguard Wellington Fund, Inv.	A	Dividend	L	T					
68. Vanguard Total Bond Mkt 1x 1st Plus	A	Dividend	K	T					

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69. Vanguard 1st Tt St. Mkt Inx 1st Plus	A	Dividend	M	T					
70. Vanguard Prime Cap Fund Admiral	A	Dividend	N	T					
71. KP Interest Income Fund	B	Dividend	K	T					
72. (b) TSA (W) (H)									
73. Vanguard Wellington Fund, Inv.	A	Dividend	N	T					
74. Vanguard Stable Income Fund	D	Dividend	M	T					See Part VIII
75. Vanguard Total Bond Mkt 1x 1st Plus	A	Dividend	L	T					
76. Vanguard 1st Tt St. Mkt Inx 1st Plus	A	Dividend	N	T					
77. Dreyfus Appreciation Fund (IRA)	A	Dividend	K	T					
78. Brokerage Account (H)									
79. 3M Company (MMM)	B	Dividend	L	T	Buy (add'l)	10/28/16	K		
80.					Sold (part)	12/28/16	L	D	
81. Accelerate Diagnostics, Inc. (AXDX)		None	K	T	Buy (add'l)	06/17/16	J		
82.					Sold (part)	09/19/16	J	A	
83. AES (AES)	B	Dividend	K	T	Buy (add'l)	02/25/16	J		
84. Allergan (AGN)		None	K	T	Buy	04/08/16	K		
85. Alphabet Inc. Class C (GOOG)		None	K	T	Sold (part)	09/20/16	K	D	

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86. Alphabet Inc. Class A (GOOGL)		None	K	T					
87. Altria Group Inc (MO)	A	Dividend	K	T	Sold (part)	08/05/16	J	D	
88. Amgen Inc (AMGN)	B	Dividend	L	T	Buy (add'l)	10/28/16	K		
89.					Sold (part)	08/05/16	J	A	
90. Amplify Snack Brands (BETR)		None	K	T	Buy	10/07/16	K		
91. Apple Inc (AAPL)	A	Dividend	J	T					
92. Archer Daniels Midland (ADM)	A	Dividend	J	T	Buy (add'l)	09/09/16	J		
93.					Sold (part)	11/15/16	J	A	
94. AthenaHealth (ATHN)		None	J	T	Buy	03/15/16	K		
95.					Sold (part)	07/07/16	J	A	
96. Australia NZ Bank (ANZBY)	B	Dividend	K	T	Buy (add'l)	02/23/16	J		
97. Automatic Data Processing (ADP)	A	Dividend	K	T	Sold (part)	08/09/16	J	C	
98. BCE Inc. (BCE)	A	Dividend			Sold	03/16/16	J	A	
99. BHP Billiton (BHP)	A	Dividend	K	T	Buy (add'l)	10/28/16	K		
100.					Sold (part)	11/23/16	K	A	
101. CDK Global (CDK)	A	Dividend	J	T					
102. Broadcom Limited (AVGO)		None			Buy (add'l)	02/09/16	J		

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103.					Sold	02/12/16	K	E	
104. Celgene (CELG)		None	K	T	Buy (add'l)	02/29/16	J		
105. Vanguard Total Market Index (VTI)	B	Dividend	M	T	Buy (add'l)	10/07/16	M		
106.					Sold (part)	12/19/16	K	A	
107. CVS Health (CVS)	A	Dividend	J	T	Buy	02/29/16	J		
108. Chevron (CVX)	A	Dividend	K	T	Buy (add'l)	06/01/16	J		
109.					Sold (part)	11/15/16	K	A	
110. Chipotle Mexican (CMG)		None	J	T	Sold (part)	01/29/16	J	A	
111. Chubb Group (CB)	A	Dividend	J	T	Sold (part)	01/19/16	J	B	
112. Church & Dwight (CHD)	A	Dividend	K	T	Buy (add'l)	12/08/16	K		
113.					Sold (part)	04/27/16	K	D	
114. Cree (CREE)		None	K	T	Buy (add'l)	03/03/16	K		
115. Coca Cola (KO)	A	Dividend	J	T					
116. Columbia Large Cap Core (NMIMX)	B	Dividend	L	T					
117. Costco (COST)	A	Dividend	J	T					
118. Cross Timbers (CRT)	B	Dividend	K	T	Sold (part)	08/01/16	J	A	
119. John Deere (DE)	A	Dividend	J	T	Sold (part)	11/15/16	J	C	

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)
120. Emerson Electric (EMR)	A	Dividend	K	T					
121. Energy Transfer Equity (ETE)	B	Dividend	K	T					
122. Energy Transfer Partners	B	Dividend	K	T	Buy (add'l)	07/14/16	K		
123.					Sold (part)	12/22/16	J	A	
124. DFA International Equity (DFIEX)		None	K	T	Sold (part)	09/20/16	K	A	
125. DFA US Large Cap (DFLVX)	C	Dividend	L	T	Buy (add'l)	12/15/16	J		See Part VIII
126. Engility (EGL)		None	J	T					
127. Exxon (XOM)	A	Dividend	K	T	Sold (part)	09/20/16	J	C	
128. Fidelity National Info (FIS)	A	Dividend	K	T	Sold (part)	05/09/16	J	B	
129. Generac (GNRC)		None	L	T	Buy (add'l)	10/25/16	J		
130.					Sold (part)	11/14/16	J	A	
131. General Electric (GE)	A	Dividend	K	T					
132. Gentex (GNTX)	A	Dividend	L	T	Buy (add'l)	10/07/16	K		
133. Honeywell (HON)	A	Dividend	K	T	Buy (add'l)	10/07/16	K		
134.					Sold (part)	06/09/16	J	B	
135. Hudson Pacific (HPP)	A	Dividend	J	T	Sold (part)	11/15/16	J	B	
136. Illumina (ILMN)		None	K	T	Buy (add'l)	01/06/16	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	
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)
137.					Sold (part)	12/28/16	J	A	
138. Intel (INTC)	B	Dividend	L	T	Sold (part)	08/05/16	J	A	
139. International Flavors & Frag (IFF)	A	Dividend	J	T	Sold (part)	09/21/16	K	D	
140. Intuit (INTU)	A	Dividend	K	T					
141. JM Smucker (SJM)	A	Dividend	J	T	Sold (part)	06/29/16	K	D	
142. Johnson & Johnson (JNJ)	B	Dividend	K	T	Sold (part)	11/15/16	K	D	
143. Juno Therapeutics (JUNO)		None	J	T	Buy	10/06/16	J		
144. Keurig Green Mountain (GMCR)	A	Dividend			Sold	03/03/16	K	D	
145. King Digital (KING)		None			Sold	02/23/16	K	D	
146. Kinder Morgan (KMI)	A	Dividend	K	T					
147. Lowe's Company (LOW)	A	Dividend	K	T	Buy (add'l)	11/29/16	K		
148. LVMH Moet (LVMUY)		None			Buy (add'l)	01/05/16	J		
149.					Sold	02/26/16	J	A	
150. MPLX (MPLX)	C	Dividend	L	T	Buy (add'l)	10/07/16	K		
151.					Sold (part)	03/16/16	J	A	
152. Martin Marietta (MLM)	A	Dividend	K	T					
153. Mastercard (MC)	A	Dividend			Buy (add'l)	03/04/16	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	
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)
154.					Sold	05/11/16	K	D	
155. Microsoft (MSFT)	C	Dividend	M	T					
156. Mondelez (MDLZ)	A	Dividend	K	T					
157. Myriad Genetics (MYGN)		None	J	T					
158. National Grid Transco (NGG)		None	K	T	Buy	12/14/16	K		
159. Newlink Genetics (NWLK)		None			Sold	09/20/16	J	A	
160. Nokia (NOK)	A	Dividend	J	T					
161. Norfolk Southern (NSC)	A	Dividend	J	T	Sold (part)	11/23/16	J	B	
162. Novartis (NVS)	B	Dividend	K	T					
163. Novo Nordisk (NVO)	B	Dividend	K	T	Buy (add'l)	11/30/16	K		
164. Omnicision (OVTI)		None			Sold	01/28/16	K	D	
165. Opko Health (OPK)		None	K	T	Buy (add'l)	03/10/16	J		
166. Oracle (ORCL)	A	Dividend	K	T	Sold (part)	03/18/16	J	A	
167. Philip Morris (PM)	A	Dividend	K	T	Buy (add'l)	11/30/16	J		
168.					Sold (part)	03/03/16	J	A	
169. Phillips 66 (PSX)	A	Dividend	J	T	Sold (part)	03/02/16	J	A	
170. Potash (POT)	B	Dividend	K	T	Buy (add'l)	05/02/16	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	
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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05/15/2017

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)
171. Principal Financial Group (PFG)	A	Dividend	K	T	Buy (add'l)	03/06/16	J		
172. Qualcomm (QCOM)	C	Dividend	L	T					
173. Roche (RHHBY)	B	Dividend	K	T	Buy (add'l)	10/07/16	J		
174. Schwab Value Advantage Money Fund (SWVXX)	A	Interest	K	T					
175. SPDR Gold Trust (GLD)		None	K	T	Buy (add'l)	10/25/16	K		
176.					Sold (part)	06/16/16	J	A	
177. Sabine Royalty Trust (SBR)	C	Dividend	L	T	Buy (add'l)	04/04/16	J		
178. Seattle Genetics (SGEN)		None	J	T	Sold (part)	11/23/16	K	D	
179. South 32 Limited (SOUHY)	A	Dividend	J	T					
180. Suncor (SU)	A	Dividend	J	T	Sold (part)	11/15/16	J	A	
181. Sunedison (SUNE)		None			Sold	12/20/16	J	A	
182. Super Micro Computer (SMCI)		None	L	T	Buy (add'l)	10/07/16	K		
183.					Sold (part)	12/28/16	J	A	
184. T Rowe Price (TROW)	A	Dividend	J	T					
185. Taiwan Semiconductor (TSM)		None	K	T	Buy	10/26/16	K		
186. The Kraft Heinz (KHC)	A	Dividend	J	T					
187. Ultra Petroleum (UPL)		None	J	T	Sold (part)	08/05/16	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 \$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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Lafferty, William J.

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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.)

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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)
188. Union Pacific (UNP)	B	Dividend	K	T	Sold (part)	12/28/16	K	C	
189. United Tehnologies (UTX)	B	Dividend	L	T	Sold (part)	08/08/16	J	A	
190. US TBILL (912796KS7)		None	M	T	Buy	12/30/16	M		
191. Vanguard Growth (VUG)	A	Dividend	J	T	Buy	01/29/16	J		
192. Vanguard Total Stock (VTSMX)	B	Dividend	L	T					
193. W.R. Berkley	A	Dividend	K	T	Buy (add'l)	09/07/16	J		
194. WW Grainger (GWW)	A	Dividend	J	T	Sold (part)	08/10/16	K	A	
195. Walter Energy (WLTGQ)		None	J	T					
196. Williams Partners (WPZ)	C	Dividend	K	T	Buy (add'l)	03/17/16	J		
197. Wright Medical (WMGI)		None	K	T	Buy (add'l)	02/29/16	J		
198.					Sold (part)	08/09/16	J	A	
199. XPO Logistics (XPO)		None	J	T	Buy	09/29/16	J		
200.					Sold (part)	11/14/16	J	A	
201. Xilinx (XLNX)	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	
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

1. With respect to Part VII, line 12, my former law firm, Howard Rice et al., sometimes received additional or alternative compensation from clients in the form of equity interests in the client. At the end of each calendar year the firm would form a partnership to hold the equity interests so acquired during that year for the benefit of the equity holders in the law firm, and the various partnership entities listed in lines 5-13 of Part VII represent the Howard Rice partnerships in which I had an equity interest when I left the firm to become a Bankruptcy Judge. In general, I have assigned a fairly nominal "value" to my interests in these partnerships because, absent a liquidity event, they have little value per se. In the fall of 2016, one of the companies in which the firm had an equity interest that was held in the Howard Rice Investment Fund '09 had a liquidity event, and the successor law firm (Arnold & Porter) received a distribution from the entity in the form of cash, that was then distributed to the holders of the equity interests in Howard Rice Investment Fund '09. I received a check from the firm in the approximate amount of \$590 on December 15, 2016. This event notwithstanding, the assets remaining in the '09 Fund, as well as the assets in the remaining Howard Rice Investment Funds, remain illiquid and therefore, in my mind, of uncertain but likely miniscule value, and I have not altered the year-end amount values for any of these investments.
2. With respect to Part VII, line 19, this refers to a deposit account in which my wife and her two sisters deposit the rents received, and from which they pay distributions of rent to each other (as accounted for in the "income" column for line 18 in Part VII) and pay expenses for the rental property. I list this in an abundance of caution, because this account isn't really my wife's property in the distributional sense, but she and her sisters would each have a residual interest in any amounts left in the account "at the end of the day". I did not list this account last year because I thought that the relevant economic interest re the Ventura property was reflected in line 18 (as it is again this year) but because my wife and her sisters could each have some beneficial interest in this account, I list it here with this explanation.
3. With respect to Part VII, line 22 from the 2015 Report, the "Cross Timbers Partnership" entry was listed there in error. The interest in the Cross Timbers entity was accurately and correctly listed at Part VII, line 81 of the 2015 Report, as part of the portfolio of equity interests managed for Filer and Wife by Fairfield Bush, and it should not have been listed elsewhere.
4. With respect to Part VII, line 26 from this year's Report, and Part VII, line 27 from the 2015 Report, two corrections: 1. This account was improperly named as "Schwab Money Market Fund (S&P 500 Index): SWMXX" in the 2015 Report. The correct name (and it is corrected in Part VII, line 28, of this year's Report), is "Schwab Money Market Fund, SWMMX". 2. In the 2015 Report, I made an inadvertent math error in calculating the ending balance for this asset/fund, which, after giving effect to the transactions described in the 2015 Report, exceeded \$50,000--thus, the ending value should have been "L", not "K". This year's Report corrects this error.
5. With respect to Part VII, line 28 from this year's Report, and Part VII, line 27 from the 2015 Report, two corrections: 1. This account was improperly named as "Schwab Money Market Fund: SWPPX" in the 2015 Report. The correct name (and it is corrected in Part VII, line 30, of this year's Report), is "Schwab S&P 500 (SWPPX)". In the 2015 Report, I made an inadvertent math error in calculating the ending balance for this asset/fund, which exceeded \$15,000--thus, the ending value should have been "K", not "J". This year's Report corrects this error.
6. With respect to Part VII, lines 53-56 of this year's Report, during calendar year 2016, the managers of the TPMG Salary Deferral Plan opened, and then closed, a new account, titled "MIP II CL 3" for the purpose of holding on a short term basis some of the moneys transferred from other entities during the course of the year. The total aggregate amount of funds "in and out" of this account was less than \$3000, and the last amounts in this account essentially went into the BTC US Equity Market account, listed at lines 33-37.
7. With respect to Part VII, lines 58-59 of this year's Report, the "TPMG Conservative Fund", this fund was erroneously listed among the TPMG Salary Deferral Plan group in the 2015 Report--in fact, this fund is included in, and should have been listed in, the Permanente Employer Contribution Plan group. This year's Report corrects that error. Also, this asset, which had a total value of approximately \$1942 at the end of calendar year 2015, was disposed of entirely in 2016, with the last funds apparently being transferred to the BTC US Equity Market fund.
8. With respect to Part VII, line 74, the end of the year aggregate value for the "Vanguard Stable Income Fund" was erroneously listed in last year's report as value "K" (\$15,000--\$50,000); it should have been listed as value "L" (\$50,000--\$100,000); the actual value was approximately \$93,000. The value for this year is correctly listed as "M" (\$100,000--\$250,000), based on gains in the fund, and continuing contributions. In addition I included the name of the fund family "Vanguard" in this year's report.
9. With respect to Part VII, lines 125 and 192, these assets were inadvertently omitted from my 2015 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/ William J. Lafferty

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