

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 10/30/2014
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 01/01/2013 to 12/31/2013
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. 2013	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 Colorado	February 8-February 11, 2013	Boulder, CO	Speaker on panel in telecommunications program	Transportation, food and lodging
2. Federalist Society	March 25, 2013	Lexington, KY	Delivered lecture at law school	Transportation, food and lodging
3. American Law Institute	October 3-October 4, 2013	Philadelphia, PA	Participant in discussion of ALI Restatement draft	Transportation, food and lodging
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. Trust # 1 J P Morgan, N.I	B	Int/Div	L	T					
2. - Cash									
3. - J P Morgan Access Balanced Fund									
4. Dreyfus S&P 500 Fund	C	Dividend	L	T					
5. Vanguard Index 500	D	Dividend	N	T					
6. Vanguard Prime MM Fund	A	Dividend	L	T					
7. Vanguard Mid-Cap Index	D	Dividend	O	T					
8. Barrick Gold Corp.	A	Dividend			Sold	11/29/13	J		
9. Gold Corp., Inc	A	Dividend	K	T					
10. House, Boulder, CO	D	Rent	O	W					
11. PNC Bank	A	Interest	L	T					
12. TIAA CREF Ret. Annuities	C	Distribution	M	T					
13. Nestle	A	Dividend	L	T					
14. Proctor & Gamble	A	Dividend	K	T					
15. Questar	A	Dividend	K	T					
16. QEP Resources	A	Dividend	K	T					
17. Merck	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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18. Trust No. 2, BNY Mellon, N.2	B	Dividend	M	T					
19. - Mellon Cash Reserve									
20. - Mellon Income Stock Fund									
21. - Mellon Focused Equity									
22. - Dreyfus Opportunistic small Cap Fund									
23. - ETF Vanguard Emerging Markets					Sold	05/01/13	J	A	
24. - Virtus Emerging Markets Fund					Buy	05/01/13	J		
25. - Dreyfus Large Cap Equity									
26. - Dreyfus Large Cap Equity					Buy (add'l)	11/12/13	J		
27. - Strategic Global Stock Fund									
28. - SPDR Gold Trust					Sold	11/11/13	J	A	
29. Vanguard Prime MoneyMarket (T-CDW) N. 3	A	Dividend	J	T					
30. PRIME Cap, Vanguard (T-CDW)	A	Dividend	L	T					
31. Vanguard Extended Market (T-CDW)	C	Dividend	N	T	Buy	01/30/13	M		
32. Mathews Pacific Tiger (T-CDW)	B	Dividend	M	T	Buy	02/01/13	M		
33. HSBC Structured Note due v3/13/13 (IRA)		None			Redeemed	03/13/13	L	D	
34. JPM Access Multi-Strategy Fund (IRA)		None			Sold	05/13/13	N	E	

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35. Vanguard Small-Cap Index	B	Dividend	M	T	Buy	06/12/13	M		
36. Mathews Pacific Tiger	C	Dividend	N	T	Buy	01/17/13	N		
37. Vanguard Total Int'l (IRA)	D	Dividend	N	T	Buy (add'l)	05/29/13	L		
38. Vanguard Total Stock Market (IRA)	D	Dividend	P1	T	Buy (add'l)	05/29/13	L		
39.					Buy (add'l)	08/16/13	J		
40. Mathews Pacific Tiger (IRA)	B	Dividend	M	T	Buy	03/26/13	L		
41.					Buy (add'l)	05/30/13	L		
42. Vanguard Money Market (IRA)	A	Dividend	J	T					
43. Vanguard Index 500	D	Dividend	N	T					
44. Vanguard Prime Money Market	A	Dividend	J	T					
45. Vanguard Mid-Cap Index	C	Dividend	O	T					
46. Mathews Pacific Tiger	B	Dividend	M	T	Buy	01/17/13	M		
47. Dreyfus S&P 500 Fund	D	Dividend	N	T					
48. Vanguard Money Market (IRA)	A	Dividend	J	T					
49. Mathews Pacific Tiger (IRA)	B	Dividend	M	T	Buy	01/30/13	M		

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

1. This is a trust established by [REDACTED] of which I am a life beneficiary. On Novmeber 15, 2013 the suffix to the name of the Fund, J P Morgan Access Balanced, changed from "Select" to "Installment." The trustee changed from Chase Manhattan to J P Morgan by corporate acquisition.
2. This is a testamentary trust established by [REDACTED] of which I am the life beneficiary.
3. This is a testamentary trust established by [REDACTED], of which I am the life beneficiary. Investments designated (T-CDW) are held in this trust.

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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