

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 08/07/2019
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 01/01/2018 to 12/31/2018
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 (Assets Listed in Part VII)
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2018	The Permanente Medical Group--Salary on a Part-Time Basis
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. California Bankruptcy Forum (CBF)	May 18-20, 2018	Squaw Creek, CA	Attend Conference	Three Nights Hotel, Meals
2. National Conference Bankruptcy Judges (NCBJ)	October 28-31, 2018	San Antonio, TX	Attend Conference	Two Nights Hotel, Meals
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. Ally Bank	A	Interest	M	T					
2. Barclays Bank	A	Interest	N	T					
3. BTC Life Path 2020 F (1)	A	Dividend	K	T					See Part VIII
4. BTC Life Path 2020 F (2)	A	Dividend			Sold	07/31/18	J		See Part VIII
5. BTC US Equity Index (1)	A	Dividend	M	T					See Part VIII
6. BTC US Equity Index (2)	A	Dividend	K	T					See Part VIII
7. CBS Corp., Common Stock	A	Dividend	J	T					
8. Charles Schwab Bank, Deposit Account (1)	A	Interest	L	T					
9. Charles Schwab Bank Deposit Account (2)	A	Interest	J	T					
10. Dreyfus Appreciation Fund (IRA) CS	A	Dividend	K	T					
11. Dreyfus Growth & Income Mutual Fund	A	Int./Div.	J	T					
12. F.r Fixed Income (Permanente 2)	A	Dividend	K	T					See Part VIII
13. F.r Fixed Income (Permanente 1)	A	Dividend	L	T	Sold (part)	07/31/18	K		See Part VIII
14. Howard Rice Investment Fund 01 (no control)		None	J	U					
15. Howard Rice Investment Fund 02 (no control)		None	J	U					
16. Howard Rice Investment Fund 03 (no control)		None	J	U					
17. Howard Rice Investment Fund 04 (no control)		None	J	U					

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 = \$250,000,001 - \$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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18. Howard Rice Investment Fund 05 (no control)		None	J	U					
19. Howard Rice Investment Fund 06 (no control)		None	J	U					
20. Howard Rice Investment Fund 07 (no control)		None	J	U					
21. Howard Rice Investment Fund 08 (no control)		None	J	U					
22. Howard Rice Investment Fund 09 (no control)	A	Distribution	J	U	Distributed (part)	12/10/18	J		See Part VIII
23. KP Interest Income Fund	B	Dividend	K	T					
24. NT International Fd (1)	A	Dividend	L	T					See Part VIII
25. NT International Fd (2)	A	Dividend	K	T					See Part VIII
26. Real Property, Orinda, CA		None	N	W					
27. Rental Property, Alameda, CA	E	Rent	O	W					
28. Rental Property, Ventura, CA (1/3 interest--shared with two sisters)	B	Rent	M	W					
29. Schwab Intellectual Portfolio Account	F	Dividend	O	T					See Part VIII
30. Schwab, Money Market Fund SWMXX	A	Dividend	L	T					See Part VIII
31. Schwab (S&P 500 Index), SWPPX	B	Dividend	L	T					
32. Schwab SCHG	B	Dividend	K	T	Buy	10/10/18	K		
33. Schwab SWVXX	A	Dividend	L	T	Buy	10/10/18	L		
34. Schwab, Vanguard Total Intl Stock Market Index Fund, VGT SX (IRA)	A	Dividend	J	T					

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35. Schwab, Vanguard Total Stock Market Index Fund, VTSMX (IRA)	A	Dividend	K	T					
36. TPMG Aggressive Fund (1)	A	Dividend	J	T	Buy	07/31/18	K		
37. TPMG Conservative Fund (2)	A	Dividend	J	T	Buy	05/15/18	J		
38. TPMG Aggressive Fund (2)	A	Dividend	J	T	Buy	09/18/18	J		
39.					Buy (add'l)	11/13/18	J		
40. Vanguard PrimeCap Fund ADM (1)	A	Dividend			Sold	09/18/18	J		See Part VIII
41. Vanguard PrimeCap Fund ADM (2)	A	Dividend	O	T					See Part VIII
42. Vanguard Stable Income Fund	D	Dividend	M	T					
43. Vanguard Total Bond Mkt 1x Tr	A	Dividend	K	T					
44. Vanguard Total Bond Mkt 1x 1st Plus	A	Dividend	L	T					
45. Vanguard Wellington Fund, ADM (1)	A	Dividend	L	T					See Part VIII
46. Vanguard Wellington Fund, ADM (2)	A	Dividend	N	T					See Part VIII
47. Vanguard 1st Tt St. Mk Idx 1st Plus	A	Dividend	N	T					See Part VIII
48. Vanguard Tt St. Mk Idx Tr	A	Dividend	M	T					See Part VIII
49. 3M Company (MMM)	B	Dividend	L	T	Sold (part)	01/12/18	J	B	
50.					Buy (add'l)	10/15/18	K		
51. AES Corporation (AES)	B	Dividend	K	T	Buy (add'l)	08/14/18	J		

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52.					Sold (part)	11/21/18	K	C	
53. Accelerate Diagnostics, Inc. (AXDX)		None	J	T	Sold (part)	11/01/18	J	A	
54. Activision Blizzard (ATVI)		None	K	T	Buy	10/22/18	K		
55.					Sold (part)	12/20/18	J	A	
56. Adidas Salomon AF ADR (ADDYY)		None	J	T	Buy (add'l)	08/14/18	J		
57. Adobe Systems Inc. (ADBE)		None	K	T	Buy	10/31/18	L		
58. Alibaba Group Hldg Ltd Spon ADR (BABA)		None	J	T	Sold (part)	06/26/18	K	C	
59.					Buy (add'l)	10/22/18	J		
60. Allergan plc. (AGN)	A	Dividend	J	T					
61. Alphabet Inc. Class A (GOOGL)		None	K	T	Sold (part)	03/14/18	J	C	
62. Alphabet Inc. Class C (GOOG)		None	K	T	Sold (part)	03/14/18	J	D	
63.					Buy (add'l)	10/26/18	K		
64. Altria Group Inc (MO)	A	Dividend	J	T					
65. Amazon.com Inc. (AMZN)		None	L	T	Sold (part)	08/23/18	K	D	
66.					Buy (add'l)	10/30/18	K		
67. Amgen Inc. (AMGN)	B	Dividend	K	T	Buy (add'l)	05/07/18	J		
68.					Sold (part)	11/30/18	K	D	

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69. Apple Inc. (AAPL)	A	Dividend	J	T					
70. Archer Daniels Midland (ADM)	A	Dividend	J	T	Sold (part)	08/20/18	J	B	
71.					Buy (add'l)	11/14/18	J		
72. Australia & NZ Bank (ANZBY)	A	Dividend	J	T					
73. Automatic Data Processing Inc. (ADP)	A	Dividend	K	T					
74. BHP Billiton Limited (BHP)	C	Dividend	L	T					
75. Bristol-Myers Squibb Co.	A	Dividend	J	T					
76. CDK Global, Inc. (CDK)	A	Dividend	J	T					
77. CVS Health Corporation (CVS)	A	Dividend	J	T	Buy (add'l)	11/16/18	J		
78.					Sold (part)	12/20/18	J	A	
79. Carrizo Oil & Gas Inc. (CRZO)		None	J	T	Buy	11/13/18	J		
80. Celgene Corp. (CELG)		None	K	T	Buy (add'l)	08/14/18	K		
81. Chevron Corp (CVX)	A	Dividend	K	T	Buy (add'l)	10/26/18	J		
82. Chipotle Mexican Grill (CMG)		None	J	T					
83. Chubb Limited (CB)	A	Dividend	J	T					
84. Church & Dwight Co. (CHD)	A	Dividend	K	T	Buy (add'l)	04/05/18	J		
85.					Sold (part)	11/02/18	K	D	

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86. Coca-Cola Company (KO)	A	Dividend	J	T					
87. Columbia Large Cap Core (NMIMX)		None	L	T					
88. Costco Wholesale Corp (COST)	A	Dividend	J	T					
89. Cree Inc. (CREE)		None	L	T	Sold (part)	03/07/18	J	A	
90. Cross Timbers Royalty (CRT)	B	Dividend	J	T					
91. DFA International Equity (DFIEX)	B	Dividend	K	T	Buy (add'l)	12/17/18	J		
92. DFA US Large Cap (DFLVX)	D	Dividend	L	T	Buy (add'l)	12/18/18	J		
93. Emerson Electric Co. (EMR)	A	Dividend	K	T	Sold (part)	03/07/18	J	A	
94. Energy Transfer Equity (ETE)	A	Dividend			Merged (with line 95)	10/19/18			See Part VIII
95. Energy Transfer LP (ET)	A	Dividend	K	T		10/19/18			See Part VIII
96. Energy Transfer Partners (ETP)	B	Dividend			Merged (with line 95)	10/19/18			See Part VIII
97. Engility Holdings, Inc. (EGL)		None	J	T					
98. Exxon Mobil Corporation (XOM)	A	Dividend	J	T	Sold (part)	12/20/18	J	A	
99. Fidelity National Info Srv (FIS)	A	Dividend	K	T					
100. Garrett Motion Inc. (GTX)		None	J	T	Buy	10/11/18	J		
101. Generac Holdings Inc. (GNRC)		None	K	T	Sold (part)	09/13/18	J	B	
102. General Electric Company (GE)	A	Dividend	J	T	Buy (add'l)	01/10/18	J		

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103. Gentex Corporation (GNTX)	B	Dividend	L	T	Sold (part)	01/11/18	J	A	
104. Honeywell Intl Inc (HON)	A	Dividend	K	T	Buy (add'l)	12/26/18	J		
105. Hortonworks, Inc. (HDP)		None	K	T	Buy (add'l)	10/31/18	K		
106.					Sold (part)	12/31/18	J	A	
107. Hudson Pacific Properties, Inc (HPP)	A	Dividend	J	T					
108. Illumina Inc (ILMN)		None	M	T	Sold (part)	11/02/18	K	D	
109. Intel Corporation (INTC)	B	Dividend	K	T	Sold (part)	03/08/18	K	D	
110. International Flavors&Frag. (IFF)	A	Dividend	J	T					
111. Intuit Inc. (INTU)	A	Dividend	L	T					
112. JD.com, Inc. (JD)		None	J	T	Buy	02/08/18	J		
113. JM Smucker Co. (SJM)	A	Dividend	K	T					
114. Johnson & Johnson (JNJ)	B	Dividend	L	T	Sold (part)	03/08/18	K	D	
115.					Buy (add'l)	12/19/18	K		
116. Juno Therapeutics, Inc. (JUNO)		None			Sold	03/09/18	L	F	
117. Kinder Morgan Inc cl P (KMI)	A	Dividend	J	T					
118. Lockheed Martin Corp. (LMT)	A	Dividend	K	T	Sold (part)	01/29/18	J	A	
119.					Buy (add'l)	12/21/18	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)
120. Lowes Companies Inc. (LOW)	B	Dividend	L	T	Sold (part)	01/23/18	J	C	
121. MPLX LP (MPLX)	C	Dividend	L	T	Sold (part)	01/12/18	J	A	
122.					Buy (add'l)	12/26/18	J		
123. Martin Marietta Materials Inc (MLM)	A	Dividend	J	T					
124. Microsoft Corporation (MSFT)	B	Dividend	M	T	Buy (add'l)	02/06/18	J		
125.					Sold (part)	02/26/18	K	D	
126. Mondelez International Inc. (MDLZ)	A	Dividend	K	T					
127. National Grid PLC Spon ADR (NGG)	C	Dividend	K	T	Sold (part)	12/12/18	J	A	
128. Neogen Corporation NEOG)		None	K	T	Sold (part)	08/22/18	J	C	
129.					Buy (add'l)	10/30/18	K		
130. Netflix Inc. (NFLX)		None	L	T	Buy	11/26/18	L		
131. NextEra Energy, Inc. (NEE)	A	Dividend	J	T	Sold (part)	11/28/18	K	C	
132. Nokia Corp (NOK)	A	Dividend	J	T	Sold (part)	03/08/18	J	B	
133. Norfolk Southern Corp. (NSC)	A	Dividend	K	T					
134. Novartis AG (NVS)	A	Dividend	K	T	Sold (part)	12/26/18	J	A	
135. Novo-Nordisk A/S (NVO)	B	Dividend	K	T	Sold (part)	01/19/18	K	C	
136. Nucor Corporation (NUE)	A	Dividend	J	T	Buy	02/02/18	K		

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)	10/18/18	J	A	
138. Nutrien Ltd. (NTR)	B	Dividend	K	T	Buy	06/25/18	J		
139. Opko Health Inc. (OPK)		None	J	T	Sold (part)	12/12/18	J	A	
140. Oracle Corporation (ORCL)	A	Dividend	K	T	Sold (part)	03/12/18	J	A	
141. Philip Morris Intl (PM)	B	Dividend	K	T	Buy (add'l)	05/04/18	K		
142.					Sold (part)	10/24/18	J	A	
143. Phillips 66 (PSX)	A	Dividend			Sold	04/17/18	J	C	
144. Pioneer Natural Resources (PXD)	A	Dividend	K	T	Sold (part)	04/13/18	J	A	
145.					Buy (add'l)	10/12/18	K		
146. Potash Corp. Saskatch (POT)		None			Merged (with line 138)	01/02/18			See Part VIII
147. Principal Financial Group (PFG)	B	Dividend	K	T					
148. Qualcomm Inc. (QCOM)	C	Dividend	L	T	Sold (part)	08/28/18	K	A	
149.					Buy (add'l)	09/27/18	K		
150. Resideo Technologies, Inc. (REZI)		None	J	T	Buy	11/15/18	J		
151. Roche Holdings Ltd (RHHBY)	B	Dividend	K	T	Sold (part)	11/30/18	J	A	
152. Schwab Bank	A	Interest	L	T					
153. Schwab Money Mkt Fund (SWMXX)	A	Interest	N	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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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. Schwab US Treasury MMF (SWUXX)	A	Interest	N	T					See Part VIII
155. Schwab Value Advantage MMF (SWVXX)	A	Interest	K	T					
156. SPDR Gold Shares ETF (GLD)		None	K	T					
157. Sabine Royalty Trust (SBR)	C	Dividend	L	T	Buy (add'l)	12/16/18	J		
158. Seattle Genetics, Inc. (SGEN)		None	J	T	Sold (part)	08/22/18	K	D	
159. South32 Limited (SOUHY)	A	Dividend	J	T					
160. Square, Inc. Cl A (SQ)		None	K	T	Buy	12/19/18	K		
161. T Rowe Price Group Inc (TROW)	A	Dividend	J	T					
162. Taiwan Semiconductor (TSM)	A	Dividend	K	T	Sold (part)	03/14/18	K	D	
163.					Buy (add'l)	12/28/18	J		
164. Tencent Hlds Ltd ADR (TCEHY)		None	K	T	Buy (add'l)	10/09/18	J		
165.					Sold (part)	12/21/18	J	A	
166. The Kraft Heinz Company (KHC)	A	Dividend	J	T					
167. Ultra Petroleum Corp (UPL)		None			Sold	11/07/18	J	A	
168. Union Pacific Corp. (UNP)	A	Dividend	K	T	Sold (part)	06/27/18	J	C	
169.					Buy (add'l)	12/21/18	J		
170. United Technologies Corp. (UTX)	A	Dividend	J	T	Sold (part)	09/21/18	K	D	

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)
171. Vanguard Growth ETF (VUG)	A	Dividend	J	T	Sold (part)	01/12/18	J	A	
172. Vanguard Mid-Cap ETF (VO)	A	Dividend	K	T	Buy	12/19/18	K		
173. Vanguard Total Mkt ETF (VTI)	A	Dividend	L	T	Sold (part)	08/22/18	M	E	
174.					Buy (add'l)	12/19/18	L		
175. Vanguard Total Stk Mkt Index Fd (VTSMX)	B	Dividend	L	T					
176. W.R. Berkley Corp. (WRB)	B	Dividend	K	T					
177. W.W. Grainger Inc. (GWW)	A	Dividend			Sold	06/26/18	L	E	
178. Walt Disney Company (DIS)	A	Dividend	K	T	Buy (add'l)	08/10/18	J		
179. Williams Companies Inc. (WMB)	A	Dividend	K	T		08/13/18			See Part VIII
180. Williams Partners L.P. (WPZ)	B	Dividend	K	T		08/13/18			See Part VIII
181. Wright Medical Group N.V. (WMGI)		None	J	T					
182.					Sold (part)	11/16/18	J	C	
183. XPO Logistics, Inc. (XPO)		None	K	T	Sold (part)	03/07/18	K	D	
184.					Buy (add'l)	04/09/18	J		
185. Xilinx Inc. (XLNX)	A	Dividend	K	T	Sold (part)	11/30/18	K	D	
186.					Buy (add'l)	12/19/18	J		
187. US Treas Bill due 03/07/19	A	Interest	M	T	Buy	12/07/18	M	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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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)
188.					Sold (part)	12/31/18	K	A	
189. US Treas Bill due 03/14/19	A	Interest	O	T	Buy	12/19/18	O	A	
190.					Sold (part)	12/20/18	K	A	
191. US Treas Bill due 12/13/18	D	Interest			Buy	09/14/18	O		
192.					Sold	12/13/18	O	A	
193. US Treas Bill due 12/26/18	A	Interest			Buy	12/04/18	N		
194.					Sold	12/19/18	N	A	
195. US Treas Bill due 03/22/18	B	Interest			Buy	03/14/18	O		
196.					Sold	03/22/18	O	A	
197. US Treas Bill due 04/19/18	B	Interest			Buy	03/23/18	O		
198.					Sold	04/19/18	O	A	
199. US Treas Bill due 10/18/18	B	Interest			Buy	05/25/18	P1		
200.					Sold	06/15/18	P1	A	
201. US Treas Bill due 10/25/18	A	Interest			Buy	05/31/18	M		
202.					Sold	10/25/18	M	A	
203. US Treasury Note 1.75% due 11/15/20	C	Interest			Buy	10/05/18	N		
204.					Sold	12/12/18	N	A	

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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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)
205. US Treasury Note 2.75% due 04/30/23	B	Interest			Buy	05/14/18	O		
206.					Sold	06/19/18	O	A	

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

1. In Part VII, lines 3 and 4, we list these similarly named assets separately because they are held, separately, as different assets in different accounts managed by different but affiliated former employers of Filer's spouse. The same holds true for the assets listed in lines 5-6, 12-13, 24-25, 40-41, and 45-46.

2. In Part VII, lines 5 and 6, see "1" above and explanation therein.

In Part VII, line 5, NAME CHANGE from BTC US Equity Market (1) to BTC US Equity Index (1).

In Part VII, line 6, NAME CHANGE from BTC US Equity Market (2) to BTC US Equity Index (1).

3. In Part VII, lines 12 and 13, see "1" above and explanation therein.

In Part VII, line 12, NAME CHANGE from FR Fixed Income (Foundation Health) to F.r Fixed Income (Permanente 2) - typographical error.

In Part VII, line 13, NAME CHANGE from FR Fixed Income (Permanente) to F.r Fixed Income (Permanente 1) to clarify two separate funds.

4. In Part VII, line 22, my former law firm, Howard Rice et al. (since merged with Arnold & Porter), 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 16-24 of Part VII represent the Howard Rice partnerships in which I held an equity interest when I left the firm to become a Bankruptcy Judge. In general, I have assigned a nominal value to my interests in these partnerships because, absent a liquidity event, they have little value per se. In the fall of 2018, one of the companies in which the firm had an equity interest that was held in the Howard Rice Investment Fund '09 made a distribution to the firm that was then distributed to the holders of equity interests in the Howard Rice Investment Fund '09. I received a check in the approximate amount of \$956.00 on December 10, 2018. This event notwithstanding, the assets remaining in the Fund, as well as the assets remaining in all of the Howard Rice Investment Funds, remain illiquid, and therefore, in my mind, of uncertain but likely minuscule value, and I have not altered the year-end amount values for any of these investments.

5. In Part VII, lines 24 and 25, see "1" above and explanation therein.

6. In Part VII, line 29, the "Schwab Intellectual Portfolio Account" is an asset that represents a lump sum retirement benefit for Filer's spouse, from a former employer, to which Spouse's rights first vested as of her retirement date of January 2, 2018.

7. In Part VII, line 30, NAME CHANGE from Schwab, Money Market Fund SWMMX to Schwab, Money Market Fund SWMXX - typographical error.

8. In Part VII, lines 40 and 41, see "1" above and explanation therein.

9. In Part VII, lines 45 and 46, see "1" above and explanation therein.

In Part VII, lines 45 and 46, NAME CHANGE from Vanguard Wellington Fund, Inv. (1) and (2), changed to Vanguard Wellington Fund, ADM. (1) and (2), respectively - typographical error.

10. In Part VII, line 47, NAME CHANGE from Vanguard 1st Tt St. Mkt Inx 1st Plus to Vanguard 1st Tt St. Mkt Idx 1st Plus - typographical error.

11. In Part VII, line 48, NAME CHANGE from Vanguard 1st Tt St. Mkt Inx 1st Plus to Vanguard Tt St. Mkt Idx Tr - typographical error.

12. In Part VII, line 94, on 10/18/18, Energy Transfer Partners (ETP) was acquired by Energy Transfer Equity (ETE). Subsequently Energy Transfer Equity (ETE) changed its name and ticker to Energy Transfer LP (ET).

13. In Part VII, line 95, on 10/18/18, Energy Transfer Partners (ETP) was acquired by Energy Transfer Equity (ETE). Subsequently Energy Transfer Equity (ETE) changed its name and ticker to Energy Transfer LP (ET).

14. In Part VII, line 96, on 10/18/18, Energy Transfer Partners (ETP) was acquired by Energy Transfer Equity (ETE). Subsequently Energy Transfer Equity (ETE) changed its name and ticker to Energy Transfer LP (ET).

15. In Part VII, line 146, on 01/02/18, Potash Corp. Saskatch (POT) was acquired by Nutrien Ltd. (NTR).

16. In Part VII, line 179, on 08/13/18, Williams Partners LP (WPZ) was reorganized into Williams Companies Inc. (WMB).

17. In Part VII, line 180, on 08/13/18, Williams Partners LP (WPZ) was reorganized into Williams Companies Inc. (WMB).

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08/07/2019

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544