

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) Duffey, Jr., William S.	2. Court or Organization Northern District of Georgia	3. Date of Report 5/15/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Court - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 1/1/2011 to 12/31/2011
7. Chambers or Office Address 1721 United States Courthouse 75 Spring Street, S.W. Atlanta, GA 30303-3309		
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. Insert signature on last page.		

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.		
2.		
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.		
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.		
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. 2011	Mary Hall Freedom House, Inc. - Salary
2. 2011	Holtzbrink Publishing Holdings, LP - royalties from copyrights
3. 2011	Penguin Group (USA) Inc. - royalties from copyrights
4. 2011	Random House, Inc. - royalties from copyrights
5. 2011	Simon & Schuster - royalties from copyrights
6. 2011	Self-employed writer

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. Chemonics International, Inc.	03/19/2011-03/26/2011	Lviv, Ukraine	Seminar w/ Gov.	Travel
2. USAID	07/04/2011-07/11/2011	Kamianets-Podilski, Ukraine	Seminar	Travel
3. American Conference Institute	10/20/2011-10/23/2011	New York, NY	Professional Organization Meeting	Travel
4.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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-II)	(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-II)	(5) Identity of buyer/seller (if private transaction)
1. Brokerage Account #2									
2. -MS Bank Deposit Program	A	Interest	J	T					
3. -Blackrock Global Allocation C	A	Dividend	L	T					
4.	A	Distribution							
5. -Franklin Mutual Recovery C	B	Dividend	K	T					
6. -Investco Developing Markets C (name change)	A	Distribution	K	T	Sold (part)	11/01/11	J	C	
7. -Investco VK Amer Franchise C (name change)	A	Distribution	K	T					
8. -Investco VK Muni Income C	B	Interest	L	T					
9. IRA #1	D	Dividend	N	T					
10.	B	Interest							
11. -MS Bank Deposit Program									
12. -Wells Fargo Company									
13. -Duke Energy Corp									
14. -Wellpoint Inc									
15. -Dell Inc									
16. -Rio Tinto Finance USA Limited									
17. -General Electric Capital Corp									

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
H = \$1,000,001 - \$5,000,000

D = \$5,001 - \$15,000

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

I12 = 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

P4 = More than \$50,000,000
S = Assessment
W = Estimated

T = Cash Market

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A. Description of Assets (including trust assets)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
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18. -Morgan Stanley									
19. -Comcast Corp New									
20. -Goldman Sachs Group Inc									
21. -Marathon Oil Corp									
22. -Verizon Communications									
23. -Glaxosmithkline Cap Inc									
24. -Kraft Foods Inc									
25. -Tyco International Finan									
26. -AT&T Inc									
27. -Boeing Co									
28. -CVS Caremark Corp									
29. -Indiana Michigan Power									
30. -Altria Group Inc									
31. -Federal National Mtg Assn									
32. -Franklin Income C									
33. -Investco Equal Wgtd S&P 500 C									
34. -AIP ABSLT RTNSTS (name change)									

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H = \$1,000,001 - \$5,000,000

D = \$5,001 - \$15,000

E = \$15,001 - \$50,000

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(See Columns C1 and D3)

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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. -Caterpillar FINL					Sold	12/01/11	J	A	
36. IRA #2	A	Interest	M	T					
37. -MS Bank Deposit Program									
38. -Keyworth Bank									
39. -AIP ABSLT RTNSTS (name change)									
40. Roth IRA #1	A	Dividend	J	T					
41. -Investco VK Corporate Bond C									
42. Roth IRA #2	A	Dividend	J	T					
43. -Investco VK Growth & Income C									
44. NW Mutual Estate CompLife		None	L	T					
45. NW Mutual 65 Life		None			Closed	10/04/11	L		
46. John Hancock		None	L	T	Open	10/04/11	L		
47. K & S Investments	A	Distribution			Distributed	06/30/11	J		
48. C & B Capital I, L.P. *	A	Interest	K	U					
49.	A	Distribution							
50. C & B Capital II, L.P. **	A	Interest	L	U					
51.	D	Distribution							

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(See Columns B1 and D4)

2. Value Codes
(See Columns C1 and D3)

3. Value Method Codes
(See Column C2)

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N = \$250,001 - \$500,000
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U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000
R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000
T = Cash Market

E = \$15,001 - \$50,000

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52.	A	Dividend							
53. Betsy Byars, Inc.		None	M	W					
54. Gold coins		None	K	T					
55. Brokerage Account #1									
56. -MS Bank Deposit Program	A	Interest	J	T					
57. -One GA Bk		None	J	T					
58. -Van Eck Intl Inv Gold FD A	A	Dividend	J	T	Sold (part)	05/31/11	J	D	
59.					Sold (part)	10/04/11	J	B	
60. -Blackrock National Muni C***	A	Dividend							
61. -Wells Fargo NC Tax Free A***	A	Dividend							
62. -Dreyfus Intermediate Numi Bd***	A	Dividend							
63. Brokerage Account #3									
64. -MS Bank Deposit Program	A	Interest	J	T					
65. -Ishares Barclays Tips BD FD	A	Dividend	J	T	Buy (add'l)	05/23/11	J		
66.					Sold (part)	08/25/11	J	A	
67. -Ishares JP Morgan EM Bond Fd	A	Dividend	J	T	Buy	05/23/11	J		
68.					Sold (part)	05/31/11	J	A	

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2. Value Codes
(See Columns C1 and D3)

J = \$15,000 or less

K = \$15,001 - \$50,000

L = \$50,001 - \$100,000

M = \$100,001 - \$250,000

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

R = Cost (Real Estate Only)

P4 = More than \$50,000,000

S = Assessment

3. Value Method Codes
(See Column C2)

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69.					Sold (part)	10/13/11	J	A	
70. -Ishares Russel 2000 Growth Fd	A	Dividend	J	T	Buy	05/23/11	J		
71.					Sold (part)	10/13/11	J	A	
72. -Ishares Russel 2000 Value Fd	A	Dividend	J	T	Buy	05/23/11	J		
73. -Ishares Russel Midcap G In Fd	A	Dividend	J	T	Buy	05/23/11	J		
74.					Buy (add'l)	08/25/11	J		
75.					Sold (part)	05/31/11	J	A	
76. -Ishares Russel Midcap V In Fd	A	Dividend	J	T	Buy	05/23/11	J		
77.					Sold (part)	10/13/11	J	A	
78. -Ishares S&P 500 GRWTH Index	A	Dividend	K	T	Buy (add'l)	05/23/11	J		
79.					Sold (part)	05/31/11	J	B	
80.					Buy (add'l)	08/25/11	J		
81.					Sold (part)	10/13/11	J	A	
82.					Sold (part)	11/22/11	J	A	
83.					Sold (part)	12/23/11	J	A	
84. -Ishares S&P 500 Value Index	A	Dividend	K	T	Buy (add'l)	05/23/11	J		
85.					Sold (part)	05/31/11	J	A	

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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

3. Value Method Codes
(See Column C2)

Q = Appraisal
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86.					Buy (add'l)	08/25/11	J		
87.					Sold (part)	10/13/11	J	A	
88.					Sold (part)	12/22/11	J	A	
89. -Powershares DB Comm Trk Inc.		None	J	T	Buy	05/23/11	J		
90.					Sold (part)	05/31/11	J	A	
91.					Sold (part)	10/13/11	J	A	
92. -SPDR Barclays Capital Internat	A	Dividend	J	T	Buy	05/23/11	J		
93.					Buy (add'l)	10/13/11	J		
94. -SPDR DJ Wilshre Global Rea-	A	Dividend	J	T	Buy	05/23/11	J		
95.					Sold (part)	05/31/11	J	A	
96.					Sold (part)	10/13/11	J	A	
97. -Franklin Fed Intm Trm Txfr Adv (name change)	A	Interest	K	T	Buy	05/23/11	J		
98.					Buy (add'l)	10/13/11	K		
99.					Sold (part)	05/31/11	J	A	
100.					Sold (part)	11/22/11	J	A	
101.					Sold (part)	12/22/11	J	A	
102. -Franklin Hi Yield Tx Fr A	A	Interest	J	T	Buy	05/23/11	J		

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

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O = \$500,001 - \$1,000,000

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H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

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P2 = \$5,000,001 - \$25,000,000

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103.					Buy (add'l)	08/25/11	J		
104.					Sold (part)	05/31/11	J	A	
105.					Sold (part)	10/13/11	J	A	
106. -JP Morgan Hlbrg Stat Mkt Neu A		None	K	T	Buy	05/23/11	K		
107.					Sold (part)	05/31/11	J	A	
108.					Buy (add'l)	10/13/11	J		
109.					Sold (part)	12/22/11	J	A	
110. -Rydex/SGI Managed Fut Str A		None	J	T	Buy	05/23/11	J		
111.					Sold (part)	05/31/11	J	A	
112.					Buy (add'l)	10/13/11	J		
113. -Thornburg Intl Value I	A	Dividend	J	T	Buy	05/23/11	J		
114.					Sold (part)	05/31/11	J	A	
115.					Sold (part)	10/13/11	J	A	
116. -Virtus Insight Emrg. Mkts. I	A	Dividend	K	T	Sold (part)	10/13/11	J	A	
117.	A	Distribution			Sold (part)	12/22/11	J	A	
118. -Ishares S&P Midcap 400 Index	A	Dividend			Sold	05/23/11	J	C	
119. -Nuveen Municipal Value FD INC	A	Interest			Sold	05/23/11	K	A	

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Name of Person Reporting

Duffey, Jr., William S.

Date of Report

5/15/2012

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-I)	(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. -Vanguard EMRG MKTS ETF		None			Sold	05/23/11	J	C	
121. -Vanguard European ETF		None			Sold	05/23/11	J	C	
122. -Vanguard Pacific ETF		None			Sold	05/23/11	J	A	
123. -Vanauard REIT ETF	A	Dividend			Sold	05/23/11	J	C	
124.	A	Distribution							
125. -Blackrock Muniassets FD Inc(name changed in 2011)	A	Interest			Sold	05/23/11	J	A	
126. -Invesco Muni Inc Opp TR III	A	Interest			Sold	05/23/11	J	A	
127. -Ishares Barclays 1-3 Year Cred	A	Dividend			Sold	05/23/11	L	A	
128. -SPDR Trust Series I	A	Dividend			Sold	05/23/11	L	C	
129. -Virtus Insight Emrg. Mkts. A	A	Dividend			Buy	05/23/11	K		
130.	A	Distribution			Sold (part)	05/31/11	J	A	
131.					Sold (part)	08/25/11	J	A	
132.					Sold	10/13/11	J	A	
133. IRA #3	E	Dividend	PI	T					
134.	A	Interest							
135.	B	Distribution							
136. -Morgan Stanley Bank Deposit Program									

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
H = \$1,000,001 - \$5,000,000

D = \$5,001 - \$15,000

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Duffey, Jr., William S.

Date of Report

5/15/2012

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. -Ishares Barclays Tips BD FD					Buy (add'l)	04/04/11	K		
138.					Sold (part)	08/26/11	K	C	
139. -Ishares IBOXX \$ H/V Corp Bnd (name change)					Buy (add'l)	04/04/11	J		
140.					Buy (add'l)	08/26/11	J		
141.					Sold (part)	10/13/11	K	A	
142. -Ishares JP Morgan EM Bond FD					Sold (part)	04/04/11	J	A	
143.					Buy (add'l)	05/17/11	J		
144.					Sold (part)	08/26/11	J	A	
145.					Sold (part)	10/13/11	J	A	
146. -Ishares Russell 2000 Growth FD					Buy	04/04/11	K		
147.					Buy (add'l)	08/26/11	J		
148.					Sold (part)	10/13/11	J	B	
149. -Ishares Russell 2000 Value FD					Buy	04/04/11	K		
150.					Buy (add'l)	08/26/11	J		
151. -Ishares Russell Midcap G In FD					Buy	04/04/11	K		
152.					Buy (add'l)	08/26/11	J		
153.					Sold (part)	10/13/11	J	B	

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H11 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

I12 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Duffey, Jr., William S.

Date of Report

5/15/2012

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. -Ishares Russell Midcap V In FD					Buy	04/04/11	K		
155.					Buy (add'l)	08/26/11	J		
156. -Ishares S&P 500 GRWTH Index					Buy (add'l)	04/04/11	L		
157.					Buy (add'l)	08/26/11	J		
158.					Sold (part)	10/13/11	J	C	
159. -Ishares S&P 500 Value Index					Buy (add'l)	04/04/11	K		
160.					Buy (add'l)	05/17/11	J		
161.					Buy (add'l)	08/26/11	J		
162.					Sold (part)	10/13/11	J	B	
163. -Powershares DB Comm TRK INC					Buy (add'l)	05/17/11	J		
164.					Sold (part)	08/26/11	J	B	
165.					Sold (part)	10/13/11	K	C	
166. -SPDR Barclays Capital Internat.					Buy	04/04/11	K		
167.					Sold (part)	08/26/11	J	A	
168.					Buy (add'l)	10/13/11	K		
169. -SPDR DJ Wilshire Global Rea					Buy	04/04/11	K		
170.					Buy (add'l)	08/26/11	J		

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

I11 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

I12 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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Name of Person Reporting

Duffey, Jr., William S.

Date of Report

5/15/2012

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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171.					Sold (part)	10/13/11	K	A	
172. -Vanguard Total Bond Market					Buy	04/04/11	M		
173.					Sold (part)	05/17/11	J	A	
174.					Sold (part)	08/26/11	J	A	
175.					Buy (add'l)	10/13/11	M		
176. -Government National Mtg. Assn. Pool					Buy	04/04/11	J		
177. -JP Morgan HIBRG Stat Mkt Neu A					Buy (add'l)	04/04/11	K		
178.					Sold (part)	08/26/11	J	A	
179.					Buy (add'l)	10/13/11	J		
180. -RYDEX/SGI Managed Fut Str A					Buy (add'l)	05/17/11	J		
181.					Sold (part)	08/26/11	J	A	
182.					Buy (add'l)	10/13/11	K		
183. -Thornburg Intl Value I Position:2					Buy	04/04/11	L		
184.					Sold (part)	05/17/11	J	A	
185.					Buy (add'l)	08/26/11	J		
186.					Sold (part)	10/13/11	K	A	
187. -Virtus Insight Emrg Mkts I					Buy	04/04/11	L		

1. Income Gain Codes:
(See Columns B1 and D4)

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C = \$2,501 - \$5,000
H = \$1,000,001 - \$5,000,000

D = \$5,001 - \$15,000
I = 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

K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000

M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

3. Value Method Codes
(See Column C2)

P3 = \$25,000,001 - \$50,000,000
Q = Appraisal
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R = Cost (Real Estate Only)
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P4 = More than \$50,000,000
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FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Duffey, Jr., William S.

Date of Report

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188.					Sold (part)	08/26/11	J	A	
189.					Sold (part)	10/13/11	J	A	
190. -GNMA Pool					Sold	12/20/11	J	A	
191. -Ishares Barclays 1-3 YR TSY BD					Sold	04/04/11	K	A	
192. -Ishares IBOXX Invest GR					Sold	04/04/11	M	E	
193. -Ishares MSCI Canada Index FD					Sold	04/04/11	K	D	
194. -Ishares MSCI Japan Index Fund					Sold	04/04/11	K	A	
195. -Ishares MSCI Pac EX-JPN IDX					Sold	04/04/11	K	C	
196. -Ishares S&P Midcap 400 Index					Sold	04/04/11	K	D	
197. -Ishares SP Smallcap 600 Index					Sold	04/04/11	K	D	
198. -Vanguard EMRG MKTS ETF					Sold	04/04/11	M	E	
199. -Vanguard European ETF					Sold	04/04/11	L	D	
200. -Vanguard Intermediate Term BND					Sold	04/04/11	M	B	
201. -Vanguard REIT ETF					Sold	04/04/11	K	E	
202. -Ishares Tr Msci Small Cap					Sold	04/04/11	K	C	
203. One Georgia Bank		None	J	T					

1. Income Gain Codes:
(See Columns B1 and D4)

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F = \$50,001 - \$100,000

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G = \$100,001 - \$1,000,000

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H1 = \$1,000,001 - \$5,000,000

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E = \$15,001 - \$50,000

2. Value Codes
(See Columns C1 and D3)

J = \$15,000 or less
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K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000

H2 = More than \$5,000,000
M = \$100,001 - \$250,000

3. Value Method Codes
(See Column C2)

P3 = \$25,000,001 - \$50,000,000
Q = Appraisal
U = Book Value

R = Cost (Real Estate Only)
V = Other

P4 = More than \$50,000,000
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FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting	Date of Report
Duffey, Jr., William S.	5/15/2012

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

*Ownership interest percentage is 0.208971%. During the reporting period, C&B Capital I, L.P. held interests in the following companies:

- Alimera Sciences, Inc.
- Central Security Group, Inc.
- Focus Receivables Management, Inc
- Global Care, Inc
- Healthcare Solutions, Inc.
- Healthmark Partners, Inc.
- Liaison Technologies, Inc. (acquired nuBridges, Inc.)
- VCG, LLC

**Ownership interest percentage is 0.743396%. During the reporting period, C&B Capital II, L.P. held interests in the following companies:

- Alimera Sciences, Inc.
- All Web Leads, Inc.
- Brand Group Holdings, Inc.
- Brightree, LLC
- Cartera Commerce, Inc.
- Controlscan, Inc.
- FX BridgeTechnologies Incorporated
- Healthcare Solutions, Inc.
- Navitas Lease Finance Corp.
- PMW Technologies, Inc. d/b/a PeopleMatter
- PODS Holding, Inc.
- Prommis Solutions, Inc.
- REACH Health, Inc.
- SnagAJob.com, L.P.
- SG-BPG, LLC/BPG Holdings, LLC
- CBG Holding, Inc.
- The VIP Tour Company, Inc. (d/b/a Tickets Now)

***Interests in Blackcock National Muni C and Wells Fargo NC Tax Free A were sold in 2010, however, the final dividend payment was received in 2011.

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Name of Person Reporting	Date of Report
Duffey, Jr., William S.	5/15/2012

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 S. Duffey, Jr.

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