

UNITED STATES COURT OF APPEALS  
DISTRICT OF COLUMBIA CIRCUIT  
333 CONSTITUTION AVE., N.W.  
WASHINGTON, DC 20001-2886

STEPHEN F. WILLIAMS  
UNITED STATES SENIOR CIRCUIT JUDGE

(202) 216-7210  
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E-MAIL: SFWilliams@  
cadc.uscourts.gov

August 16, 2004

Honorable Mary M. Lisi  
Chairman, Judicial Conference of the United States  
Committee on Financial Disclosure  
One Columbus Circle, N.E.  
Washington, DC 20544

Dear Judge Lisi:

Thank you for your letter of August 5, 2004 pointing out issues with my 2003 financial disclosure report.

1. The individual assets in the trust identified at line 25, page 2 (part VII) are all Vanguard funds and are as follows:

Prime Money Market: Value: M (method T); Income (dividend): A.

Growth Index: Value: K (method T); Income (dividend): A.

500 Index: Value: M (method T); Income (dividend): B.

Mid-Cap Index: Value: L (method T); Income (dividend): A.

Pacific Stock Index: Value: K (method T); Income (dividend): A.

Total International Stock Index: Value: L (method T); Income (dividend): B.

2. Part VII, page 1, line 17: that was indeed a partial sale (redemption).

3. A. The reason that the stocks at lines 24 and 25, page 2, part VII, of the report for 2002 do not appear in the report for 2003 is that the [REDACTED] for whose benefit the assets were held ceased to be a dependent.

B. The reason that the stocks appearing at line 36 of page 2, and lines 39 and 40 of page 3, of the report for 2002 do not appear in the report for 2003 is that I aggregated all the Vanguard funds held in that trust. Above, in this letter, I have disaggregated them.

Sincerely,

  
Stephen P. Williams

# FINANCIAL DISCLOSURE REPORT

Calendar Year 2003

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                   |                                                                                                                                                                                                                             |                                                     |
|---------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------|
| 1. Person Reporting (Last name, First name, Middle initial)<br>Williams, Stephen F                                                                | 2. Court or Organization<br>U.S. Court of Appeals, DC Ci                                                                                                                                                                    | 3. Date of Report<br>5/15/2004                      |
| 4. Title (Article III Judges indicate active or senior status;<br>magistrate judges indicate full- or part-time)<br>Article III Judge, Senior Sta | 5. Report Type (check appropriate type)<br><input type="radio"/> Nomination, <input checked="" type="radio"/> Date<br><input type="radio"/> Initial <input checked="" type="radio"/> Annual <input type="radio"/> Final     | 6. Reporting Period<br>1/1/2003<br>to<br>12/31/2003 |
| 7. Chambers or Office Address<br>U.S. Court of Appeals<br>333 Constitution Avenue, NW<br>Washington, DC 20001                                     | 8. On the basis of the information contained in this Report and any<br>modifications pertaining thereto, it is, in my opinion, in compliance<br>with applicable laws and regulations.<br>Reviewing Officer _____ Date _____ |                                                     |

**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. Sign on last page.

## I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)

☒ **NONE** - (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.

## II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☒ **NONE** - (No reportable agreements.)

DATE

PARTIES AND TERMS

1.

RECEIVED  
MAY 17 4 11:29  
DISCLOSURE OFFICE

**FINANCIAL DISCLOSURE REPORT**

Name of Person Reporting

Williams, Stephen F

Date of Report

5/15/2004

**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>GROSS INCOME</u><br>(Yours, not spouse's) |
|-------------|------------------------|----------------------------------------------|
| 1.          |                        |                                              |
| 2.          |                        |                                              |

**B. Spouse's Non-Investment Income** - (If you were married during any portion of the reporting year, please 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.          | DC Public Library      |

**IV. REIMBURSEMENTS** - transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

☐ **NONE** - (No such reportable reimbursements.)

| <u>SOURCE</u>             | <u>DESCRIPTION</u>                                                                                                     |
|---------------------------|------------------------------------------------------------------------------------------------------------------------|
| 1. University of Colorado | Transportation, food and lodging to participate in Silicon Flatirons Program January 31-February 3 in Boulder Colorado |
| 2. American Law Institute | Transportation, food and lodging to participate in Advisers Meeting in St. Louis September 20-21.                      |
| 3.                        |                                                                                                                        |

# FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Williams, Stephen F

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## V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of instructions.)

☒ **NONE** - (No such reportable gifts.)

| <u>SOURCE</u> | <u>DESCRIPTION</u> | <u>VALUE</u> |
|---------------|--------------------|--------------|
| 1.            |                    |              |

## VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-34 of instructions.)

☒ **NONE** - (No reportable liabilities.)

| <u>CREDITOR</u> | <u>DESCRIPTION</u> | <u>VALUE CODE</u> |
|-----------------|--------------------|-------------------|
| 1.              |                    |                   |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting  
Williams, Stephen F

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## VII. INVESTMENTS and TRUSTS -- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset exempt<br>from prior disclosure | B.<br>Income during<br>reporting period |                                             | C.<br>Gross value at end of<br>reporting period |                                           | D.<br>Transactions during reporting period                |                                |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|---------------------------------------------|-------------------------------------------------|-------------------------------------------|-----------------------------------------------------------|--------------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.<br>div. rent, or<br>int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.<br>buy, sell,<br>margen,<br>redemption) | If not exempt from disclosure  |                                 |                                |                                                                   |
|                                                                                                                             |                                         |                                             |                                                 |                                           |                                                           | (2)<br>Date:<br>Month -<br>Day | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 3<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| <input type="checkbox"/> NONE (No reportable income, assets, or transactions)                                               |                                         |                                             |                                                 |                                           |                                                           |                                |                                 |                                |                                                                   |
| 1. Trust # 1 Chase Manhattan (J.P. Morgan mutual funds) N.I                                                                 | A                                       | Dividend                                    | K                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 2.                                                                                                                          | A                                       | Interest                                    | K                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 3. Dreyfus S&P 500 Fund                                                                                                     | B                                       | Dividend                                    | M                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 4. Dreyfus S&P 500 Fund                                                                                                     | C                                       | Dividend                                    | N                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 5. Fidelity OTC (IRA)                                                                                                       | A                                       | Dividend                                    | L                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 6. Fidelity OTC (IRA)                                                                                                       | A                                       | Dividend                                    | M                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 7. Vanguard Index 500                                                                                                       | C                                       | Dividend                                    | M                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 8. Vanguard Prime MM Fund                                                                                                   | A                                       | Dividend                                    | K                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 9. Vanguard Tax-Mgd Gr.&Inc.                                                                                                | B                                       | Dividend                                    | M                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 10. Vanguard Index 500                                                                                                      | D                                       | Dividend                                    | N                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 11. Vanguard Mid-Cap Index                                                                                                  | C                                       | Dividend                                    | M                                               | T                                         | Buy                                                       | 1/2                            | M                               |                                |                                                                   |
| 12. Vanguard Prime MM Fund                                                                                                  | A                                       | Dividend                                    | J                                               | T                                         | Buy                                                       | 6/19                           | J                               |                                |                                                                   |
| 13. Vanguard Mid-Cap Index                                                                                                  | B                                       | Dividend                                    | M                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 14. 1001 10th St., Boulder, CO                                                                                              | E                                       | Rent                                        | O                                               | W                                         |                                                           |                                |                                 |                                |                                                                   |
| 15. Riggs National Bank                                                                                                     | A                                       | Interest                                    | K                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 16. TIAA CREF Ret. Annuities                                                                                                | D                                       | Interest                                    | O                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 17. Short-Term Inc. Fund                                                                                                    | A                                       | Dividend                                    | J                                               | T                                         | Sold                                                      | 10/6                           | J                               | A                              |                                                                   |
| 18. Nestle                                                                                                                  | A                                       | Dividend                                    | K                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |

|                       |                                                 |                             |                              |                               |                       |
|-----------------------|-------------------------------------------------|-----------------------------|------------------------------|-------------------------------|-----------------------|
| 1. Income/Gain Codes: | A = \$1,000 or less<br>(See Columns B1 and B4)  | B = \$1,001-\$2,500         | C = \$2,501-\$5,000          | D = \$5,001-\$15,000          | E = \$15,001-\$50,000 |
|                       | 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<br>(See Columns C1 and C5) | 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                  |                             | P4 = More than \$50,000,000  |                               |                       |
| 3. Value Method Codes | Q = Appraisal<br>(See Column C2)                | R = Cost (Real Estate Only) | S = Assessment               | T = Cash/Marker               |                       |
|                       | U = Book Value                                  | V = Other                   | W = Estimated                |                               |                       |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting  
Williams, Stephen F

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| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset exempt<br>from prior disclosure | B.<br>Income during<br>reporting period |                                             | C.<br>Gross value at end of<br>reporting period |                                           | D.<br>Transactions during reporting period                |                                |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|---------------------------------------------|-------------------------------------------------|-------------------------------------------|-----------------------------------------------------------|--------------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.<br>div. rent. or<br>int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.<br>buy, sell,<br>merger,<br>redemption) | If not exempt from disclosure  |                                 |                                |                                                                   |
|                                                                                                                             |                                         |                                             |                                                 |                                           |                                                           | (2)<br>Date:<br>Month -<br>Day | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 19. Proctor & Gamble                                                                                                        | A                                       | Dividend                                    | K                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 20. Questar                                                                                                                 | A                                       | Dividend                                    | K                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 21. FleetBoston Financial                                                                                                   | A                                       | Dividend                                    | K                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 22. Schering Plough                                                                                                         | A                                       | Dividend                                    | J                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 23. Trust No. 2, BNY (Hamilton Mutual Funds.) N. 2.                                                                         | A                                       | Dividend                                    | L                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 24. Dreyfuss Int'l MM Fund                                                                                                  | A                                       | Dividend                                    | J                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 25. Trust No. 3. N. 3. (Various Vanguard Funds.)                                                                            | D                                       | Dividend                                    | N                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |

|                                                  |                                |                             |                               |                               |                       |
|--------------------------------------------------|--------------------------------|-----------------------------|-------------------------------|-------------------------------|-----------------------|
| 1. Income/Gain Codes:<br>(See Columns B1 and D4) | 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 |
|                                                  | 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:<br>(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 |                             | P4 = \$More than \$50,000,000 |                               |                       |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal                  | R = Cost (Real Estate Only) | S = Assessment                | T = Cash/Market               |                       |
|                                                  | U = Book Value                 | V = Other                   | W = Estimated                 |                               |                       |

# FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Williams, Stephen F

Date of Report

5/15/2014

## VIII. ADDITIONAL INFORMATION OR EXPLANATIONS

(Indicate part of Report.)

1. This is a trust established by [REDACTED] of which I am a life beneficiary.
2. This is a testamentary trust established by [REDACTED] of which I am the life beneficiary, and has the assets on this line and the next.
3. This is a testamentary trust established by [REDACTED] of which I am the life beneficiary.

# FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

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5/15/2004

## 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. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature



Date

3/12/04

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

### FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure  
Administrative Office of the United States Courts  
Suite 2-301  
One Columbus Circle, N.E.  
Washington, D.C. 20544