

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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

1. Person Reporting (last name, first, middle initial) Duffey, Jr., William S.	2. Court or Organization Northern District of Georgia	3. Date of Report 12/26/2017
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 01/01/2016 to 12/31/2016
7. Chambers or Office Address 1721 United States Courthouse 75 Ted Turner Drive, 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.		

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. Chair of the Board of Directors	Atlanta Track Club
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. 2016	Simon & Schuster - royalties from copyrights
2. 2016	Penguin Group (USA) Inc. - royalties from copyrights
3. 2016	Self-employed writer
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. Duke University School of Law	10/27/2016 - 10/28/2016	Arlington, VA	Non-FJC educational seminar or program	Travel
2.				
3.				
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. Brokerage Account #2 (H)*****									
2. -MS Bank Deposit Program	A	Interest			Closed	11/14/16	K		
3. -Charles Schwab Deposit Accounts	A	Interest	K	T	Open	11/17/16	K		
4. -Blackrock Global Allocation C		None			Sold	12/05/16	L	D	
5. -Franklin Mutual Quest C (formerly Franklin Mutual Recovery C)	C	Dividend	L	T					
6.	B	Distribution							
7. -Invesco VK Amer Franchise C	B	Distribution	K	T					
8. -Invesco Developing Markets C		None			Sold	12/05/16	K	C	
9. -Lord Abbett SHT Duration Inc C	A	Dividend			Sold	12/05/16	K		
10. -Vanguard Dividend Appreciation	A	Dividend	M	T	Buy	12/05/16	M		
11. IRA #1 (H)****									
12. Federal National Mtg Assn Pool 357952	A	Interest	J	T					
13.	A	Distribution							
14. -MS Bank Deposit Program	A	Interest			Closed	11/14/16	J		
15. -Charles Schwab Deposit Accounts	A	Interest	K	T	Open	11/15/16	J		
16. -Goldman Sachs Group Inc	A	Interest			Redeemed	10/03/16	J	A	
17. -Marathon Oil Corp	A	Interest	J	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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	Amount Code I (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. -Verizon Communications	A	Interest	J	T					
19. -Glaxosmithkline Cap Inc	A	Interest	J	T					
20. -Mondelz International	A	Interest	J	T					
21. -AT&T Inc	A	Interest	J	T					
22. -Boeing Co	A	Interest	J	T					
23. -CVS Caremark Corp	A	Interest			Redeemed	04/21/16	J	A	
24. -Indiana Michigan Power	A	Interest	J	T					
25. -Altria Group Inc	A	Interest	J	T					
26. -Barrick North America Finance LLC	A	Interest	J	T					
27. -Metlife Inc	A	Interest	J	T	Buy	05/03/16	J		
28. -Franklin Income C	D	Dividend			Sold	12/05/16	M	E	
29. -Invesco Equal Wghtd S&P 500 C		None			Sold	12/05/16	M	F	
30. -JPMorgan Total Return FD	A	Dividend	L	T	Buy	12/22/16	K		
31. -DFA US Core Eqty 1 Port Instl	A	Dividend	M	T	Buy	12/05/16	M		
32.	A	Distribution							
33. -Vanguard Div Growth FD Investor	B	Dividend	M	T	Buy	12/05/16	L		
34.	A	Distribution							

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P1 = \$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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	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35. -AIP ABSLT RTNSTS (Y)****									
36. IRA #4 (H)****									
37. -AIP ABSLT RTNSTS****		None	M	T	Spinoff (from line 35)	11/15/16	M		
38. IRA #2 (H)*****									
39. -MS Bank Dep Program	A	Interest			Closed	11/15/16	J		
40. -Renasant Corp (formerly Keyworth Bank) (Y)*****									
41. -AIP ABSLT RTNSTS		None	M	T					
42. Roth IRA #1 (H)*****									
43. -Invesco Growth & Income C	A	Dividend			Sold	11/22/16	J	B	
44. -Ishares Core Dividend	A	Dividend	J	T	Buy	11/22/16	J		
45. Roth IRA #2 (H)*****									
46. -Invesco VK Growth & Income C	A	Dividend			Sold	11/22/16	J	A	
47. -Ishares Core Dividend	A	Dividend	J	T	Buy	11/22/16	J		
48. Brokerage Account #1 (H)*****									
49. -MS Bank Deposit Program	A	Interest			Closed	11/17/16	K		
50. -Charles Schwab Deposit Accounts	A	Interest	L	T	Open	11/17/16	L		
51. -One GA Bk (Y)									

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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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52. -Q2 Hldgs Inc		None			Donated				
53. -Thornburg Inv Inc Builder C	B	Dividend			Sold	12/05/16	L	A	
54. -MS Bank Deposit Program	A	Interest			Closed	11/17/16	J		
55. -IShares MSCI EAFE ETF		None			Sold	02/03/16	J		
56. -Ishares Russel 2000 Growth Fd		None			Sold	02/01/16	J	A	
57. -Ishares Russel 2000 Value Fd		None			Sold	02/01/16	J	A	
58. -Ishares Russel Midcap G In Fd	A	Dividend	J	T					
59. -Ishares Russel Midcap V In Fd	A	Dividend	L	T	Buy (add'l)	12/05/16	L		
60. -Ishares S&P 500 GRWTH Index	A	Dividend	K	T					
61. -Ishares S&P 500 Value Index	A	Dividend	K	T					
62. -American Tax-Exempt BD FD F2	A	Interest			Sold	12/05/16	J		
63. -Blackstone Alt Multi-Strat Inst		None			Sold	12/05/16	J	A	
64. -Franklin Fed Intm Trm Txfr Adv	A	Dividend			Sold	12/05/16	J		
65. -MFS International Value I		None			Sold	12/05/16	K	A	
66. -MFS Municipal LTD Maturity	A	Int./Div.			Sold	12/05/16	J		
67. -Oakmark International I		None			Buy (add'l)	02/03/16	J		
68.					Sold	11/23/16	K	B	

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(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		
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69. -Tortise MLP & Pipeline Inst	A	Dividend	J	T					
70. Vanguard Total Stock Market	A	Dividend	L	T	Buy	11/23/16	K		
71. -Virtus Insight Emrg. Mkts. I		None			Sold	12/05/16	J		
72. IRA #3 (H)*****									
73. -Morgan Stanley Bank Deposit Program	A	Interest			Closed	11/15/16	J		
74. -Charles Schwab Deposit Accounts	A	Interest	L	T	Open	11/16/16	J		
75. -Ishares Russell 2000 Growth FD		None			Sold	02/01/16	K	D	
76. -Ishares Russell 2000 Value FD		None			Sold	02/01/16	K	B	
77. -Ishares Russell Midcap G In FD	A	Dividend			Sold	12/05/16	L	E	
78. -Ishares Russell Midcap V In FD	B	Dividend							
79. -Ishares S&P 500 GRWTH Index	C	Dividend			Sold (part)	12/05/16	L	E	
80. -Ishares S&P 500 Value Index	C	Dividend			Buy (add'l)	02/01/16	K		
81.					Sold	12/05/16	M	F	
82. -Blackstone Alt Multi-Strat Inst		None			Sold	12/05/16	L	A	
83. -John Hancock Invmt Grd BD I (Y)*****									
84. -Lord Abbett SHT Duration Inc F	C	Dividend			Sold	12/05/16	L		
85. -Metropolitan West tot Ret Bd I	B	Dividend			Sold	12/05/16	L		

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(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		
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(See Column C2)	U –Book Value	V –Other	W –Estimated		

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	(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)
86. -MFS International Value I		None			Sold	12/05/16	M	B	
87. -Oakmark Internatl I	B	Dividend			Sold	12/05/16	M		
88. -Tortise MLP & Pipeline Inst	A	Dividend			Sold	12/05/16	L		
89. -Virtus Insight Emrg Mkts I		None			Sold	12/05/16	L		
90. -Renasant Corp (formerly Keyworth Bank)	B	Dividend	L	T	Spinoff (from line 40)	11/16/16	L		
91. -Baird Aggregate Bond		None	L	T	Buy	12/28/16	K		
92. -Doubleline Total Return Bond	A	Dividend	M	T	Buy	12/22/16	M		
93. -Pimco Income Inst C1	A	Dividend	L	T	Buy	12/22/16	L		
94. -First Eagle Overseas Fund C1 I	B	Dividend	M	T	Buy	12/05/16	M		
95.	C	Distribution							
96. -Matthews Asia Dividend Fund	A	Dividend	L	T	Buy	12/05/16	L		
97.	A	Distribution							
98. -Tweedy Browne Global Value Fund	A	Dividend	L	T	Buy	12/05/16	K		
99.	A	Distribution							
100. -Vanguard Div Growth Fd Investor	B	Dividend	M	T	Buy	12/05/16	L		
101.	A	Distribution							
102. -Boston Partners Long Short Eq		None	L	T	Buy	12/22/16	L		

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3. Value Method Codes (See Column C2)					

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103. -FPA Crescent Fund Inst Cl		None	L	T	Buy	12/22/16	L		
104. -UBS E TRACS Alerian MLP		None	M	T	Buy	12/05/16	L		
105. -Vanguard Dividend Appreciation	A	Dividend	M	T	Buy	12/05/16	M		
106. IRA #5 (H)*****									
107. -John Hancock Invmt Grd BD I *****	B	Dividend	L	T	Spinoff (from line 83)	11/16/16	L		
108. NW Mutual Estate CompLife		None	M	T					
109. John Hancock Life Insurance		None	L	T					
110. C & B Capital II, L.P. *	A	Interest	K	U					
111.	E	Distribution							
112. CB Liquidating **	C	Distribution	J	U					
113. C & B Capital III, L.P. ***		None	J	U					
114. Betsy Byars, Inc.	B	Royalty	J	W					
115.	C	Dividend							
116. Gold coins		None	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	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	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	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	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

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

Part VII. Investments and Trusts

*Ownership interest percentage is 0.594717%. During the reporting period, C&B Capital II, L.P. held interests in the following companies:

- BPG Holdings, LLC (Escrow)
- Brand Group Holdings, Inc.
- Brightree, LLC
- Cartera Commerce, Inc.
- Controlscan, Inc.
- Healthcare Solutions, Inc. (Escrow)
- Navitas Lease Finance Corp.
- PMW Technologies, Inc. d/b/a PeopleMatter
- REACH Health, Inc.
- SnagAJob.com, Inc.
- CB Network Holdings, Inc. d/b/a cbanc Network
- Computex Technology Solutions, Inc.
- SAJ Shift Corp

**Ownership interest percentage is 0.261214%. During the reporting period, C&B Liquidating, LLC. held interests in the following companies:

- Global Care, Inc
- Liaison Technologies, Inc.

***Ownership interest percentage is 0.740502%. During the reporting period, C&B Capital III, L.P. held interests in the following companies:

- Brand Group Holdings, Inc.
- Capital Confirmation, Inc.

****All investments in IRA #1 were transferred to a new brokerage firm in November except for AIP ABSLT RTNSTS which remained with the prior Brokerage Firm. IRA #4 was added to account for this investment being held in a seperate account.

***** Brokerage Account #1 combined with Brokerage Account #3 when the accounts were transferred in their entirety to a new brokerage firm in November. The combined accounts are labeled Brokerage Account #1 and the prior header of Brokerage Account #3 has been deleted.

*****IRA #3 transferred to a new brokerage firm in November except for John Hancock Invmt Grd BD I, which remained with the prior brokerage firm. IRA #5 has been added to account for this investment which remains in a seperate brokerage account.

*****IRA #2 transferred all of its investments except for AIP ABSLT RTNSTS to IRA #3 in November which is held in new brokerage firm.

***** (Brokerage Accounts were transferred to a new brokerage firm in November 2016. Accounts transferring entirely with no change in assets were Brokerage #2, Roth IRA #1, and Roth IRA #2)

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ William 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
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Washington, D.C. 20544