

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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 05/07/2013
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 1/1/2012 to 12/31/2012
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.		

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

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.		
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*

DATE	SOURCE AND TYPE
1. 2012	Holtzbrink Publishing Holdings, LP - royalties from copyrights
2. 2012	Penguin Group (USA) Inc. - royalties from copyrights
3. 2012	Atlanta Christian Academy - speaking fees
4. 2012	Jackson Elementary - speaking fees
5. 2012	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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. Chemonics International, Inc.	11/11/2012 - 11/15/2012	Kyiv, Ukraine	Seminar w/ Gov.	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) 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. Brokerage Account #2 (H)									
2. -MS Bank Deposit Program	A	Interest	K	T					
3. -Blackrock Global Allocation C	A	Dividend	L	T	Sold (part)	12/04/12	J	C	
4. -Franklin Mutual Recovery C	A	Dividend	K	T					
5. -Invesco VK Amer Franchise C			K	T					
6. -Invesco Developing Markets C			K	T					
7. -Investco VK Muni Income C	B	Dividend	K	T	Sold (part)	03/28/12	J	A	
8.					Sold (part)	12/04/12	J	A	
9. IRA #1	D	Dividend	N	T					
10.	B	Interest							
11.	B	Distribution							
12. -MS Bank Deposit Program									
13. -Wells Fargo Company									
14. -Duke Energy Corp									
15. -Wellpoint Inc									
16. -Dell Inc									
17. -Rio Tinto Finance USA Limited									

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

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18. -General Electric Capital Corp									
19. -Morgan Stanley									
20. -Comcast Corp New									
21. -Goldman Sachs Group Inc									
22. -Marathon Oil Corp									
23. -Verizon Communications									
24. -Glaxosmithkline Cap Inc									
25. -Kraft Foods Inc									
26. -Tyco International Finan									
27. -AT&T Inc									
28. -Boeing Co									
29. -CVS Caremark Corp									
30. -Indiana Michigan Power									
31. -Altria Group Inc									
32. -Federal National Mtg Assn									
33. -Franklin Income C									
34. -Invesco Equal Wgght S&P 500 C					Buy (add'l)	04/02/12	J		

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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	
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35. -AIP ABSLT RTNSTS									
36. IRA #2	A	Interest	M	T					
37. -MS Bank Dep Program(Y)									
38. -Keyworth Bank									
39. -AIP ABSLT RTNSTS									
40. Roth IRA #1	A	Dividend	J	T					
41. -Invesco VK Corporate Bond C									
42. Roth IRA #2	A	Dividend	J	T					
43. -Invesco VK Growth & Income C									
44. Brokerage Account #1 (H)									
45. -MS Bank Deposit Program	A	Interest	J	T					
46. -One GA Bk		None	J	T					
47. -Van Eck Intl Inv Gold FD A	A	Distribution	J	T	Sold (part)	11/05/12	J	A	
48. Brokerage Account #3 (H)									
49. -MS Bank Deposit Program	A	Interest	J	T					
50. -Alerian Mlp Etf	A	Dividend	J	T	Buy	03/28/12	J		
51. -Barcap Etm-Ipath Dow Jones-AIG Commodity Tot		None	J	T	Buy	09/20/12	J		

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52. -Ishares Russel 2000 Growth Fd	A	Dividend	J	T					
53. -Ishares Russel 2000 Value Fd	A	Dividend	J	T					
54. -Ishares Russel Midcap G In Fd	A	Dividend	J	T	Sold (part)	03/28/12	J		
55. -Ishares Russel Midcap V In Fd	A	Dividend	J	T					
56. -Ishares S&P 500 GRWTH Index	A	Dividend	K	T	Sold (part)	03/28/12	J	B	
57.					Sold (part)	09/20/12	J	A	
58. -Ishares S&P 500 Value Index	A	Dividend	K	T	Sold (part)	03/28/12	J	C	
59.					Buy (add'l)	09/20/12	J		
60. -SPDR DJ Wilshre Global Rea-	A	Dividend	J	T	Buy (add'l)	09/20/12	J		
61. -Dreyfus Intl Bond I	A	Dividend	K	T	Buy	03/28/12	J		
62.					Buy (add'l)	09/20/12	K		
63. -Eaton Vance GLB Micro Abs Reti	A	Dividend	K	T	Buy	03/28/12	J		
64.					Buy (add'l)	09/20/12	J		
65. -Franklin Fed Intm Trm Txfr Adv	B	Dividend	K	T	Sold (part)	03/28/12	J	A	
66.					Sold (part)	09/20/12	J	A	
67. -Thornburg Intl Value I	A	Dividend	J	T	Buy (add'l)	09/20/12	J		
68. -Virtus Insight Emrg. Mkts. I	A	Dividend	K	T	Sold (part)	03/28/12	J	A	

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69.	A	Distribution							
70. -Guggenheim Mngd. Futrs. Strath (X)	A	Dividend			Sold	09/20/12	J	A	
71. -Ishares Barclays Tips BD FD	A	Dividend			Sold	09/20/12	J	A	
72. -Ishares JP Morgan EM Bond Fd		None			Sold	09/20/12	J	A	
73. -Powershares DB Comm Trk Inc.	A	Interest			Sold	09/20/12	J	A	
74. -SPDR Barclays Capital Internat	A	Dividend			Sold	09/20/12	J	A	
75. -Franklin Hi Yield Tx Fr A	A	Dividend			Sold	09/20/12	J	A	
76. -JP Morgan Hibrg Stat Mkt Neu A		None			Sold	02/28/12	K	A	
77. -Rydex/SGI Managed Fut Str A (Y)									
78. IRA #3	E	Dividend	P1	T					
79.	A	Interest							
80.	B	Distribution							
81. -Morgan Stanley Bank Deposit Program									
82. -Alerian MLP EFT					Buy	03/28/12	L		
83.					Buy (add'l)	09/20/12	J		
84. -Barcap ETN-IPATH Dow Jones-AIG Commodity Tot					Buy	09/20/12	K		
85. -Ishares Russell 2000 Growth FD					Sold (part)	03/28/12	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 \$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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86.					Buy (add'l)	09/20/12	J		
87. -Ishares Russell 2000 Value FD					Sold (part)	03/28/12	J	A	
88. -Ishares Russell Midcap G In FD					Buy (add'l)	03/28/12	K		
89.					Buy (add'l)	09/20/12	J		
90. -Ishares Russell Midcap V In FD					Sold (part)	03/28/12	J	A	
91. -Ishares S&P 500 GRWTH Index					Buy (add'l)	03/28/12	K		
92.					Sold (part)	09/20/12	J	B	
93. -Ishares S&P 500 Value Index					Sold (part)	03/28/12	L	D	
94.					Buy (add'l)	09/20/12	L		
95. -SPDR DJ Wilshire Global Rea					Buy (add'l)	03/28/12	J		
96.					Buy (add'l)	09/20/12	K		
97. -Government National Mtg. Assn. Pool (Y)									
98. -Dreyfus Intl Bond I					Buy	03/28/12	L		
99.					Buy (add'l)	09/20/12	M		
100. -Eaton Vance GLB Mcro Abs Reti					Buy	03/28/12	L		
101.					Buy (add'l)	09/20/12	K		
102. -Metropolitan West tot Ret Bd I					Buy	09/20/12	M		

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103. -Thornburg Intl Value I Position:2					Buy (add'l)	03/28/12	J		
104.					Buy (add'l)	09/20/12	K		
105. -Virtus Insight Emrg Mkts I					Buy (add'l)	03/28/12	K		
106.					Buy (add'l)	09/20/12	J		
107. -Guggenheim Mngd Futrs Strat H					Buy	03/28/12	J		
108.					Sold	09/20/12	L		
109. -Ishares Barclays Tips BD FD					Buy (add'l)	03/28/12	J		
110.					Sold	09/20/12	K	B	
111. -Ishares IBOX \$ H/V Corp Bnd					Buy (add'l)	03/28/12	J		
112.					Sold	09/20/12	K	B	
113. -Ishares JP Morgan EM Bond FD					Buy (add'l)	03/28/12	J		
114.					Sold	09/20/12	K	D	
115. -Powershares DB Comm TRK INC					Buy (add'l)	03/28/12	J		
116.					Sold	09/20/12	J	B	
117. -SPDR Barclays Capital Internat.					Sold (part)	03/28/12	K	A	
118.					Sold	09/20/12	L	A	
119. -Vanguard Total Bond Market					Sold (part)	03/28/12	L	C	

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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.					Sold	09/20/12	M	D	
121. -JP Morgan HIBRG Stat Mkt Neu A					Sold	03/28/12	M	A	
122. -RYDEX/SGI Managed Fut Str A (Y)									
123. NW Mutual Estate CompLife		None	L	T					
124. John Hancock		None	L	T					
125. C & B Capital I, L.P. *	C	Distribution	K	U					
126. C & B Capital II, L.P. **	B	Interest	M	U					
127.	A	Dividend							
128. Betsy Byars, Inc.		None	M	W					
129. Gold coins		None	K	T					
130. One Georgia Bank (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 \$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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Name of Person Reporting

Duffey, Jr., William S.

Date of Report

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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.
- Focus Receivables Management, Inc
- Global Care, Inc
- Healthcare Solutions, Inc.
- Liaison Technologies, Inc. (acquired nuBridges, Inc.)

**Ownership interest percentage is 0.690685%. During the reporting period, C&B Capital II, L.P. held interests in the following companies:

- Alimera Sciences, Inc.
- Brand Group Holdings, Inc.
- Brightree, LLC
- Cartera Commerce, Inc.
- Controlscan, Inc.
- Healthcare Solutions, Inc.
- Navitas Lease Finance Corp.
- PMW Technologies, Inc. d/b/a PeopleMatter
- PODS Holding, Inc.
- REACH Health, Inc.
- SnagAJob.com, Inc.
- SG-BPG, LLC/BPG Holdings, LLC
- CBG Holding, Inc.
- Stratos Management Systems Holding LLC

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Name of Person Reporting

Duffey, Jr., William S.

Date of Report

05/07/2013

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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