

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 10/22/2021
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 01/01/2019 to 12/31/2019
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.	
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. Certified Bankruptcy Assistant Program Professional Skills Seminar (ABJA)	October 10-11, 2019	Spokane, WA	Presenter at Conference	Two Nights Hotel, Meals
2. 44th Annual United Trustees Association Conference	November 11, 2019	Las Vegas, NV	Presenter at Conference	One Night Hotel, Meal
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.)

SOURCE	DESCRIPTION	VALUE
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.)

CREDITOR	DESCRIPTION	VALUE 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. Ally Bank	A	Interest	M	T					
2. Barclays Bank	A	Interest	N	T					
3. BTC Life Path 2020 F (1)	A	Dividend	K	T					
4. BTC US Debt Index F	A	Dividend	K	T	Buy	10/19/19	K		
5. BTC US Equity Index (1)	A	Dividend	M	T					
6. BTC US Equity Index (2)	A	Dividend	K	T					
7. Viacom CBS	A	Dividend	J	T					See Part VIII
8. Charles Schwab Bank, Deposit Account (1)	A	Interest	L	T					
9. Charles Schwab Bank Deposit Account (2)	A	Interest	K	T					
10. Dreyfus Appreciation Fund (IRA) CS	A	Dividend			Sold	09/18/19	K		
11. Dreyfus Growth & Income Mutual Fund	A	Int./Div.			Sold	10/01/19	J		
12. F.r Fixed Income (Permanente 2)	A	Dividend	K	T					
13. F.r Fixed Income (Permanente 1)	A	Dividend	M	T					
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 =\$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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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)		None	J	U					
23. KP Interest Income Fund	B	Dividend	K	T					
24. NT International Fd (1)	A	Dividend	L	T					
25. NT International Fd (2)	A	Dividend	K	T					
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 Intelligent Portfolios	A	Dividend	M	T					See Part VIII
30. CHARLES SCHWAB US REIT (SCHH)	A	Dividend	K	T					See Part VIII
31. ISHARES GOLD ETF (IAU)	A	Dividend	K	T					See Part VIII
32. SCHWAB EMERGING MARKETS (SCHE)	A	Dividend	K	T					See Part VIII
33. SCHWAB FUNDA EMG MKTS (FNDE)	B	Dividend	K	T					See Part VIII
34. SCHWAB FUNDAMENTAL INL (FNDF)	B	Dividend	L	T					See Part VIII

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35. SCHWAB FUNDAMENTAL INTL (FNDC)	B	Dividend	K	T					See Part VIII
36. SCHWAB FUNDAMENTAL US (FNDX)	B	Dividend	M	T					See Part VIII
37. SCHWAB FUNDAMENTAL US (FNDA)	A	Dividend	L	T					See Part VIII
38. SCHWAB INTERMEDIATE TERM (SCHR)	C	Dividend	L	T					See Part VIII
39. SCHWAB INTERNATIONAL (SCHF)	B	Dividend	K	T					See Part VIII
40. SCHWAB INTERNATIONAL SMALL (SCHC)	A	Dividend	K	T					See Part VIII
41. SCHWAB US LARGE CAP ETF (SCHX)	B	Dividend	L	T					See Part VIII
42. SCHWAB US SMALL CAP ETF (SCHA)	B	Dividend	K	T					See Part VIII
43. SCHWAB US TIPS ETF (SCHP)	B	Dividend	L	T					See Part VIII
44. SPDR PORTFOLIO (SPIB)	A	Dividend	J	T					See Part VIII
45. VANECK VECTORS J.P. (EMLC)	B	Dividend	K	T					See Part VIII
46. VANGUARD GLBAL EX US (VNQ1)	B	Dividend	K	T					See Part VIII
47. VANGUARD MORTGAGE BACKED (VMBS)	B	Dividend	L	T					See Part VIII
48. XTRACKERS USD HIGH YLD (HYLB)	C	Dividend	K	T					See Part VIII
49. Schwab (S&P 500 Index), SWPPX	B	Dividend	L	T					
50. Schwab SCHG	B	Dividend	K	T					
51. Schwab SWVXX	A	Dividend	K	T	Sold (part)	12/19/19	K		

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52. Schwab, Vanguard Total Intl Stock Index Fund, VTIA (IRA)	A	Dividend	J	T					See Part VIII
53. Schwab, Vanguard Total Stock Market Index Fund, VTSAX (IRA)	A	Dividend	K	T					See Part VIII
54. TPMG Aggressive Fund (1)	A	Dividend	K	T					
55. TPMG Conservative Fund (2)	A	Dividend	J	T					
56. TPMG Agressive Fund (2)	A	Dividend	J	T					
57. TRP Cap Preservation	A	Dividend	J	T	Buy	01/15/19	J		
58. Vanguard PrimeCap Fund ADM (2)	A	Dividend	O	T					
59. Vanguard Stable Income Fund	D	Dividend	M	T					
60. Vanguard Total Bond Mkt 1x Tr	A	Dividend	K	T					
61. Vanguard Total Bond Mkt 1x 1st Plus	A	Dividend	L	T					
62. Vanguard Wellington Fund, ADM (1)	A	Dividend	L	T					
63. Vanguard Wellington Fund, ADM (2)	A	Dividend	N	T					
64. Vanguard 1st Tt St. Mk Idx 1st Plus	A	Dividend	N	T					
65. Vanguard Tt St. Mkt Idx Tr	A	Dividend	N	T					
66. 3M Company (MMM)	B	Dividend	L	T	Sold (part)	01/29/19	J	B	
67.					Buy (add'l)	12/03/19	K		
68. AES Corporation (AES)	A	Dividend	K	T	Buy (add'l)	10/08/19	J		

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69.					Sold (part)	11/26/19	K	D	
70. Accelerate Diagnostics, Inc. (AXDX)		None	K	T	Buy (add'l)	11/26/19	K		
71.					Sold (part)	02/01/19	J	A	
72. Activision Blizzard (ATVI)		None	K	T					
73. Adidas Salomon AF ADR (ADDYY)		None			Sold	09/10/19	K	C	
74. Adobe Systems Inc. (ADBE)		None	L	T	Sold (part)	04/15/19	K	A	
75.					Buy (add'l)	10/04/19	J		
76. Alcon, Inc. (ALC)		None	J	T	Spinoff (from line 164)	04/08/19	J		
77. Alibaba Group Hldg Ltd Spon ADR (BABA)		None	K	T					
78. Allergan plc. (AGN)	A	Dividend	J	T					
79. Alphabet Inc. Class A (GOOGL)		None	K	T	Sold (part)	07/30/19	J	D	
80. Alphabet Inc. Class C (GOOG)		None			Sold	11/19/19	K	D	
81. Altria Group Inc. (MO)	A	Dividend	J	T					
82. Amazon.com Inc. (AMZN)		None	K	T	Sold (part)	03/22/19	K	B	
83. Amgen Inc. (AMGN)	B	Dividend	K	T	Sold (part)	11/22/19	K	D	
84. Apple Inc. (AAPL)	A	Dividend	J	T					
85. Archer Daniels Midland (ADM)	A	Dividend	K	T	Buy (add'l)	08/16/19	K		

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86. Australia & NZ Bank (ANZBY)	A	Dividend	J	T					
87. Automatic Data Processing Inc. (ADP)	A	Dividend	J	T	Sold (part)	08/02/19	K	D	
88. BHP Billiton Limited (BHP)	C	Dividend	K	T	Sold (part)	07/02/19	K	D	
89. BNY Mellon Growth & Income Fund	C	Dividend	J	T					See Part VIII
90. Boeing Company (BA)	A	Dividend	J	T	Buy	10/29/19	K		
91.					Sold (part)	03/01/19	J	B	
92. Bristol-Myers Squibb Co.	A	Dividend	K	T					See Part VIII
93. Bristol-Myers Squibb Co. RIGHTS		None	J	T					See Part VIII
94. Broadcom Limited (AVGO)	A	Dividend	K	T	Buy	12/30/19	K		
95.					Sold (part)	03/07/19	J	A	
96. CDK Global, Inc. (CDK)	A	Dividend	J	T					
97. CVS Health Corporation (CVS)	A	Dividend	J	T					
98. Callon Petroleum (CPE)		None	K	T					See Part VIII
99. Carrizo Oil & Gas Inc. (CRZO)		None	J	T	Buy (add'l)	07/31/19	K		See Part VIII
100.					Sold (part)	12/16/19	J	A	
101. Celgene Corp. (CELG)		None			Buy (add'l)	01/07/19	K		See Part VIII
102.					Sold	11/01/19	J	A	

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103. Chevron Corp. (CVX)	A	Dividend	K	T	Sold (part)	04/09/19	J	A	
104.					Buy (add'l)	04/26/19	J		
105. Chipotle Mexican Grill (CMG)		None			Sold	03/28/19	K	A	
106. Chubb Limited (CB)	A	Dividend	J	T					
107. Church & Dwight Co. (CHD)	A	Dividend	K	T	Sold (part)	08/30/19	K	E	
108. Cloudera Inc. (CLDR)		None	K	T	Buy	12/06/19	J		
109.					Sold (part)	07/16/19	J	A	
110. Coca-Cola Company (KO)	A	Dividend	J	T					
111. Columbia Large Cap Core (NMIMX)		None	L	T					
112. Costco Wholesale Corp (COST)	A	Dividend			Sold	09/20/19	J	D	
113. Cree Inc. (CREE)		None	K	T	Sold (part)	04/24/19	L	E	
114. Cross Timbers Royalty (CRT)	A	Dividend	J	T					
115. DFA International Equity (DFIEX)	B	Dividend	L	T	Buy (add'l)	12/16/19	J		
116. DFA US Large Cap (DFLVX)	C	Dividend	M	T	Buy (add'l)	12/17/19	J		
117. Emerson Electric Co. (EMR)	A	Dividend	K	T	Sold (part)	11/01/19	J	A	
118. Energy Transfer Equity (ETE)	B	Dividend	K	T					
119. Engility Holdings, Inc. (EGL)		None			Merged (with line 180)	01/14/19	J		

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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Name of Person Reporting

Lafferty, William J.

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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. EverQuote Inc. (EVER)		None	J	T	Buy	04/08/19	J		
121.					Sold (part)	12/05/19	K	D	
122. Exxon Mobil Corporation (XOM)	A	Dividend			Sold	04/09/19	J	B	
123. Fidelity National Info Srv (FIS)	A	Dividend	K	T	Sold (part)	11/01/19	J	C	
124. Garrett Motion Inc. (GTX)		None	K	T	Buy (add'l)	12/10/19	K		
125. Generac Holdings Inc. (GNRC)		None			Sold	10/07/19	L	E	
126. General Electric Company (GE)	A	Dividend	J	T	Sold (part)	01/29/19	J	A	
127. Gentex Corporation (GNTX)	A	Dividend	K	T	Sold (part)	09/17/19	K	D	
128. Gilead Sciences Inc. (GILD)	A	Dividend	J	T	Buy	02/08/19	J		
129. Honeywell Intl Inc (HON)	A	Dividend	K	T	Buy (add'l)	08/19/19	K		
130.					Sold (part)	04/29/19	J	B	
131. Hortonworks, Inc. (HDP)		None			Sold	01/03/19	J	A	
132. Hudson Pacific Properties, Inc (HPP)	A	Dividend			Sold	11/08/19	J	B	
133. Illumina Inc (ILMN)		None	M	T	Sold (part)	07/05/19	K	E	
134. Intel Corporation (INTC)	A	Dividend	K	T	Sold (part)	10/31/19	K	E	
135.					Buy (add'l)	12/05/19	J		
136. International Flavors&Frag. (IFF)	A	Dividend	J	T					

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	
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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.)

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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)	(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)
137. Intuit Inc. (INTU)	A	Dividend	L	T	Sold (part)	03/22/19	J	D	
138. JD.com, Inc. (JD)		None			Sold	03/05/19	J	A	
139. JM Smucker Co. (SJM)	A	Dividend	K	T	Buy (add'l)	12/30/19	J		
140. Johnson & Johnson (JNJ)	B	Dividend	L	T	Sold (part)	04/02/19	K	A	
141.					Buy (add'l)	01/24/19	J		
142. Keysight Technologies Inc. (KEYS)		None	J	T	Buy	12/27/19	J		
143. Kinder Morgan Inc cl P (KMI)	A	Dividend	J	T					
144. L3Harris Technologies (LHX)	A	Dividend	K	T	Buy	12/27/19	K		
145.					Sold (part)	12/10/19	J	A	
146. Lockheed Martin Corp. (LMT)	A	Dividend	K	T	Sold (part)	09/17/19	K	C	
147. Lowes Companies Inc. (LOW)	B	Dividend	L	T	Sold (part)	09/10/19	K	E	
148. MPLX LP (MPLX)	D	Dividend	K	T	Buy (add'l)	01/04/19	J		
149.					Sold (part)	12/20/19	J	A	
150. Martin Marietta Materials Inc (MLM)	A	Dividend	K	T					
151. Merck & Co. Inc. (MRK)	A	Dividend	K	T	Buy	11/05/19	K		
152. Microsoft Corporation (MSFT)	B	Dividend	L	T	Sold (part)	12/31/19	L	F	
153. Mondelez International Inc. (MDLZ)	A	Dividend	K	T					

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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 U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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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)
154. National Grid PLC Spon ADR (NGG)	C	Dividend	K	T	Sold (part)	03/14/19	J	A	
155. Nationwide Dynamic US Grth Fd Eagle		None	J	T					See Part VIII
156. Neogen Corporation NEOG)		None	K	T					
157. Nektar Therapeutics (NKTR)		None	J	T	Buy	03/05/19	J		
158.					Sold (part)	07/16/19	J	A	
159. Netflix Inc. (NFLX)		None			Sold	10/18/19	L	D	
160. NextEra Energy, Inc. (NEE)	A	Dividend			Sold	01/08/19	J	A	
161. Nokia Corp (NOK)	A	Dividend	K	T	Sold (part)	12/03/19	J	A	
162.					Buy (add'l)	12/20/19	K		
163. Norfolk Southern Corp. (NSC)	A	Dividend	J	T	Sold (part)	11/06/19	J	D	
164. Novartis AG (NVS)	A	Dividend	K	T	Sold (part)	11/19/19	J	B	
165. Novo-Nordisk A/S (NVO)	B	Dividend	K	T	Sold (part)	01/08/19	J	A	
166. Nucor Corporation (NUE)	A	Dividend			Sold	03/01/19	K	A	
167. Nutrien Ltd. (NTR)	B	Dividend	K	T	Sold (part)	08/02/19	J	A	
168. Opko Health Inc. (OPK)		None			Sold	03/13/19	J	A	
169. Oracle Corporation (ORCL)	A	Dividend	K	T	Sold (part)	03/21/19	K	A	
170. Philip Morris Intl (PM)	B	Dividend	K	T	Sold (part)	01/08/19	J	A	

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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)	(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)
171. Pioneer Natural Resources (PXD)	A	Dividend	K	T	Sold (part)	04/01/19	J	A	
172. Principal Financial Group (PFG)	B	Dividend	K	T					
173. Qualcomm Inc. (QCOM)	B	Dividend	K	T	Sold (part)	11/07/19	K	D	
174. Resideo Technologies, Inc. (REZI)		None	J	T	Buy (add'l)	11/20/19	K		
175.					Sold (part)	12/10/19	J	A	
176. Roche Holdings Ltd (RHHBY)	A	Dividend	J	T	Sold (part)	11/20/19	K	D	
177. Sabine Royalty Trust (SBR)	C	Dividend	L	T	Buy (add'l)	08/16/19	J		
178.					Sold (part)	12/20/19	K	B	
179. Schwab Bank Account Cash Equivalent	A	Interest	L	T	Open				See Part VIII
180. Science Applications Intl. Corp. (SAIC)	A	Dividend	J	T	Sold (part)	01/14/19	J		
181. Seattle Genetics, Inc. (SGEN)		None			Sold	01/17/19	J	C	
182. Service Now (NOW)		None	J	T	Buy	12/12/19	J		
183. South32 Limited (SOUHY)	A	Dividend	J	T					
184. SPDR Gold Shares ETF (GLD)		None	K	T					
185. Square, Inc. CI A (SQ)		None	K	T	Sold (part)	08/02/19	K	C	
186.					Buy (add'l)	08/06/19	K		
187. T Rowe Price Group Inc (TROW)	A	Dividend	J	T					

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
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2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
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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)
188. Taiwan Semiconductor (TSM)	B	Dividend	K	T	Buy (add'l)	01/17/19	J		
189.					Sold (part)	12/18/19	K	D	
190. Tencent Hldgs Ltd ADR (TCEHY)		None	K	T	Buy (add'l)	08/16/19	J		
191. The Kraft Heinz Company (KHC)	A	Dividend	J	T					
192. Union Pacific Corp. (UNP)	A	Dividend	J	T	Sold (part)	08/02/19	J	D	
193. United Technologies Corp. (UTX)	A	Dividend			Buy (add'l)	01/03/19	J		
194.					Sold	04/03/19	J	B	
195. Vanguard Growth ETF (VUG)	A	Dividend	J	T					
196. Vanguard Mid-Cap ETF (VO)	A	Dividend	K	T	Sold (part)	01/23/19	J	A	
197. Vanguard S&P Mid-Cap 400 ETF (IVOO)	A	Dividend	K	T	Buy	10/03/19	K		
198. Vanguard Total Mkt ETF (VTI)	A	Dividend	K	T	Sold (part)	09/20/19	K	B	
199. Vanguard Total Stk Mkt Index Fd (VTSMX)	A	Dividend	J	T					See Part VIII
200. Vanguard Total Stk Mkt Ind Fd Admiral (VTSAX)	A	Dividend	L	T					See Part VIII
201. W.R. Berkley Corp. (WRB)	B	Dividend	K	T	Sold (part)	10/08/19	K	D	
202. Walt Disney Company (DIS)	A	Dividend	K	T	Buy (add'l)	08/16/19	J		
203. Wayfair Inc. Class A (W)		None	J	T	Buy	08/27/19	J		
204. Westinghouse Air Brake Tech Corp.	A	Dividend	J	T	Spinoff (from line 126)	02/25/19	J		

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(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	
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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)
205. Williams Companies Inc. (WMB)	B	Dividend	K	T	Sold (part)	02/01/19	J	A	
206. Wright Medical Group N.V. (WMGI)		None	J	T	Sold (part)	10/31/19	J	C	
207. XPO Logistics, Inc. (XPO)		None	J	T	Sold (part)	07/16/19	K	A	
208. Xilinx Inc. (XLNX)	A	Dividend	K	T	Sold (part)	03/05/19	K	E	
209.					Buy (add'l)	11/01/19	K		
210. iRobot (IRBT)		None	J	T	Buy	12/17/19	J		
211. US Treas Bill due 03/07/19	A	Interest			Sold	03/07/19	M	A	
212. US Treas Bill due 03/14/19	C	Interest			Buy (add'l)	02/01/19	M		
213.					Sold	03/14/19	O	C	
214. US Treas Bill due 04/04/19	A	Interest			Buy	01/22/19	J		
215.					Sold	04/04/19	J	A	
216. US Treas Bill due 4/25/19	A	Interest			Buy	02/26/19	L		
217.					Sold	04/25/19	L	A	
218. US Treas Bill due 6/6/19	D	Interest			Buy	04/26/19	P1		
219.					Sold	06/06/19	P1	D	
220. US Treasury Bill due 6/13/19	A	Interest			Buy	05/07/19	J		
221.					Sold	06/13/19	J	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	
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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.)

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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)
222. US Treasury Bill due 07/05/19	A	Interest			Buy	04/16/19	J		
223.					Sold	07/05/19	J	A	
224. US Treasury Bill due 11/14/19	E	Interest			Buy	09/16/19	P1		
225.					Sold	11/14/19	P1	E	
226. US Treasury Bill due 12/26/19	A	Interest			Buy	09/25/19	K		
227.					Sold	12/26/19	K	A	
228. US Treasury Bill due 02/13/20	A	Interest			Buy	11/27/19	P1		
229.					Sold	12/16/19	K	A	
230. US Treasury Bill due 02/20/20	A	Interest	K	T	Buy	11/26/19	K		
231. US Treasury Bill due 02/27/20	A	Interest	K	T	Buy	12/05/19	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

1. In Part VII, line 7, NAME CHANGE from CBS Corp., Common Stock to Viacom CBS.
2. In Part VII, line 29, Schwab Intelligent Portfolio is an investment account that is managed via a Robo-Advisor that monitors and automatically rebalances a diversified portfolio based on the account owner's goals. In Part VII, lines 30-48 assets are subparts of the Schwab Intelligent Portfolios. Part VII, line 29 was previously referenced incorrectly as "Schwab Intellectual Portfolio Account."
3. In Part VII, lines 30-48, the manager of the Schwab Intelligent Portfolio account retains a cash reserve as a percentage of the total value of the account, i.e. between 7%-9%.
4. In Part VII, line 52, NAME CHANGE from Schwab, Vanguard Total Intl Stock Market Index Fund, VGTSX (IRA) to Schwab, Vanguard Total Intl Stock Index Fund, VTIAAX (IRA) - typographical error.
5. In Part VII, line 53, NAME CHANGE from Schwab, Vanguard Total Stock Market Index Fund VTSMX (IRA) to Schwab, Vanguard Total Stock Market Index Fund VTSAX (IRA) - typographical error.
6. In Part VII, lines 89 and 155, on 10/01/19, shares of BNY Mellon Growth & Income Fund (DGRIX) were transferred into the account. On 12/13/19, Nationwide Dynamic US Growth Fund Eagle (NWAEX) absorbed DGRIX.
7. In Part VII, lines 92, 93 and 101, on 11/20/19, Celgene (CELG) was acquired by Bristol-Myers Squibb (BMY).
8. In Part VII, lines 98 and 99, on 12/24/19, Callon Petroleum Co. (CPE) acquired Carrizo Oil & Gas (CRZO).
9. In Part VII, line 179, as of 12/31/17, the Lafferty accounts held cash in three Schwab money market funds (SWMXX, SWUXX, and SWVXX). During 2018, Schwab transferred all cash from these money market funds into Schwab Bank. Thus as of 12/31/18, the three money market funds had zero balances. All cash balances were in Schwab Bank and remained there during 2019.
10. In Part VII, lines 199 and 200, on 07/26/19, shares of Vanguard Total Stock Mkt Index Fund (VTSMX) were exchanged for Vanguard Total Stock Mkt Index Fund Admiral (VTSAX).

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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 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