

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 4/22/2014
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 1/1/2013 to 12/31/2013
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Chair of the Board of Directors	Atlanta Track Club
2.	Chair of the Board of Directors	Center for Young Adult Addiction and Recovery Kennesaw State University
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.)*

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. 2013	Simon & Schuster - royalties from copyrights
2. 2013	Penguin Group (USA) Inc. - royalties from copyrights
3. 2013	Holtzbrink Publishing Holdings, LP DBA Macmillan - royalties from copyrights
4. 2013	Timber Ridge Elementary - speaking fees
5. 2013	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. American Conference Institute	01/24/2013 - 01/25/2013	Miami, FL	Educational seminar	Travel
2. College of Labor and Employment Lawyers	02/22/2013 - 02/24/2013	Coral Gables, FL	Educational seminar	Travel
3. Institute of Continuing Legal Education in Georgia	07/26/2013 - 07/28/2013	Amelia Island, FL	Activity of professional or civic organization	Travel
4. American Conference Institute	12/08/2013 - 12/11/2013	New York, NY	Educational seminar	Travel

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

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
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 I (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	M	T					
3. -Blackrock Global Allocation C	B	Dividend	L	T					
4.	C	Distribution							
5. -Franklin Mutual Recovery C	B	Dividend	L	T					
6. -Invesco VK Amer Franchise C	B	Distribution	K	T					
7. -Invesco Developing Markets C	A	Dividend	K	T					
8.	A	Distribution							
9. -Investco VK Muni Income C	A	Dividend			Sold	01/30/13	K	D	
10. -Lord Abbett SHT Duration Inc C	B	Dividend	K	T	Buy	01/30/13	K		
11.	A	Distribution							
12. IRA #1	D	Dividend	N	T					
13.	B	Distribution							
14.	B	Interest							
15. -MS Bank Deposit Program									
16. -Wells Fargo Company					Sold	01/31/13	J	A	
17. -Duke Energy Corp									

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 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. -Wellpoint Inc					Sold	09/05/13	J		
19. -Dell Inc					Sold	11/29/13	J		
20. -Rio Tinto Finance USA Limited									
21. -General Electric Capital Corp									
22. -Morgan Stanley									
23. -Comcast Corp New									
24. -Goldman Sachs Group Inc									
25. -Marathon Oil Corp									
26. -Verizon Communications									
27. -Glaxosmithkline Cap Inc									
28. -Mondelez International - name change formerly Kraft Foods									
29. -Tyco International Finan									
30. -AT&T Inc									
31. -Boeing Co									
32. -CVS Caremark Corp									
33. -Indiana Michigan Power									
34. -Altria Group Inc									

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35. -Federal National Mtg Assn									
36. -Franklin Income C									
37. -Invesco Equal Wghtd S&P 500 C									
38. -AIP ABSLT RTNSTS									
39. IRA #2	A	Interest	M	T					
40. -MS Bank Dep Program(Y)									
41. -Keyworth Bank									
42. -AIP ABSLT RTNSTS									
43. Roth IRA #1	A	Dividend	J	T					
44.	A	Distribution							
45. -Invesco VK Corporate Bond C					Sold	01/30/13	J	A	
46. -Invesco Growth & Income C					Buy	01/30/13	J		
47. Roth IRA #2	A	Dividend	J	T					
48.	A	Distribution							
49. -Invesco VK Growth & Income C									
50. Brokerage Account #1 (H)									
51. -MS Bank Deposit Program	A	Interest	J	T					

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52. -One GA Bk		None	J	T					
53. -Van Eck Intl Inv Gold FD A		None			Sold (part)	01/03/13	J	A	
54.					Sold	05/07/13	J		
55. Brokerage Account #3 (H)									
56. -MS Bank Deposit Program	A	Interest	J	T					
57. -Alerian Mlp Etf	A	Distribution	J	T	Buy (add'l)	11/20/13	J		
58. -Barcap Etn-Ipath Dow Jones-AIG Commodity Tot		None	J	T	Buy (add'l)	03/26/13	J		
59.					Sold (part)	05/07/13	J		
60.					Buy (add'l)	11/20/13	J		
61. -Ishares Russel 2000 Growth Fd	A	Dividend	J	T	Buy (add'l)	03/26/13	J		
62. -Ishares Russel 2000 Value Fd	A	Dividend	J	T	Buy (add'l)	11/20/13	J		
63. -Ishares Russel Midcap G In Fd	A	Dividend	J	T	Sold (part)	11/20/13	J	A	
64. -Ishares Russel Midcap V In Fd	A	Dividend	J	T	Buy (add'l)	11/20/13	J		
65. -Ishares S&P 500 GRWTH Index	A	Dividend	K	T	Buy (add'l)	03/26/13	J		
66.					Sold (part)	05/07/13	J	B	
67.					Sold (part)	09/18/13	J	B	
68.					Buy (add'l)	11/20/13	J		

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69. -Ishares S&P 500 Value Index	A	Dividend	K	T	Buy (add'l)	03/26/13	J		
70.					Sold (part)	05/07/13	J	A	
71.					Buy (add'l)	09/18/13	J		
72.					Buy (add'l)	11/20/13	J		
73. -SPDR DJ Wilshire Global Rea-	A	Dividend	J	T	Sold (part)	03/26/13	J	A	
74.					Buy (add'l)	11/20/13	J		
75. -Dreyfus Intl Bond I	A	Dividend	J	T	Sold (part)	03/26/13	K		
76.					Sold (part)	11/20/13	J		
77. -Eaton Vance GLB Micro Abs Reti	A	Dividend			Sold (part)	03/26/13	J	A	
78.	A	Distribution			Sold (part)	05/07/13	J	A	
79.					Sold (part)	09/18/13	J		
80.					Sold	11/20/13	J		
81. -Franklin Fed Intm Trm Txfr Adv	A	Dividend	J	T	Sold (part)	03/26/13	K	B	
82.					Sold (part)	05/07/13	J	A	
83.					Buy (add'l)	11/20/13	J		
84. -MFS International Value I	A	Dividend	K	T	Buy	11/20/13	J		
85.	A	Distribution							

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86. -MFS Municipal LTD Maturity	A	Dividend	J	T	Buy	03/26/13	K		
87.					Sold (part)	05/07/13	J	A	
88.					Buy (add'l)	11/20/13	J		
89. -Oakmark International I	A	Dividend	K	T	Buy	08/06/13	J		
90.	A	Distribution			Buy (add'l)	09/18/13	J		
91.					Buy (add'l)	11/20/13	J		
92. -Oppenheimer SR Floating Rate	A	Dividend	J	T	Buy	03/26/13	J		
93. -Thornburg Intl Value I	A	Dividend			Buy (add'l)	03/26/13	J		
94.					Sold (part)	05/07/13	J	A	
95.					Sold (part)	08/06/13	J	A	
96.					Sold	11/20/13	J	A	
97. -Virtus Insight Emrg. Mkts. I	A	Dividend	J	T	Sold (part)	03/26/13	J	B	
98.	A	Distribution			Sold (part)	11/20/13	J	A	
99. IRA #3	E	Dividend	P1	T					
100.	B	Distribution							
101.	A	Interest							
102. -Morgan Stanley Bank Deposit Program									

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103. -Alerian MLP EFT					Sold (part)	03/26/13	J	A	
104.					Buy (add'l)	11/20/13	K		
105. -Barcap ETN-IPATH Dow Jones-AIG Commodity Tot					Buy (add'l)	03/26/13	K		
106.					Buy (add'l)	11/20/13	J		
107. -Ishares Russell 2000 Growth FD					Buy (add'l)	03/26/13	J		
108.					Sold (part)	11/20/13	J	B	
109. -Ishares Russell 2000 Value FD					Sold (part)	03/26/13	J	A	
110.					Buy (add'l)	11/20/13	J		
111. -Ishares Russell Midcap G In FD					Sold (part)	03/26/13	J	A	
112.					Sold (part)	11/20/13	K	C	
113. -Ishares Russell Midcap V In FD					Sold (part)	03/26/13	J	A	
114.					Buy (add'l)	11/20/13	J		
115. -Ishares S&P 500 GRWTH Index					Buy (add'l)	03/26/13	K		
116.					Sold (part)	09/18/13	K	D	
117.					Buy (add'l)	11/20/13	J		
118. -Ishares S&P 500 Value Index					Buy (add'l)	03/26/13	K		
119.					Buy (add'l)	09/18/13	J		

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☐ 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.					Buy (add'l)	11/20/13	K		
121. -SPDR DJ Wilshire Global Rea					Sold (part)	03/26/13	K	C	
122.					Buy (add'l)	11/20/13	J		
123. -Dreyfus Intl Bond I					Sold (part)	03/26/13	M		
124.					Sold (part)	11/20/13	J		
125. -Eaton Vance GLB Micro Abs Reti					Sold (part)	03/26/13	J		
126.					Sold (part)	09/18/13	K		
127.					Sold	11/20/13	L		
128. -Lord Abbett SHT Duration Inc F					Buy	03/26/13	L		
129.					Buy (add'l)	11/20/13	J		
130. -Metropolitan West tot Ret Bd I					Sold (part)	03/26/13	M		
131.					Buy (add'l)	11/20/13	J		
132. -MFS International Value I					Buy	11/20/13	L		
133. -Oakmark Internatl I					Buy	08/06/13	L		
134.					Buy (add'l)	09/18/13	K		
135.					Buy (add'l)	11/20/13	J		
136. -Oppenheimer SR Floating Rate Y					Buy	03/26/13	L		

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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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137.					Buy (add'l)	11/20/13	J		
138. -Thornburg Intl Value I Position:2					Buy (add'l)	03/26/13	L		
139.					Sold (part)	08/06/13	L	C	
140.					Sold	11/20/13	L	D	
141. -Virtus Insight Emrg Mkts I					Sold (part)	03/26/13	K	C	
142.					Sold (part)	11/20/13	K	A	
143. NW Mutual Estate CompLife		None	L	T					
144. John Hancock Life Insurance		None	L	T					
145. C & B Capital I, L.P. *	B	Distribution	K	U					
146.	A	Interest							
147. C & B Capital II, L.P. **	B	Interest	M	U					
148.	D	Distribution							
149. Betsy Byars, Inc.		None	M	W					
150. Gold coins		None	K	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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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:

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

**Ownership interest percentage is 0.668217%. During the reporting period, C&B Capital II, L.P. held interests in the following companies:

- Alimera Sciences, Inc.
- BPG Holdings, LLC/SG-BPG, LLC
- 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
- Q2 Holdings, Inc.
- CB Holdings, Inc.
- REACH Health, Inc.
- SnagAJob.com, Inc.
- Stratos Management Systems Holding LLC
- FX Bridge Technologies
- PODS Holding, Inc.

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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
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