

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 08/01/2018
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 01/01/2017 to 12/31/2017
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2017

The Permanente Medical Group--Salary on a Part-Time Basis

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED1. National Conference
Bankruptcy Judges (NCBJ)

October 8-11, 2017

Las Vegas, NV

Attend Annual Conference

Three Nights Hotel, Meals

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. Ally Bank	A	Interest	M	T	Open	03/03/17	M		See Part VIII
2. Barclays Bank	A	Interest	N	T					
3. BTC Life Path 2020 F (1)	A	Dividend	K	T					See Part VIII
4. BTC Life Path 2020 F (2)	A	Dividend	J	T	Sold (part)	12/19/17	J		
5. BTC US Equity Market (1)	A	Dividend	M	T					See Part VIII
6. BTC US Equity Market (2)	A	Dividend	K	T					
7. Cap Group Int'l Equity	A	Dividend			Sold	10/30/17	J		
8. Cap Group International Equityl Equity	A	Dividend			Sold	10/30/17	J		
9. CBS Corp., Common Stock	A	Dividend	J	T					
10. Charles Schwab Bank, Deposit Account (1)	A	Interest	M	T					
11. Charles Schwab Bank Deposit Account (2)	A	Interest	J	T					
12. Dreyfus Appreciation Fund (IRA) CS	A	Dividend	K	T					
13. Dreyfus Growth & Income Mutual Fund	A	Int./Div.	J	T					
14. FR Fixed Income (Foundation Health)	A	Dividend	K	T	Sold (part)	12/19/17	J		See Part VIII
15. FR Fixed Income (Permanente)	A	Dividend	L	T					
16. Howard Rice Investment Fund 01 (no control)		None	J	U					
17. Howard Rice Investment Fund 02 (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 \$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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	(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)

18. Howard Rice Investment Fund 03 (no control)		None	J	U					
19. Howard Rice Investment Fund 04 (no control)		None	J	U					
20. Howard Rice Investment Fund 05 (no control)		None	J	U					
21. Howard Rice Investment Fund 06 (no control)		None	J	U					
22. Howard Rice Investment Fund 07 (no control)		None	J	U					
23. Howard Rice Investment Fund 08 (no control)		None	J	U					
24. Howard Rice Investment Fund 09 (no control)	A	Distribution	J	U	Distributed (part)	12/30/17	J		See Part VIII
25. KP Interest Income Fund	B	Dividend	K	T					
26. NT International Fd (1)	A	Dividend	L	T	Buy	10/30/17	L		See Part VIII
27. NT International Fd (2)	A	Dividend	K	T	Buy	10/30/17	J		
28. Real Property, Orinda, CA		None	N	W					
29. Rental Property, Alameda, CA	E	Rent	O	W					
30. Rental Property, Ventura, CA (1/3 interest--shared with two sisters)	B	Rent	M	W					
31. Schwab Intellectual Portfolio Account	F	Dividend	O	T	Buy	06/28/17	O		See Part VIII
32. Schwab, Money Market Fund SWMMX	A	Dividend	L	T	Buy	08/22/17	L		
33. Schwab (S&P 500 Index), SWPPX	B	Dividend	K	T					
34. Schwab, SWBDX (IRA)	A	Dividend			Sold	08/18/17	J		

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	
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35. Schwab, Vanguard Total Intl Stock Market Index Fund, VGTXX (IRA)	A	Dividend	J	T					
36. Schwab, Vanguard Total Stock Market Index Fund, VTSMX (IRA)	A	Dividend	K	T					
37. TPML Int'l Foreign Fund A3 (1)	A	Dividend			Sold	10/30/17	J		See Part VIII
38. TPML Int'l Foreign Fund A3 (2)	A	Dividend			Sold	10/30/17	J		
39. Vanguard PrimeCap Fund ADM (1)	A	Dividend	J	T	Buy (add'l)	12/19/17	J		See Part VIII
40. Vanguard PrimeCap Fund ADM (2)	A	Dividend	O	T					
41. Vanguard Stable Income Fund	D	Dividend	M	T					
42. Vanguard Total Bond Mkt 1x Tr	A	Dividend	K	T					
43. Vanguard Total Bond Mkt 1x 1st Plus	A	Dividend	L	T					
44. Vanguard Wellington Fund, Inv. (1)	A	Dividend	L	T					See Part VIII
45. Vanguard Wellington Fund, Inv. (2)	A	Dividend	N	T					
46. Vanguard 1st Tt St. Mkt Inx 1st Plus	A	Dividend	N	T					
47. Vanguard 1st Tt St. Mkt Inx 1st Plus	A	Dividend	N	T					
48. 3M Company (MMM)	B	Dividend	K	T	Sold (part)	10/24/17	K	E	
49. AES Corporation (AES)	B	Dividend	K	T					
50. Accelerate Diagnostics, Inc. (AXDX)		None	K	T					
51. Adidas Salomon AG ADR (ADDYY)		None	J	T	Buy	08/22/17	J		

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52. Alibaba Group Hldg Ltd Spon ADR (BABA)		None	K	T	Buy	12/01/17	K		
53. Allergan plc. (AGN)	A	Dividend	J	T	Sold (part)	10/31/17	J	A	
54. Alphabet Inc. Class A (GOOGL)		None	K	T					
55. Alphabet Inc. Class C (GOOG)		None	K	T	Buy (add'l)	10/23/17	J		
56.					Sold (part)	11/03/17	K	D	
57. Altria Group Inc (MO)	A	Dividend	K	T					
58. Amazon.com Inc. (AMZN)		None	K	T	Buy	11/06/17	K		
59. Amgen Inc. (AMGN)	B	Dividend	L	T	Buy (add'l)	11/17/17	J		
60.					Sold (part)	03/01/17	K	C	
61. Amplify Snack Brands (BETR)	A	Dividend			Buy (add'l)	01/18/17	J		
62.					Sold	11/22/17	K	A	
63. Apple Inc. (AAPL)	A	Dividend	J	T					
64. Archer Daniels Midland (ADM)	A	Dividend	J	T					
65. Athena Health (ATHN)	A	Dividend			Buy (add'l)	02/08/17	J		
66.					Sold	05/18/17	K	A	
67. Australia & NZ Bank (ANZBY)	A	Dividend	J	T	Sold (part)	10/11/17	J	B	
68. Automatic Data Processing Inc. (ADP)	A	Dividend	K	T					

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69. BHP Billiton Limited (BHP)	B	Dividend	L	T	Buy (add'l)	10/13/17	K		
70.					Sold (part)	09/01/17	J	A	
71. Bristol-Myers Squibb Co.	A	Dividend	J	T	Buy	11/14/17	J		
72. CDK Global, Inc. (CDK)	A	Dividend	J	T					
73. CVS Health Corporation (CVS)	A	Dividend	J	T					
74. Celgene Corp. (CELG)		None	K	T	Buy (add'l)	10/26/17	J		
75. Chevron Corp (CVX)	A	Dividend	J	T	Buy (add'l)	10/19/17	J		
76.					Sold (part)	04/28/17	K	B	
77. Chipotle Mexican Grill (CMG)		None	J	T					
78. Chubb Limited (CB)	A	Dividend	J	T					
79. Church & Dwight Co. (CHD)	A	Dividend	L	T	Buy (add'l)	05/05/17	J		
80.					Sold (part)	06/19/17	J	A	
81. Coca-Cola Company (KO)	A	Dividend	J	T					
82. Columbia Large Cap Core (NMIMX)	B	Dividend	L	T					
83. Costco Wholesale Corp (COST)	A	Dividend	J	T					
84. Cree Inc. (CREE)		None	L	T	Buy (add'l)	01/18/17	J		
85.					Sold (part)	12/15/17	J	A	

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86. Cross Timbers Royalty (CRT)	A	Dividend	J	T					
87. John Deere (DE)	A	Dividend			Sold	08/01/17	J	D	
88. DFA International Equity (DFIEX)	B	Dividend	K	T	Buy (add'l)	12/14/17	J		
89. DFA US Large Cap (DFLVX)	D	Dividend	M	T	Buy (add'l)	12/15/17	J		
90. Emerson Electric Co. (EMR)	A	Dividend	K	T	Buy (add'l)	01/10/17	J		
91.					Sold (part)	03/06/17	J	A	
92. Energy Transfer Equity (ETE)	A	Dividend	J	T	Sold (part)	10/23/17	J	A	
93. Energy Transfer Partners (ETP)	B	Dividend	J	T					
94. Engility Holdings, Inc. (EGL)		None	J	T					
95. Exxon Mobil Corporation (XOM)	A	Dividend	K	T					
96. Fidelity National Info Srv (FIS)	A	Dividend	K	T					
97. Generac Holdings Inc. (GNRC)		None	L	T	Sold (part)	11/17/17	J	A	
98. General Electric Company (GE)	A	Dividend	K	T	Buy (add'l)	07/13/17	J		
99. Gentex Corporation (GNTX)	B	Dividend	L	T	Buy (add'l)	12/22/17	K		
100.				T	Sold (part)	12/01/17	J	B	
101. Honeywell Intl Inc (HON)	A	Dividend	J	T	Sold (part)	06/07/17	J	B	
102. Hortonworks, Inc. (HDP)		None	J	T	Buy	12/27/17	J		

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103. Hudson Pacific Properties, Inc (HPP)	A	Dividend	J	T					
104. Illumina Inc (ILMN)		None	M	T	Buy (add'l)	02/02/17	J		
105.					Sold (part)	09/01/17	J	A	
106. Intel Corporation (INTC)	B	Dividend	L	T	Sold (part)	07/05/17	J	C	
107. International Flavors&Frag. (IFF)	A	Dividend	J	T	Sold (part)	11/24/17	J	A	
108. Intuit Inc. (INTU)	A	Dividend	K	T	Sold (part)	08/01/17	J	D	
109. JM Smucker Co. (SJM)	A	Dividend	K	T	Buy (add'l)	04/17/17	K		
110. Johnson & Johnson (JNJ)	B	Dividend	L	T	Buy (add'l)	11/17/17	K		
111. Juno Therapeutics, Inc. (JUNO)		None	K	T	Buy (add'l)	02/22/17	K		
112.					Sold (part)	11/22/17	K	C	
113. Kinder Morgan Inc cl P (KMI)	A	Dividend	J	T	Sold (part)	04/06/17	J	A	
114. Lockheed Martin Corp. (LMT)	A	Dividend	K	T	Buy	10/19/17	K		
115. Lowes Companies Inc. (LOW)	B	Dividend	L	T	Buy (add'l)	06/02/17	K		
116. MPLX LP (MPLX)	C	Dividend	L	T	Sold (part)	10/27/17	K	A	
117. Martin Marietta Materials Inc (MLM)	A	Dividend	K	T					
118. Microsoft Corporation (MSFT)	B	Dividend	M	T	Buy (add'l)	11/17/17	J		
119.					Sold (part)	05/02/17	K	D	

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)
120. Mondelez International Inc. (MDLZ)	A	Dividend	K	T					
121. Myriad Genetics (MYGN)	A	Dividend			Sold	02/23/17	J	A	
122. National Grid PLC Spon ADR (NGG)	D	Dividend	L	T	Buy (add'l)	08/01/17	K		
123.					Sold (part)	11/28/17	J	A	
124. Neogen Corporation (NEOG)		None	K	T	Buy	04/13/17	J		
125.					Sold (part)	11/16/17	J	B	
126. NextEra Energy, Inc. (NEE)	A	Dividend	K	T	Buy	11/03/17	K		
127. Nokia Corp (NOK)	A	Dividend	J	T					
128. Norfolk Southern Corp. (NSC)	A	Dividend	K	T					
129. Novartis AG (NVS)	B	Dividend	K	T	Sold (part)	06/22/17	J	A	
130. Novo-Nordisk A/S (NVO)	B	Dividend	L	T	Buy (add'l)	10/26/17	J		
131. Opko Health Inc. (OPK)		None	J	T	Sold (part)	12/01/17	J	A	
132. Oracle Corporation (ORCL)	A	Dividend	K	T	Buy (add'l)	09/27/17	J		
133. Philip Morris Intl (PM)	A	Dividend	J	T	Sold (part)	03/16/17	K	D	
134. Phillips 66 (PSX)	A	Dividend	J	T					
135. Pioneer Natural Resources (PXD)		None	J	T	Buy	11/14/17	J		
136. Potash Corp. Saskatch (POT)	A	Dividend	K	T	Buy (add'l)	03/14/17	J		

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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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. Principal Financial Group (PFG)	B	Dividend	K	T					
138. Qualcomm Inc. (QCOM)	C	Dividend	L	T	Buy (add'l)	01/06/17	J		
139.					Sold (part)	10/27/17	J	A	
140. Roche Holdings Ltd (RHHBY)	B	Dividend	K	T	Buy (add'l)	11/09/17	J		
141. Schwab Money Mkt Fund (SWMXX)	A	Interest	N	T					
142. Schwab US Treasury MMF (SWUXX)	A	Interest	N	T					See Part VIII
143. Schwab Value Advantage MMF (SWVXX)	A	Interest	K	T					
144. SPDR Gold Shares ETF (GLD)		None	K	T					
145. Sabine Royalty Trust (SBR)	C	Dividend	L	T	Buy (add'l)	02/24/17	J		
146.					Sold (part)	10/27/17	K	A	
147. Seattle Genetics, Inc. (SGEN)		None	K	T					
148. South32 Limited (SOUHY)	A	Dividend	J	T	Sold (part)	02/22/17	J	A	
149. Suncor (SU)		None			Sold	02/23/17	J	B	
150. Super Micro Computer (SMCI)		None			Sold	12/05/17	K	A	
151. T Rowe Price Group Inc (TROW)	A	Dividend	J	T					
152. Taiwan Semiconductor (TSM)	B	Dividend	L	T	Buy (add'l)	10/23/17	J		
153.					Sold (part)	06/23/17	J	A	

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)
154. Tencent Hldgs Ltd ADR (TCEHY)		None	K	T	Buy	10/19/17	K		
155. The Kraft Heinz Company (KHC)	A	Dividend	J	T					
156. Ultra Petroleum Corp (UPL)		None	J	T	Sold (part)	04/12/17	J	A	
157. Union Pacific Corp. (UNP)	A	Dividend	K	T	Sold (part)	12/01/17	J	D	
158. United Technologies Corp. (UTX)	A	Dividend	K	T	Sold (part)	06/23/17	K	C	
159. Vanguard Growth ETF (VUG)	A	Dividend	J	T					
160. Vanguard Total Mkt ETF (VTI)	B	Dividend	N	T	Buy (add'l)	10/30/17	K		
161.					Sold (part)	01/20/17	J	A	
162. Vanguard Total Stk Mkt Index Fd (VTSMX)	B	Dividend	L	T					
163. W.R. Berkley Corp. (WRB)	A	Dividend	K	T	Buy (add'l)	04/19/17	J		
164. W.W. Grainger Inc. (GWV)	A	Dividend	L	T	Buy (add'l)	10/16/17	K		
165.					Sold (part)	12/15/17	J	A	
166. Walt Disney Company (DIS)	A	Dividend	J	T	Buy	12/07/17	J		
167. Walter Energy (WLTGQ)		None			Sold	10/24/17	J	A	
168. Williams Partners L.P. (WPZ)	B	Dividend	K	T	Sold (part)	01/17/17	J	A	
169. Wright Medical Group N.V. (WMGI)		None	K	T					
170. XPO Logistics, Inc. (XPO)		None	K	T	Buy (add'l)	11/13/17	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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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) 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)
171.					Sold (part)	12/22/17	J	B	
172. Xilinx Inc. (XLNX)	A	Dividend	K	T	Sold (part)	08/01/17	J	B	
173. US Treas Bill (912796KS7)	A	Interest			Sold	04/13/17	M		See Part VIII
174. US Treas Bill due 3/30/17	A	Interest			Buy	03/02/17	M		
175.					Sold	03/30/17	M		
176. US Treas Bill due 9/14/17	B	Interest			Buy	06/15/17	O		
177.					Sold	09/14/17	O		
178. US Treas Bill due 6/22/17	A	Interest			Buy	05/24/17	L		
179.					Sold	06/22/17	L		
180. US Treas Bill due 12/28/17	B	Interest			Buy	09/29/17	O		
181.					Sold (part)	10/23/17	K		
182.					Sold	12/28/17	N		
183. US Treas Bill due 4/13/17	A	Interest			Buy	03/17/17	M		
184.					Sold	04/13/17	M		
185. US Treas Bill due 5/11/17	A	Interest			Buy	04/12/17	M		
186.					Sold	05/11/17	M		
187. US Treas Bill due 8/31/17	A	Interest			Buy	06/07/17	L		

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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08/01/2018

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)
188.					Sold	08/31/17	L		
189. US Treas Bill due 7/15/17	A	Interest			Buy	03/20/17	M		
190.					Buy	04/25/17	M		
191.					Buy	05/19/17	M		
192.					Sold	06/15/17	O		

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

1. In Part VII, line 1, the Ally Bank account was created via a transfer of funds from our Charles Schwab Deposit Account listed on line 10.
2. In Part VII, lines 3 and 4, we list these similarly named assets separately because they are held, separately, as different assets in different accounts managed by different but affiliated former employers of Filer's spouse. The same holds true for the assets listed in lines 5-6, 14-15, 26-27, 37-38, 39-40, and 44-45.
3. In Part VII, lines 5 and 6, see "2" above and explanation therein.
4. In Part VII, lines 14 and 15, see "2" above and explanation therein.
5. In Part VII, line 24, my former law firm, Howard Rice et al. (since merged with Arnold & Porter), sometimes received additional or alternative compensation from clients in the form of equity interests in the client. At the end of each calendar year the firm would form a partnership to hold the equity interests so acquired during that year for the benefit of the equity holders in the law firm, and the various partnership entities listed in lines 16-24 of Part VII represent the Howard Rice partnerships in which I held an equity interest when I left the firm to become a Bankruptcy Judge. In general, I have assigned a nominal value to my interests in these partnerships because, absent a liquidity event, they have little value per se. In the fall of 2017, one of the companies in which the firm had an equity interest that was held in the Howard Rice Investment Fund '09 had a liquidity event, and Arnold & Porter received a distribution from the entity in the form of cash that was then distributed to the holders of equity interests in the Howard Rice Investment Fund '09. I received a check in the approximate amount of \$1440 on December 30, 2017. This event notwithstanding, the assets remaining in the '09 Fund, as well as the assets remaining in all of the Howard Rice Investment Funds, remain illiquid, and therefore, in my mind, of uncertain but likely minuscule value, and I have not altered the year-end amount values for any of these investments.
6. In Part VII, lines 26 and 27, see "2" above and explanation therein.
7. In Part VII, line 31, the "Schwab Intellectual Portfolio Account" is an asset that represents a lump sum retirement benefit for Filer's spouse, from a former employer, to which Spouse's rights first vested as of her retirement date of January 2, 2018.
8. In Part VII, lines 37 and 38, see "2" above and explanation therein.
9. In Part VII, lines 39 and 40, see "2" above and explanation therein.
10. In Part VII, lines 44 and 45, see "2" above and explanation therein.
11. In Part VII, re the asset reported at line 142 of this report, "Schwab US Treasury MMF (SWUXX)", this asset was not listed on my 2016 Report, and that was inadvertent error on my part. As background: in addition to the US Treasury Bills that our financial advisor/manager maintains for us as a cash asset, they also maintain this Schwab account that in turn holds as its assets US Treasury Bills; which is a somewhat indirect cash asset. The purpose of this account is to have a place to place funds, usually for a short time, in between other transactions. For example, our financial manager may determine to sell 100 shares of Amazon from our stock holdings, but not have another purchase in mind when they do so--so, the money generated from the sale of those Amazon shares goes into this Schwab US Treasury etc. account, usually for a short time, until our financial manager decides to purchase X number of shares of another security. So this account is an "asset" in a purely transitory way, but we didn't really consider this as an "asset" as much as a sort of proxy for other assets, and didn't report it separately in 2016. As it happens, there was actually not much in the account as of 12/31/16 (a few thousand dollars I believe), but it should have been reported, and I regret the error. As it further happens, there was a lot more in this account as of 12/31/17, (I have no idea why, I am not involved in trading decisions, other than to tell our advisor/manager them that there are some types of assets which I cannot hold--for judicial "conflicts" reasons), so it more easily caught our attention this time around.
12. In Part VII, re the assets listed at lines 173-192 of this report, these assets are listed in this Report in greater detail than they had been listed previously. Previously, I had reported the direct investments in Treasury Bills as a cash- like asset, and they were reported on an aggregate, end of the year basis. In this Report, and on a go-forward basis, I will list them as separate assets (i.e., each Treasury Bill will be reported as a separate asset and transaction).

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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
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One Columbus Circle, N.E.
Washington, D.C. 20544