

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) Lafferty, William J.	2. Court or Organization Bankruptcy Court, Northern District of California	3. Date of Report 7/31/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
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
2. Partner, various Howard Rice Investment Funds	Howard Rice Investments 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	Trust
2. 3/1/93	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.)*

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

The Permanente Medical Group--Salary

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1. National Conference of
Bankruptcy JudgesOctober 30-
November 2, 2013

Atlanta, GA

Attend Annual meeting of
NCBJ

Two Nights Hotel Stay, total \$408.32

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.)

	<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 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. I. Filer (H)									
2. Charles Schwab Bank, Deposit Account	A	Interest	M	T					
3. CBS Corp., Common Stock	A	Dividend	J	T					
4. Dreyfus Growth & Income Mutual Fund	A	Int./Div.	J	T					
5. Howard Rice Investment Fund 01 (no control)	B	Distribution	J	U					
6. Howard Rice Investment Fund 02 (no control)		None	J	U					
7. Howard Rice Investment Fund 03 (no control)		None	J	U					
8. Howard Rice Investment Fund 04 (no control)		None	J	U					
9. Howard Rice Investment Fund 05 (no control)		None	J	U					
10. Howard Rice Investment Fund 06 (no control)		None	J	U					
11. Howard Rice Investment Fund 07 (no control)		None	J	U					
12. Howard Rice Investment Fund 08 (no control)		None	J	U					
13. Howard Rice Investment Fund 09 (no control)		None	J	U					
14. Howard Rice Profit Sharing Plan (no control)	E	Int./Div.			Sold	03/15/13	O	A	See Part VIII
15. Howard Rice 401(k) Match (no control)	E	Int./Div.			Sold	03/15/13	N	A	See Part VIII
16. III. Trust No. 1 (H)									
17. Real property, Orinda, CA		None	N	W					

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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = \$50,001 - \$100,000
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	
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18. IV. Other Non-Trust (H)									
19. Rental Property, Alameda, CA	E	Rent	O	W					
20. Rental Property, Ventura, CA,	C	Rent	N	W					
21. Schwab Money Market Fund: SWMXX	A	Int./Div.	M	T	Buy (add'l)	12/30/13	M		See Part VIII
22. Vanguard Total Intl Stock Market Index Fund: VGTGX	A	Int./Div.	J	T					
23. Vanguard Total Stock Market Index Fund: VTSMX	A	Int./Div.	K	T					
24. Capital One (savings)	B	Interest			Closed	12/30/13	M	A	See Part VIII
25. Barclays Bank	A	Interest	M	T	Open	12/30/13	M		See Part VIII
26. Wells Fargo Bank (Deposit Account)	A	Interest	J	T	Sold (part)	12/30/13	M	A	See Part VIII
27. Cross Timbers Partnership	A	Dividend	J	T					
28. Scwab Short-Term Bond Market Funds SWBDX	A	Int./Div.	J	T					
29. Retirement Accounts A (H) Permanente									
30. I. TPMG Salary Deferral (H)									
31. BTC US Equity Market	C	Int./Div.	L	T					
32. Cap Group International Equity, fka Cap Guardian, etc. (Y)									
33. TPMG Target DT 2020	C	Int./Div.	K	T					
34. FID MIP II CL 3 (Y)									See Part VIII

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35. FR Fixed Income Retirement (Permanente)	C	Int./Div.	L	T					
36. TPMI International Foreign Fund (new)	A	Int./Div.	K	T					
37. 2. Permanente Employer Contribution Plan (H)									
38. BTC US Equity Market	B	Int./Div.	M	T					
39. Cap Group International Equity, fka Cap Guardian International Equity	C	Int./Div.	K	T					
40. TPMG Target DT 2020	B	Int./Div.	J	T					
41. FR Fixed Income Employer Retirement Plan Permanente	B	Int./Div.	K	T					
42. TMPL International Foreign Fund, fka TMPI International, etc.	A	Int./Div.	J	T					See Part VIII
43. 3. Kaiser Foudation Health Plan (H)									
44. (a) Plan B (H)									
45. Vanguard Wellington Fund, Inv	D	Int./Div.	L	T					
46. Vanguard Total Bond Mkt 1x 1st Plus (See text VIII)	A	Int./Div.	K	T					
47. Vanguard 1st Tt St. Mkt Inx 1st Plus (See text VIII)	C	Int./Div.	M	T					
48. KP Growth Equity Fund	E	Int./Div.	N	T					
49. KP Interest Income Fund	A	Int./Div.	J	T					
50. (b) TSA (H)									
51. Vanguard Wellington Fund, Inv	E	Int./Div.	M	T					

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52. Stable Income Fund	A	Int./Div.	K	T					
53. Janus Adviser Forty 1	D	Int./Div.			Closed	08/09/13	L	A	See Part VIII
54. Vanguard Total Bond Mkt 1x 1st Plus	A	Int./Div.	L	T					
55. Vanguard 1st Tt St. Mkt Inx 1st Plus	D	Int./Div.	N	T	Buy (add'l)	08/09/13	L		See Part VIII
56. Wells Fargo Deposit Account	A	Dividend	J	T					
57. FRC Accounts: Trust, Trust, IRA (See Part VIII)	E	Int./Div.	P1	T					
58. - 3M Company					Buy (add'l)	05/01/13	J		
59. - Amylin Pharmaceuticals (AMLN)									
60. - AES Corporation (AES)					Buy (add'l)	04/03/13	J		
61. - ARM Holdings PLC (ARMH)					Buy	11/14/13	J		
62. - Access Midstream Partners (ACMP)					Buy (add'l)	08/16/13	J		
63.					Sold (part)	1/31/13	J		
64. - Aegerion Pharmaceuticals (AEGR)					Buy	02/06/13	J		
65.					Sold (part)	05/29/13	J	B	
66. - Allscripts Healthcare Solution (MDRX)									
67. - Altria Group Inc (MO)									
68. - Amarin Corp (AMRN)					Buy (add'l)	11/07/13	K		

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69.					Sold (part)	12/31/13	J	A	
70. -Amazon.com Inc. (AMZN)					Sold	01/22/13	K	C	
71. -Amgen Inc (AMGN)									
72. - Apple Inc. (AAPL)					Buy (add'l)	04/25/13	J		
73.					Sold (part)	12/31/13	J	B	
74. - Archer Daniels Midland (ADM)					Sold (part)	10/22/13	K	C	
75. - Australia & NZ Bank (ANZ)					Sold (part)	02/08/13	J	A	
76. - Automatic Data Processing, Inc (ADP)					Sold (part)	03/08/13	J	A	
77. -BCE Inc. (BCE)					Buy	08/15/13	J		
78. - Bristol-Myers Squibb Co. (BMY)					Sold (part)	09/19/13	J	B	
79. - Broadcom Corp (BRCM)					Buy (add'l)	09/23/13	J		
80. - Chipolte Mexican Grill (CMG)									
81. - Chubb Group (CB)					Buy (add'l)	03/21/13	J		
82.					Sold (part)	05/31/13	J	B	
83. - Church & Dwight Co, Inc (CHD)					Buy (add'l)	10/04/13	J		
84.					Sold (part)	10/22/13	J	E	
85. - Coca-Cola Company (KO)									

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86. - Columbia Large Cap Enhanc Core FD (NMIX)									
87. - Costco Wholesale Corp (COST)									
88. - CREE Inc (CREE)					Buy (add'l)	12/04/13	K		
89.					Sold (part)	10/14/13	K	D	
90. - Cross Timbers Royalty (CRT)					Buy (add'l)	05/29/13	J		
91.					Sold (part)	12/31/13	J	A	
92. - DFA International Core Equity (DFIEX)					Buy (add'l)	12/11/13	J		
93.					Sold (part)	11/06/13	J	C	
94. - DFA US Large Cap Value Portfolio (DFLVX)					Buy (add'l)	12/11/13	J		
95. - Deere & Company (DE)					Buy (add'l)	07/05/13	J		
96. - El Paso Pipeline Partners (EPB)					Buy	11/12/13	J		
97. - Emerson Electric Co. (EMR)					Buy (add'l)	04/03/13	J		
98.					Sold (part)	02/01/13	J	A	
99. - Engility Holdings Inc									
100. - Exxon Mobile Corp (XOM)					Buy (add'l)	04/19/13	J		
101.					Sold (part)	12/31/13	J		
102. - Fidelity National Info Srv (FIS)					Sold (part)	06/04/13	J	D	

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103. - Fifth Third Bank (FITB)					Buy (add'l)	09/20/13	J		
104.					Sold	11/08/13	J	A	
105. - Freeport-McMoRan Inc. (FCX) f/k/a Freeport McMoran Copper					Buy (add'l)	10/25/13	K		
106.					Sold (part)	12/31/13	K	A	
107. - First Eagle Overseas Fund (SGOVX)									
108. - Generac Holdings Inc (GNRC)					Buy (add'l)	10/28/13	J		
109. - Genreal Electric (GE)					Buy	03/26/13	J		
110. - Gentex Corp (GNTX)					Buy (add'l)	01/17/13	J		
111.					Sold (part)	12/02/13	J	B	
112. - Google Inc (GOOG)					Buy (add'l)	10/10/13	K		
113.					Sold (part)	12/31/13	K	B	
114. -Honeywell Intl Inc (HON)					Sold	02/05/13	J	A	
115. - Hudson Pacific Properties Inc (HPP)					Buy (add'l)	11/07/13	J		
116.					Sold (part)	02/01/13	J	A	
117. - IBM Corp (IBM)					Buy (add'l)	10/04/13	J		
118. - Illumina Inc (ILMN)					Buy (add'l)	10/08/13	J		
119.					Sold (part)	12/31/13	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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Name of Person Reporting

Lafferty, William J.

Date of Report

7/31/2014

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. - Intel Corp (INTC)					Buy (add'l)	07/10/13	K		
121.					Sold (part)	10/14/13	K	A	
122. - International Flavors & Frag. (IFF)					Sold (part)	10/14/13	J	A	
123. - Intuit Inc (INTU)									
124. - Johnson & Johnson (JNJ)					Sold (part)	07/18/13	J	B	
125. - Keurig Green Mountain INC (GMCR)					Buy	07/03/13	J		
126. - Kinder Morgan Energy Partners (KMP)					Buy (add'l)	07/23/13	J		
127. - Kinder Morgan Inc (KMI)					Buy	09/18/13	J		
128. - Kraft Food Group Inc (KRFT)									
129. -L-3 Communications					Sold (part)	08/07/13	J	B	
130. - MPLX					Buy	08/16/13	J		
131. - Manitowoc Company Inc					Buy	10/10/13	J		
132. - Martina Marietta Materials Inc (MLM)									
133. - Mastercard Inc					Buy	07/18/13	J		
134. - Merck & Co, Inc. (MRK)					Buy (add'l)	05/17/13	K		
135. - Microsoft Corp (MSFT)					Buy (add'l)	08/16/13	J		
136. - Mondelez International Inc (MDLZ)									

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

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)
137. - Monsanto Co. (MON)									
138. - Nestle S.A. ADR (NSRGY)					Buy (add'l)	10/10/13	J		
139.					Sold (part)	03/21/13	J		
140. - Newmont Mining Corp (NEM)					Buy (add'l)	01/31/13	J		
141.					Sold	12/31/13	J	A	
142. - Nokia Corp (NOK)					Buy (add'l)	05/22/13	J		
143.					Sold (part)	09/27/13	J	A	
144. - Norfolk Southern Corp (NSC)					Buy (add'l)	06/14/13	J		
145.					Sold (part)	12/02/13	J	A	
146. - Novartis AG (NVON)									
147. - Novo-Nordisk A/S (NVO)					Buy (add'l)	11/01/13	J		
148.					Sold (part)	12/31/13	J	A	
149. - OmniVision Technologies (OVTI)					Buy (add'l)	12/10/13	K		
150.					Sold (part)	06/03/13	K	A	
151. - Oracle Corp (ORCL)					Buy (add'l)	07/18/13	J		
152.					Sold (part)	11/25/13	J	A	
153. -Paychex Inc (PAYX)									

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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Name of Person Reporting

Lafferty, William J.

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7/31/2014

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. - Pfizer, Inc (PFE)					Buy (add'l)	07/01/13	J		
155.					Sold (part)	06/03/13	J	A	
156. - Philip Morris Intl (PM)					Buy (add'l)	07/09/13	J		
157. - Phillips 66 (PSX)					Buy (add'l)	07/01/13	J		
158.					Sold (part)	11/27/13	J	A	
159. - Potash Corp Saskatch (POT)					Buy (add'l)	10/04/13	J		
160.					Sold (part)	11/27/13	J	A	
161. - Principal Financial Group (PFG)									
162. - ProShares Ultra Short Leh 20+Trea (TBT)					Sold	08/06/13	J	A	
163. - QualComm Inc (QCOM)					Buy (add'l)	04/25/13	K		
164.					Sold (part)	12/23/13	K	A	
165. - Roche Holding Ltd					Sold (part)	12/31/13	J	B	
166. - Sabine Royalty Trust (SBR)					Buy (add'l)	07/23/13	K		
167. - Schlumberger LTD (SLB)					Buy (add'l)	03/18/13	J		
168.					Sold (part)	10/14/13	J	A	
169. - Sigma-Aldrich Corp (SIAL)					Buy (add'l)	04/19/13	J		
170.					Sold (part)	07/16/13	J	B	

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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Name of Person Reporting

Lafferty, William J.

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7/31/2014

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)	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)
171. - State Value Advantage Mutual Fund (SVVMF)									
172. - State Street Corp (STT)					Sold (part)	05/28/13	J	C	
173. - Suncor Energy (SU)					Buy (add'l)	03/28/13	J		
174. - J. Robert Price Capital Inc (JRCMI)					Buy (add'l)	03/21/13	J		
175.					Sold (part)	11/25/13	J	A	
176. - General & Electric Corp (GE)									
177. - U.S. Bancorp (USB)					Buy	04/09/13	J		
178.					Sold	07/12/13	J	A	
179. - U.S. Govt. Notes					Buy	08/07/13	M		
180. - Delta Petroleum Corp (DPL)					Buy (add'l)	07/30/13	K		
181.					Sold (part)	05/21/13	K	A	
182. - Clorox Package Corp (CLPX)					Buy (add'l)	01/27/13	K		
183.					Sold (part)	12/31/13	K	B	
184. - C. R. Bard PLC (BID)									
185. - United Technologies Corp (UTX)					Sold (part)	12/31/13	K	B	
186. - Wal-Mart (WMT)					Buy (add'l)	11/08/13	J		
187. - Vanguard Short-Term Bond ETF (BSY)					Buy	01/28/13	K		

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
2. Value Codes	J - \$15,000 or less	K - \$15,001 - \$50,000	L - \$50,001 - \$100,000	M - \$100,001 - \$250,000	N - \$250,001 - \$500,000
3. Value Method Codes	Q - Appraised	R - Cost (Real Estate Only)	S - Assessment	T - Cash Market	U - Book Value

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Name of Person Reporting

Lafferty, William J.

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7/31/2014

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	(2) Type (e.g., div, rent, etc.)	(1) Value Code 2	(2) Value Method (Q-W)	(1) Type (e.g., buy, sell, real estate)	(2) Date mm/dd/yy	(3) Value Code 2 (1-P)	(4) Gain Code 1 (A-D)	(5) Identity of buyer/seller for private transaction
188					Sold	03/01/13	K	A	
189 - Vanguard Total World Market Index Fund (VTWIX)					Sold	03/07/13	K		
190 - Vanguard Total Bond Index Fund (VTBIX)									
191 - Vanguard Real Estate Index Fund (VREIX)					Buy (add)	03/04/13	J		
192					Sold (part)	10/22/13	J	A	
193. - W.R. Berkley Corp (WRB)					Sold (part)	03/07/13	J	B	
194. - Williams Partners (WRZ)					Buy	11/01/13	J		
195. - Walter Energy, Inc (WLT)									
196. - Xilinx Inc (XLNX)					Sold (part)	07/23/13	J	C	
197. - Wright Medical Group, Inc (WGMH)					Buy	04/25/13	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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Lafferty, William J.

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS

Part VII.C

In description of filer's investments and assets, lines 5 through 15 (Howard Rice Investment Funds, Nos. 1-9). The entities discussed are limited liability companies or limited partnerships formed years ago by filer's former employer, the law firm Howard Rice Nemerovski Canady Falk & Rabkin, that remain in existence and in which filer has a relatively nominal but continuing interest. The entities are managed by third parties who have complete control over, under ideal, all asset acquisition or disposition issues. Filer has no control or management powers with respect to these entities or their assets.

Transfer of filer's investments and interests since 2/1/2013. The funds attributable to filer in the Howard Rice, etc. Profit Sharing Plan and its associated 401(k) Plan were "rolled over" into filer's 401(k) Plan as administered by Fairfield Bush & Co. in a transaction dated March 15, 2013. For accounting purposes, filer's interest in the Profit Sharing and 401(k) accounts were reduced to cash, and the cash was delivered to Fairfield Bush, and has been invested by them since that time, as reflected in the description of transactions in Part VII of this report.

FINANCIAL DISCLOSURE REPORT

Date of Filing: 02/01/2016

Form JS-100 (Rev. 1/15)

Page 1 of 17

Candidate: William J. Lafferty

IN CERTIFICATION:

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is true and correct to the best of my knowledge and belief, and that all information has been reported and included, where it is applicable, under provisions permitting non-disclosure.

I have verified this information with records, employers and wherever else the accuracy of the information has been substantiated in compliance with the provisions of 5 U.S.C. app. § 101 and app. § 104, and 5 U.S.C. 552, that financial disclosure is required.

Signature of 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