

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) Williams, Stephen F.	2. Court or Organization U.S. Court of Appeals, DC Circuit	3. Date of Report 08/29/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III Judge, Senior Status	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 U.S. Court of Appeals 333 Constitution Avenue, N.W. Washington, D.C. 20001		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2017	Encounter Books, advance	\$5,000.00
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. University of Colorado	February 10-13, 2017	Boulder Colorado	Speaker on panel in telecommunications program	Transportation, food and lodging
2. Mentor Group	September 12-17, 2017	Rome, Italy	Non FJC program funded by private association	Transportation, food and lodging
3. Wharton	September 28, 2017	Philadelphia, PA	Conduct seminar	Transportation, food and lodging
4. ALI	October 11-13, 2017	Philadelphia, PA	Restatement of the Law-Property	Transportation, food and lodging
5. ALI	October 25-26, 2017	Philadelphia, PA	Restatement of the Law-Conflicts of Laws	Transportation, food and lodging

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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. Vanguard Index 500	D	Dividend	O	T					
2. Vanguard Prime MM Fund	A	Dividend	K	T	Buy (add'l)	03/24/17	J		
3.					Buy (add'l)	05/08/17	K		
4.					Sold (part)	04/06/17	K		
5.					Buy (add'l)	06/21/17	J		
6.					Buy (add'l)	09/20/17	J		
7.					Buy (add'l)	12/07/17	J		
8.					Buy (add'l)	12/21/17	J		
9.					Buy (add'l)	12/29/17	J		
10. Vanguard Mid-Cap Index	D	Dividend	O	T					
11. Vanguard Total Int'l	B	Dividend	M	T					
12. Vanguard Total Stock	C	Dividend	M	T					
13. Vanguard Small Cap Index	B	Dividend	M	T					
14. Gold Corp. Inc.	A	Dividend	J	T					
15. Dreyfus S&P 500	D	Dividend	M	T					
16. Mathews Pacific Tiger	D	Dividend	N	T					
17. House, Boulder CO	D	Rent	O	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 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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	(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)

18. PNC Bank	A	Interest	M	T					
19. TIAA Traditional N.3	D	Distribution	M	T					
20. Nestle	C	Dividend	M	T					
21. Proctor & Gamble	B	Dividend	K	T					
22. QEP Resources	A	Dividend	K	T					
23. Merck	A	Dividend	K	T					
24. Trust No. 1, BNY Mellon, N.I									
25. --Mellon Cash Reserve	A	Dividend	J	T					
26. --Mellon Income Stock Fund	A	Dividend	K	T					
27. --Mellon Focused Equity	A	Dividend	K	T					
28. --Dreyfus Opportunistic Small Cap Fund	A	Dividend	K	T					
29. --Dreyfus Large Cap Fund	A	Dividend	K	T					
30. --Strategic Global Stock Fund	A	Dividend	K	T					
31. --Mellon Multi-Strategy Fund	A	Dividend	J	T					
32. Trust u/w CDW, N.2									
33. --Vanguard MoneyMarket	A	Dividend	K	T	Sold (part)	03/23/17	J		
34.					Buy (add'l)	03/24/17	J		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35.					Sold (part)	04/06/17	J		
36.					Sold (part)	05/08/17	J		
37.					Buy (add'l)	05/08/17	J		
38.					Buy (add'l)	06/21/17	J		
39.					Buy (add'l)	09/29/17	J		
40.					Buy (add'l)	12/07/17	J		
41.					Buy (add'l)	12/19/17	J		
42.					Buy (add'l)	12/21/17	J		
43. --PRIME Cap. Vanguard	D	Dividend	M	T					
44. --Vanguard Extended Market	D	Dividend	N	T					
45. --Mathews Pacific Tiger	C	Dividend	N	T					
46. IRA #1									
47. --Vanguard Total Int'l	A	Dividend	M	T	Distributed (part)	11/28/17	J		
48. --Vanguard Total Stock Market	C	Dividend	P1	T	Distributed (part)	11/28/17	L		
49. --Vanguard Prime Money Market		None	J	T					
50. --Mathews Pacific Tiger	D	Dividend	M	T					
51. Vanguard Index 500	E	Dividend	P1	T					

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52. Vanguard Prime Money Market	A	Dividend	L	T	Sold (part)	03/14/17	M		
53.					Sold (part)	09/08/17	L		
54.					Buy (add'l)	11/16/17	M		
55.					Buy (add'l)	11/17/17	J		
56.					Buy (add'l)	11/28/17	M		
57.					Buy (add'l)	12/07/17	J		
58.					Buy (add'l)	12/21/17	K		
59.					Buy (add'l)	12/28/17	K		
60. Vanguard Mid-Cap Index	D	Dividend	O	T					
61. Vanguard Emerging Markets	A	Dividend			Sold	11/15/17	K	D	
62. Vanguard Total Int'l Stock Index	F	Dividend	P1	T	Sold (part)	11/15/17	M	D	
63. Vanguard Total Stock Index	E	Dividend	P1	T	Sold (part)	11/15/17	J	C	
64. Mathews Pacific Tiger	C	Dividend	N	T					
65. Dreyfus S&P 500	E	Dividend	N	T					
66. JP Morgan Lg Cap Growth	C	Dividend			Sold	11/15/17	K	D	
67. IRA #2									
68. --Vanguard Money Market	A	Dividend	J	T	Buy (add'l)	11/29/17	J		

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69.					Distributed	11/30/17	J		
70. --Mathews Pacific Tiger	A	Dividend	M	T	Sold (part)	11/28/17	J	A	

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

1. This is a testamentary trust established by my mother, of which I am the life beneficiary.
2. This is a testamentary trust established by my father, of which I am the life beneficiary.
3. In response to a letter dated July 26, 2019 from the Committee on Judicial Disclosure questioning the prior labelling of this asset, I inquired with TIAA, reviewed quarterly statements from TIAA, and consulted staff for the Committee. The label used in this amended return appears to best reflect reality for purposes of the form.

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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/ Stephen F. Williams

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