

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 10/25/2016
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 01/01/2015 to 12/31/2015
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 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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 17

Name of Person Reporting

Lafferty, William J.

Date of Report

10/25/2016

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. 2015

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. California Bankruptcy Forum

May 15-17, 2015

Napa, CA

Attend Annual meeting
CBF, Make Presentations

One Nights Hotel, Meals

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 3 of 17

Name of Person Reporting

Lafferty, William J.

Date of Report

10/25/2016

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 17

Name of Person Reporting

Lafferty, William J.

Date of Report

10/25/2016

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)		None	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)	E	Distribution			Distributed	11/17/15	K	E	See Part VIII
13. Howard Rice Investment Fund 09 (no control)		None	J	U					
14. III. Trust No. 1 (H)									
15. Real Property, Orinda, CA		None	N	W					
16. IV. Other Non-Trust (H)									
17. Rental property, Alameda, CA	E	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	
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FINANCIAL DISCLOSURE REPORT

Page 5 of 17

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18. Rental property, Ventura, CA (1/3 interest--shared with two sisters)	B	Rent	M	W					See Part VIII
19. Barclays Bank	A	Interest	N	T					
20. Wells Fargo Bank (Deposit Account, Checking)	A	Interest			Closed	05/06/15	K		See Part VIII
21. Wells Fargo Bank (Deposit Account, Savings)	A	Interest			Closed	05/06/15	J		See Part VIII
22. Cross Timbers Partnership	A	Dividend	J	T					
23. IRA's: (H)									
24. Schwab, SWBDX (IRA)	A	Int./Div.	J	T					
25. Schwab, Vanguard Total Intl Stock Market Index Fund, VGTSSX (IRA)	A	Int./Div.	J	T					
26. Schwab, Vanguard Total Stock Market Index Fund, VTSMX (IRA)	A	Int./Div.	K	T					
27. Schwab Money Market Fund (S&P 500 Index): SWMXX	A	Int./Div.	K	T	Buy (add'l)	05/06/15	K		See Part VIII
28.					Sold (part)	08/03/15	J		
29. Schwab, Money Market Fund, SWPPX	A	Int./Div.	J	T	Buy (add'l)	08/03/15	J		See Part VIII
30. Retirement Accounts (W) Permanente (H)									
31. 1. TPMG Salary Deferral (W) (H)									
32. BTC US Equity Market	A	Int./Div.	L	T					
33. Cap Group Int'l Equity.	A	Int./Div.	K	T					
34. BTC Life Path 2020 F, fka TPMG Target DT 2020	A	Int./Div.	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 6 of 17

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35. FR Fixed Income Retirement (Permanente)	A	Int./Div.	L	T					
36. TPMI International Foreign Fund	A	Int./Div.	K	T					
37. TPMG Conservative Fund	A	Int./Div.	J	T					
38. 2. Permanente Employer Contribution Plan (W) (H)									
39. BTC US Equity Market	A	Int./Div.	K	T					
40. Cap Group International Equity Equity	A	Int./Div.	K	T					
41. BTC Life Path 2020 F, fka TPMG Target DT 2020	A	Int./Div.	J	T					
42. FR Fixed Income Employer Retirement Plan (Permanente)	A	Int./Div.	K	T					
43. TPML International Foreign Fund, fka TPMI International, etc.	A	Int./Div.	J	T					
44. 3. Kaiser Foundation Health Plan(W) (H)									
45. (a) Plan B(W) (H)									
46. Vanguard Wellington Fund, Inv.	A	Int./Div.	L	T					
47. Vanguard Total Bond Mkt 1x 1st Plus	A	Int./Div.	K	T					
48. Vanguard 1st Tt St. Mkt Inx 1st Plus	A	Int./Div.	M	T					
49. KP Growth Equity Fund	A	Int./Div.			Sold	12/18/15	N		See Part VIII
50. Vanguard Prime Cap Fund Admiral	A	Int./Div.	N	T	Buy	12/18/15	N		See Part VIII
51. KP Interest Income Fund	A	Int./Div.	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 7 of 17

Name of Person Reporting

Lafferty, William J.

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52. (b) TSA (W) (H)									
53. Vanguard Wellington Fund, Inv.	A	Int./Div.	N	T					
54. Stable Income Fund	A	Int./Div.	K	T					
55. Vanguard Total Bond Mkt 1x 1st Plus	A	Int./Div.	L	T					
56. Vanguard 1st Tt St. Mkt Inv 1st Plus	A	Int./Div.	N	T					
57. Dreyfus Appreciation Fund (IRA)	A	Int./Div.	K	T					
58.									
59. 3M Company (MMM)	B	Dividend	L	T	Buy (add'l)	07/09/15	J		
60. Accelerate Diagnostics, Inc. (AXDX)	A	Dividend	K	T	Buy (add'l)	01/14/15	J		
61.					Sold (part)	07/22/15	J	A	
62. AES	B	Dividend	K	T	Buy (add'l)	02/18/15	J		
63.					Sold (part)	12/31/15	J	A	
64. Amgen (AMGN)	B	Dividend	K	T	Buy (add'l)	11/12/15	J		
65.					Sold (part)	09/02/15	K	E	
66. Apple (AAPL)	A	Dividend	J	T	Sold (part)	06/05/15	J	A	
67. Archer Daniels Midland (ADM)	A	Dividend	J	T	Sold (part)	12/18/15	J	A	
68.					Buy (add'l)	10/01/15	J		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 17

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Lafferty, William J.

Date of Report

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69. Automatic Data Processing (ADP)	A	Dividend	K	T	Sold (part)	07/09/15	J	B	See Part VIII
70. BHP Billiton Limited (BHP)	B	Dividend	J	T	Buy (add'l)	08/20/15	K		
71.					Sold (part)	12/31/15	J	A	
72. Bristol-Myers Squibb Co. (BMY)	A	Dividend			Sold	05/27/15	K	E	
73. Broadcom Corporation (BRCM)	A	Dividend	K	T	Sold (part)	09/02/15	K	D	
74. Celgene Corp. (CELG)	A	Dividend	J	T	Buy (add'l)	04/01/15	J		
75. Chipotle Mexican Grill (CMG)		None	K	T	Buy (add'l)	04/22/15	J		
76.					Sold (part)	08/04/15	J	A	
77. Church & Dwight Co Inc (CHD)	A	Dividend	K	T	Buy (add'l)	12/31/15	J		
78.					Sold (part)	09/25/15	L	E	
79. CREE	A	Dividend	K	T	Buy (add'l)	09/03/15	J		
80.					Sold (part)	09/08/15	J	A	
81. Cross Timbers Royalty (CRT)	B	Royalty	J	T	Sold (part)	12/31/15	J	A	
82. Deere & Company (DE)	A	Dividend	J	T	Sold (part)	06/25/15	K	D	
83. DFA INTERNATIONAL CORE EQUITY	B	Int./Div.	L	T	Buy (add'l)	12/15/15	J		
84. DFA U.S. LARGE CAP VALUE PORTFOLIO	C	Int./Div.	L	T	Buy (add'l)	12/16/15	J		
85. DuPont de Nemours & Co. (DD)	A	Dividend			Sold	03/05/15	K	B	

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FINANCIAL DISCLOSURE REPORT

Page 9 of 17

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86. Emerson Electric Co (EMR)	A	Dividend	K	T	Sold (part)	06/05/15	J	A	
87. Energy Transfer Equity, L.P. (ETE)	B	Royalty	J	T	Buy (add'l)	10/01/15	K		
88.					Sold (part)	12/31/15	J	A	
89. Ensco Plc (ESV)	A	Dividend			Buy	02/03/15	J		
90.					Sold	04/06/15	J	A	
91. Fidelity National Info (FIS)	A	Dividend	K	T	Sold (part)	10/13/15	J	C	
92. Freeport-McMoRan Inc. (FCX)	A	Dividend			Sold	03/30/15	K	A	
93. General Electric Company (GE)	A	Dividend	K	T	Buy (add'l)	05/11/15	J		
94.					Sold (part)	03/18/15	J	A	
95. Gentex Corp (GNTX)	A	Dividend	K	T	Buy (add'l)	12/22/15	K		
96.					Sold (part)	03/18/15	J	C	
97. Google Class C (GOOG)		None	L	T	Sold (part)	09/23/15	J	A	
98. Honeywell Intl Inc. (HON)	A	Dividend	J	T	Buy (add'l)	09/03/15	J		
99. Hudson Pacific Properties, Inc (HPP)	A	Dividend	J	T	Sold (part)	08/24/15	J	B	
100. IBM		None			Sold	01/27/15	J	A	
101. Illumina Inc (ILMN)		None	M	T	Buy (add'l)	10/12/15	K		
102. International Flavors&Frag. (IFF)	A	Dividend	K	T	Buy (add'l)	02/20/15	J		

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FINANCIAL DISCLOSURE REPORT

Page 10 of 17

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103.					Sold (part)	06/22/15	J	B	
104. Intuit Inc. (INTU)	A	Dividend	K	T	Sold (part)	03/17/15	J	C	
105. JM Smucker Co. (SJM)	A	Dividend	K	T	Sold (part)	10/09/15	K	C	
106. Johnson & Johnson (JNJ)	A	Dividend	K	T	Buy (add'l)	10/12/15	K		
107.					Sold (part)	07/07/15	J	A	
108. Keurig Green Mountain, Inc. (GMCR)	A	Dividend	K	T	Buy (add'l)	09/03/15	K		
109.					Sold (part)	12/31/15	K	A	
110. Kinder Morgan Inc cl P (KMI)	C	Royalty	K	T	Sold (part)	12/23/15	K	A	
111. King Digital Entertainment plc (KING)	B	Dividend	K	T	Buy (add'l)	02/17/15	J		
112.					Sold (part)	08/04/15	J	A	
113. Kraft Heinz Co (KHC)	A	Dividend	J	T	Sold (part)	02/04/15	J	B	
114. L-3 Communications (LLL)	A	Dividend			Sold	03/16/15	K	D	
115. Lowes Company (LOW)		None	J	T	Buy	12/03/15	J		
116. Merck & Co. Inc. (MRK)	A	Dividend			Sold	03/24/15	K	D	
117. Microsoft Corporation (MSFT)	B	Dividend	M	T	Buy (add'l)	06/24/15	J		
118. MPLX LP	A	Royalty	L	T	Buy (add'l)	12/29/15	L		
119.					Sold (part)	01/29/15	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	

FINANCIAL DISCLOSURE REPORT

Page 11 of 17

Name of Person Reporting

Lafferty, William J.

Date of Report

10/25/2016

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. Myriad Genetics Inc. (MYGN)	A	Dividend	J	T	Buy (add'l)	01/23/15	J		
121.					Sold (part)	10/07/15	K	A	
122. Nestle S.A. ADR (NSRGY)	A	Dividend			Sold	08/14/15	K	D	
123. NewLink Genetics Corporation (NLNK)		None	J	T	Buy (add'l)	12/17/15	J		
124. Nokia Corp (NOK)	A	Dividend	J	T	Sold (part)	10/30/15	J	A	
125. Norfolk Southern Corp (NSC)	A	Dividend	K	T	Buy (add'l)	03/25/15	J		
126.					Sold (part)	08/17/15	J	A	
127. Novartis AG (NVS)	A	Dividend	K	T	Buy (add'l)	12/17/15	K		
128. Novo-Nordisk A/S (NVO)	A	Dividend	K	T	Buy (add'l)	02/03/15	J		
129.					Sold (part)	08/04/15	K	C	
130. OmniVision Technologies (OVTI)	A	Dividend	K	T	Buy (add'l)	07/20/15	J		
131.					Sold (part)	12/31/15	K	E	
132. Opko Health Inc (OPK)	A	Dividend	K	T	Buy (add'l)	12/30/15	J		
133.					Sold (part)	10/19/15	K	C	
134. Oracle Corporation (ORCL)	A	Dividend	K	T	Sold (part)	06/17/15	J	C	
135. Pfizer inc. (PFE)	A	Dividend			Sold	08/19/15	K	D	
136. Phillips 66 (PSX)	A	Dividend	J	T	Buy (add'l)	03/24/15	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	
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	

FINANCIAL DISCLOSURE REPORT

Page 12 of 17

Name of Person Reporting

Lafferty, William J.

Date of Report

10/25/2016

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. Potash Corp (POT)	B	Dividend	K	T	Buy (add'l)	06/29/15	J		
138. Qualcomm Inc (QCOM)	B	Dividend	L	T	Buy (add'l)	07/13/15	J		
139. Roche Holdings Ltd (RHHBY)	B	Dividend	K	T	Buy (add'l)	05/19/15	J		
140.					Sold (part)	07/09/15	K	A	
141. Sabine Royalty Trust (SBR)	C	Dividend	K	T	Buy (add'l)	12/03/15	K		
142. Schlumberger Ltd. (SLB)	A	Dividend			Sold	07/07/15	J	A	
143. Seattle Genetics, Inc. (SGEN)	A	Dividend	K	T	Buy (add'l)	08/10/15	J		
144.					Sold (part)	10/15/15	K	A	
145. Sigma-Aldrich Corporation (SIAL)	A	Dividend			Sold	11/18/15	K	D	
146. South32 Limited (SOUHY)		None	J	T	Spinoff (from line 12)	05/29/15	J		
147. SPDR Gold Trust (GLD)		None	J	T	Buy	02/06/15	J		
148. Suncor Energy (SU)	A	Dividend	J	T	Sold (part)	12/09/15	J	A	
149. SunEdison (SUNE)	A	Dividend	J	T	Buy	09/09/15	K		
150.					Sold (part)	12/31/15	J	A	
151. Super Micro Computer (SMCI)	A	Dividend	J	T	Buy	07/20/15	K		
152. Ultra Petroleum Corp (UPL)	A	Dividend	J	T	Buy (add'l)	05/04/15	J		
153.					Sold (part)	02/20/15	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	

FINANCIAL DISCLOSURE REPORT

Page 13 of 17

Name of Person Reporting

Lafferty, William J.

Date of Report

10/25/2016

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. Union Pacific Corp. (UNP)	B	Dividend	K	T	Buy (add'l)	12/01/15	K		
155.					Sold (part)	02/18/15	K	D	
156. United Technologies Corp (UTX)	B	Dividend	K	T	Buy (add'l)	07/23/15	K		
157.					Sold (part)	02/20/15	J	A	
158. Vale S.A. (VALE)	A	Dividend			Sold	03/30/15	J	A	
159. Vanguard US Total Market Index (VTI)	A	Dividend	K	T	Buy (add'l)	05/26/15	K		
160. W.R. Berkley Corp (WRB)	A	Dividend	K	T	Sold (part)	08/13/15	J	B	
161. W.W. Grainger Inc. (GWW)	A	Dividend	K	T	Buy (add'l)	01/26/15	J		
162.					Sold (part)	06/26/15	J	A	
163. Williams Partners LP (WPZ)	C	Royalty	K	T	Buy (add'l)	05/11/15	K		
164.					Sold (part)	12/16/15	K	A	
165. Wright Medical Group Inc. (WMGI)		None	K	T	Buy (add'l)	12/31/15	J		
166. Xilinx Inc. (XLNX)	A	Dividend	K	T	Sold (part)	10/08/15	J	B	
167. Google Class A (GOOGL)		None	K	T					
168. Altria Group (MO)	A	Dividend	K	T					
169. Australia & NZ Bank (ANZBY)	A	Dividend	J	T					
170. BCE Inc. (BCE)	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 14 of 17

Name of Person Reporting

Lafferty, William J.

Date of Report

10/25/2016

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. CDK Global (CDK)	A	Dividend	J	T	Spinoff (from line 69)		J		See Part VIII
172. Chevron Corp (CVX)	A	Dividend	K	T	Buy	04/15/15	J		See Part VIII
173. Chevron Corp (CVX)					Buy (add'l)	05/04/15	J		
174. Chevron Corp (CVX)					Buy (add'l)	11/02/15	J		
175. Chubb Group (CB)	A	Dividend	J	T					
176. Coca-Cola Company (KO)	A	Dividend	J	T					
177. Schwab Value Advantage Money Fund (SWVXX)	A	Interest	K	T					
178. Columbia Large Cap Enhan Core FD (NMIMX)	A	Dividend	L	T					
179. Costco Wholesale Corp (COST)	A	Dividend	J	T					
180. Energy Transfer Partners (ETP)		None	J	T					
181. Engility Holdings (EGL)	A	Dividend	J	T					
182. Exxon Mobil (XOM)	A	Dividend	K	T					
183. Generac Holdings (GNRC)	A	Dividend	K	T					
184. Intel Corp (INTC)	B	Dividend	L	T					
185. LVMH Moet Hennessy (LVMUY)	A	Dividend	J	T					
186. Martina Marietta Materials Inc (MLM)	A	Dividend	J	T					
187. Mastercard Inc (MA)	A	Dividend	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
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FINANCIAL DISCLOSURE REPORT

Page 15 of 17

Name of Person Reporting

Lafferty, William J.

Date of Report

10/25/2016

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) 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. Mondelez International Inc (MDLZ)	A	Dividend	K	T					
189. Philip Morris Intl (PM)	B	Dividend	K	T					
190. Principal Financial Group (PFG)	A	Dividend	K	T					
191. T Rowe Price Group (TROW)	A	Dividend	J	T					
192. Walter Energy, Inc (WLT)	A	Dividend	J	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
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FINANCIAL DISCLOSURE REPORT

Page 16 of 17

Name of Person Reporting

Lafferty, William J.

Date of Report

10/25/2016

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

1. With respect to Part VII, line 12, my former law firm, Howard Rice et al., 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 5-13 of Part VII represent the Howard Rice partnerships in which I had an equity interest when I left the firm to become a Bankruptcy Judge. In general, I have assigned a fairly nominal "value" to my interests in these partnerships because, absent a liquidity event, they have little value per se. In the fall of 2015, one of the companies in which the firm had an equity interest that was held in the Howard Rice Investment Fund '08 had a liquidity event, and the successor law firm (Arnold & Porter) received a distribution from the entity in the form of cash, that was then distributed to the holders of the equity interests in Howard Rice Investment Fund '08. I received a check from the firm in the approximate amount of \$44,000 on November 17, 2015. This blessed and extraordinary result notwithstanding, the assets remaining in the '08 Fund, as well as the assets in the remaining Howard Rice Investment Funds, remain illiquid and therefore, in my mind, of uncertain but likely miniscule value, and I have not altered the year-end amount values for any of these investments.

2. With respect to Part VII, line 18, this asset refers to a piece of real property in Ventura, California in which my wife holds a one-third interest, along with her two sisters, via inheritance (it's their deceased mother's former residence). The property is rented out to third parties, and my wife receives one-third of the rent received. The amount value for income received during the year 2015 decreased because the tenant at the commencement of the year moved out during the year, and the property was vacant (and no rent was generated) for several months during 2015.

3. With respect to Part VII, lines 20 and 21, my wife simply closed out two Wells Fargo deposit accounts in May 2015, and moved the funds into Schwab Money Market Funds (see explanation of lines 27-31 below).

4. With respect to Part VII, lines 27-31, these entries reflect two transactions involving the funds from the closing of the Wells Fargo deposit accounts referenced at "3" above. On May 6, 2015, my wife closed the Wells Fargo accounts and transferred the proceeds, about \$27,000 to Schwab Money Market Fund (S&P 500 Index) SMWXX (line 28). On August 3, 2015, my wife transferred about \$5000 of the funds in Schwab Money Market Fund (S&P 500 Index) SMWXX to Schwab Money Market Fund (S&P 500 Index) SWPPX (lines 29 and 31).

5. With respect to Part VII, lines 51 and 52, on December 18, 2015, the entity that manages the Kaiser Foundation Health Plan retirement account in which my wife has an interest transferred monies that had been held for retirees in a "KP Growth Equity Fund" into a "Vanguard Prime Cap Fund Admiral" fund.

6. With respect to Part VII, line 69, in addition to the sales activity reported there, on September 24, 2014, ADP also spun off a division of its enterprise, and in the process acquired an interest in CDK Global. As a result of this spin-off, I obtained a small interest in CDK Global, which, while accurately reflected on line 171 of my 2015 Report, should have been reflected on my 2014 Report. The omission was completely inadvertent and I apologize for the error.

7. With respect to Part VII, line 172, I acquired my interest in Chevron on three dates during 2015, April 15 (50 shares), May 4 (75 shares), and November 1 (50 shares). These transactions are now reflected in Part VII, lines 172-174. I have also corrected the aggregate value of the interest from Column "C" "2" from "J" to "K".

FINANCIAL DISCLOSURE REPORT

Page 17 of 17

Name of Person Reporting

Lafferty, William J.

Date of Report

10/25/2016

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