

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) Duffey, Jr., William S.	2. Court or Organization Northern District of Georgia	3. Date of Report 5/6/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Court - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 1/1/2015 to 12/31/2015
7. Chambers or Office Address 1721 United States Courthouse 75 Spring Street, S.W. Atlanta, GA 30303-3309		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Chair of the Board of Directors	Atlanta Track Club
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.		
2.		
3.		

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

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.		
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*

DATE	SOURCE AND TYPE
1. 2015	Simon & Schuster - royalties from copyrights
2. 2015	Penguin Group (USA) Inc. - royalties from copyrights
3. 2015	Holtzbrink Publishing Holdings, LP DBA Macmillan - royalties from copyrights
4. 2015	Amazon - royalties from copyrights
5. 2015	Gerth Medien GmbH - advance payment from book sales
6. 2015	Self-employed writer

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*NONE *(No reportable reimbursements.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.				
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. Brokerage Account #2 (H)									
2. -MS Bank Deposit Program	A	Interest	J	T					
3. -Blackrock Global Allocation C	B	Dividend	L	T					
4.	D	Distribution							
5. -Franklin Mutual Quest C (formerly Franklin Mutual Recovery C)	C	Dividend	L	T					
6.	A	Distribution							
7. -Invesco VK Amer Franchise C	B	Distribution	K	T					
8. -Invesco Developing Markets C		None	K	T					
9. -Lord Abbett SHT Duration Inc C	A	Dividend	K	T	Sold (part)	02/02/15	J		
10. IRA #1	D	Dividend	N	T					
11.	B	Distribution							
12.	B	Interest							
13. -MS Bank Deposit Program									
14. -Morgan Stanley					Redeemed	10/15/15	J		
15. -Comcast Corp New					Redeemed	06/29/15	J		
16. -Goldman Sachs Group Inc									
17. -Marathon Oil Corp									

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H = \$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 = \$250,000.001 - \$500,000.000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	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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18. -Verizon Communications									
19. -Glaxosmithkline Cap Inc									
20. -Mondelez International									
21. -Tyco International Finan					Redeemed	09/16/15	J		
22. -AT&T Inc									
23. -Boeing Co									
24. -CVS Caremark Corp									
25. -Indiana Michigan Power									
26. -Altria Group Inc									
27. -Barrick North America Finance LLC									
28. -Federal National Mtg Assn (Y)									
29. -Franklin Income C									
30. -Invesco Equal Wghtd S&P 500 C									
31. -AIP ABSLT RTNSTS									
32. IRA #2	A	Dividend	M	T					
33.	A	Interest							
34. -MS Bank Dep Program(Y)									

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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. -Keyworth Bank									
36. -AIP ABSLT RTNSTS									
37. Roth IRA #1	A	Dividend	J	T					
38.	A	Distribution							
39. -Invesco Growth & Income C									
40. Roth IRA #2	A	Dividend	J	T					
41.	A	Distribution							
42. -Invesco VK Growth & Income C									
43. Brokerage Account #1 (H)									
44. -MS Bank Deposit Program	A	Interest	K	T					
45. -One GA Bk		None	J	T					
46. -Q2 Hldgs Inc		None	K	T	Sold (part)	07/30/15	K	E	
47. -Thornburg Inv Inc Builder C	A	Dividend	K	T	Buy	11/09/15	K		
48.					Buy (add'l)	11/17/15	J		
49. Brokerage Account #3 (H)									
50. -MS Bank Deposit Program	A	Interest	J	T					
51. -iShares MSCI EAFE ETF		None	J	T	Buy	12/30/15	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. JP Morgan Alerian MLP Index ETN		None			Sold	01/28/15	J		
53. -Alerian Mlp Etf		None			Buy	11/12/15	J		
54.					Sold	12/30/15	J		
55. -IQ Hedge Multi-Strat Tracker		None			Sold	01/28/15	J		
56. -Ishares Russel 2000 Growth Fd	A	Dividend	J	T					
57. -Ishares Russel 2000 Value Fd	A	Dividend	J	T					
58. -Ishares Russel Midcap G In Fd	A	Dividend	J	T					
59. -Ishares Russel Midcap V In Fd	A	Dividend	J	T					
60. -Ishares S&P 500 GRWTH Index	A	Dividend	K	T	Sold (part)	02/02/15	J	A	
61.					Sold (part)	04/29/15	J	B	
62. -Ishares S&P 500 Value Index	B	Dividend	K	T	Buy (add'l)	04/29/15	J		
63. -American Tax-Exempt BD FD F2	A	Interest	J	T	Buy	12/16/15	J		
64. -Angel Oak Multi Strat Inc I	A	Dividend			Buy	04/29/15	J		
65.					Sold	12/16/15	J		
66. -Blackstone Alt Multi-Strat Inst		None	J	T	Buy	12/22/15	J		
67. -SPDR DJ Wilshire Global Rea-	A	Dividend			Sold (part)	02/02/15	J	A	
68.					Sold	04/29/15	J	B	

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69. -Dreyfus Intl Bond I	A	Dividend			Sold (part)	04/29/15	J		
70.					Sold	12/16/15	J		
71. -Franklin Fed Intm Trm Txfr Adv	A	Dividend	J	T	Sold (part)	02/02/15	J	A	
72.					Sold (part)	04/29/15	J	A	
73.					Buy (add'l)	12/16/15	J		
74. -JP Morgan Alerian MLP Index		None			Sold	01/28/15	J		
75. -Mainstay Marketfield I		None			Buy	01/28/15	J		
76.					Buy (add'l)	04/29/15	J		
77.					Sold	12/22/15	J		
78. -MFS International Value I	B	Dividend	K	T	Buy (add'l)	04/29/15	J		
79.	A	Distribution							
80. -MFS Municipal LTD Maturity	A	Interest	J	T	Sold (part)	04/29/15	J		
81.					Buy (add'l)	12/16/15	J		
82. -Oakmark International I	A	Dividend	J	T	Buy (add'l)	04/29/15	J		
83.	A	Distribution			Sold (part)	05/04/15	J	A	
84.					Sold (part)	12/30/15	J		
85. -Oppenheimer SR Floating Rate	A	Dividend			Sold (part)	04/29/15	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 \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
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86.					Sold	12/16/15	J		
87. -Tortise MLP & Pipeline Inst	A	Dividend	J	T	Buy	01/28/15	J		
88.	A	Distribution			Sold (part)	11/12/15	J		
89.					Buy (add'l)	12/30/15	J		
90. -Virtus Insight Emrg. Mkts. I	A	Dividend	J	T	Buy (add'l)	04/29/15	J		
91. IRA #3	E	Dividend	P1	T					
92.	C	Distribution							
93.	A	Interest							
94. -Morgan Stanley Bank Deposit Program									
95. -JP Morgan Alerian MLP Index ETN					Sold	01/28/15	L		
96. -Ishares Russell 2000 Growth FD					Sold (part)	04/29/15	J	A	
97. -Ishares Russell 2000 Value FD					Buy (add'l)	04/29/15	J		
98. -Ishares Russell Midcap G In FD					Sold (part)	04/29/15	J	B	
99. -Ishares Russell Midcap V In FD					Sold (part)	04/29/15	J	A	
100. -Ishares S&P 500 GRWTH Index					Sold (part)	04/29/15	K	E	
101. -Ishares S&P 500 Value Index									
102. -SPDR DJ Wilshire Global Rea					Sold	04/29/15	L	D	

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103. -Angel Oak Multi Strat Inc					Buy	04/29/15	K		
104.					Sold	12/16/15	K		
105. -Blackstone Alt Mult-Strat Inst					Buy	12/22/15	L		
106. -Dreyfus Intl Bond I					Sold (part)	04/29/15	J		
107.					Sold	12/16/15	K		
108. -John Hancock Invmt Grd BD I					Buy	12/16/15	L		
109. -Lord Abbett SHT Duration Inc F					Sold (part)	04/29/15	J		
110.					Buy (add'l)	12/16/15	K		
111. -Mainstay Marketfield I					Buy	01/28/15	J		
112.					Sold	12/22/15	L		
113. -Metropolitan West tot Ret Bd I					Sold (part)	04/29/15	J		
114.					Buy (add'l)	12/16/15	J		
115. -MFS International Value I					Buy (add'l)	04/29/15	K		
116. -Oakmark Internatl I					Buy (add'l)	04/29/15	L		
117. -Oppenheimer SR Floating Rate Y					Sold (part)	04/29/15	K		
118.					Sold	12/16/15	K		
119. -Tortise MLP & Pipeline Inst					Buy	01/28/15	L		

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120.					Sold (part)	04/29/15	J	A	
121. -Virtus Insight Emrg Mkts I					Buy (add'l)	04/29/15	K		
122. NW Mutual Estate CompLife		None	M	T					
123. John Hancock Life Insurance		None	L	T					
124. C & B Capital I, L.P. *	A	Interest			Distributed	12/09/15	J		
125.	D	Distribution							
126. C & B Capital II, L.P. **	A	Interest	L	U					
127.	E	Distribution							
128. CB Liquidating ***		None	J	U					
129. Betsy Byars, Inc.		None	J	W					
130. Gold coins		None	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
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

Duffey, Jr., William S.

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

*Ownership interest percentage is 0%. During the reporting period, C&B Capital I, L.P. was terminated and remaining investment assets were transferred to C&B Liquidating LLC.

**Ownership interest percentage is 0.4145%. During the reporting period, C&B Capital II, L.P. held interests in the following companies:

- BPG Holdings, LLC (Escrow)
- Brand Group Holdings, Inc.
- Brightree, LLC
- Cartera Commerce, Inc.
- Controlscan, Inc.
- Healthcare Solutions, Inc. (Escrow)
- Navitas Lease Finance Corp.
- PMW Technologies, Inc. d/b/a PeopleMatter
- REACH Health, Inc.
- SnagAJob.com, Inc.
- CB Network Holdings, Inc. d/b/a cbanc Network
- Computex Technology Solutions, Inc.

***Ownership interest percentage is 0.2639%. During the reporting period, C&B Liquidating, LLC. held interests in the following companies:

- Global Care, Inc
- Liaison Technologies, Inc.
- Healthcare Solutions, Inc. (Escrow)
- Focus Receivables, Inc.

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Name of Person Reporting

Duffey, Jr., William S.

Date of Report

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ William S. Duffey, Jr.

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544