

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) Shaffer, Craig B.	2. Court or Organization District of Colorado	3. Date of Report 10/30/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address Alfred A. Arraj U.S. Courthouse 901 19th Street Denver, CO 80294		
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. Adjunct Faculty Member	University of Denver, Sturm College of Law
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

Shaffer, Craig B.

Date of Report

10/30/2015

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. 2014	University of Denver, Sturm College of Law - compensation as Adjunct Faculty Member	\$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.)*

DATE	SOURCE AND TYPE
1. 2014	self-employed diversity consultant
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. Arizona State University, Sandra Day O'Connor Law School	3/12/2014-3/14/2014	Tempe, Arizona	panelist addressing e-discovery issues	transportation, hotel room
2. ABA Section on Litigation Annual Meeting	4/10/2014	Scottsdale, Arizona	panelist addressing e-discovery issues	transportation
3. Legal Hold - Conference on Preservation Excellence	9/09/2014-9/11/2014	Portland, Oregon	panelist addressing e-discovery issues	transportation, hotel room
4. ABA Employment Law Section Annual Meeting	11/8/2014	Los Angeles, California	panelist addressing e-discovery issues	transportation

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

Shaffer, Craig B.

Date of Report

10/30/2015

5.	Duke Law School Distinguished Lawyers Conference	11/12/2014-11/14/2014	Washington, D.C.	panelist addressing Rules Amendments	transportation, hotel room
6.	Georgetown University Law Center -Advanced eDiscovery Institute	11/19/2013-11/21/2014	Tysons Corner, Virginia	panelist addressing e- discovery issues	transportation, hotel room

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Shaffer, Craig B.

Date of Report

10/30/2015

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 5 of 11

Name of Person Reporting

Shaffer, Craig B.

Date of Report

10/30/2015

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 (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. Wells Fargo Bank account	A	Interest	J	T					
2. Schwab Money Market Fund	A	Interest	L	T					
3. BMO Intermediate Tax Free CL Y	A	Interest	J	T					
4. Guggenheim ETF	A	Interest	K	T					
5. SPDR S&P 500 ETC	A	Interest	K	T					
6. Trust No. 2	A	Interest	J	T					
7. - Schwab Money Market Fund									
8. IRA - II	E	Dividend	O	T					
9. - Schwab Money Market Fund									
10. - Schwab 1000 Fund - Select									
11. - Vanguard Small Cap									
12. - T. Rowe Price Personal Strategy Growth Fund									
13. - The Charles Schwab Corp. common stock									
14. - Doubleline Total Return									
15. - Dodge & Cox International Stock Fund									
16. - Harding Loevner Emerging Markets									
17. - Parnassus Equity Income Fund									

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 6 of 11

Name of Person Reporting

Shaffer, Craig B.

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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)

18. - Vanguard Equity Income Fund -Admiral Shares									
19. - Baird Core Plus Bond Inst.					Buy	10/31/14	M		
20. - Pimco Total Return Inst.					Sold	10/31/14	M		
21. IRA - III	B	Dividend	M	T					
22. - Schwab Money Market Fund									
23. - Metropolitan West Total									
24. - TIAA Cref High Yield/Vanguard Retirement					Sold	07/14/14	K		
25. - Hodges Small Cap									
26. - Wasatch International Growth Fund									
27. - SPDR S&P Regional Banking									
28. Trust No. 3	E	Int./Div.	O	T					
29. - Schwab Money Market Fund									
30. - Altria Group, Inc. stock									
31. - ConocoPhillips stock									
32. - Dow Chemical Co. stock									
33. - Johnson & Johnson common stock					Sold	03/18/14	J		
34. - Blackrock High Yield Bond Fund					Sold	07/23/14	K		

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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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FINANCIAL DISCLOSURE REPORT

Page 7 of 11

Name of Person Reporting

Shaffer, Craig B.

Date of Report

10/30/2015

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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				
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35. - JPMorgan High Yield Bond Fund					Sold	05/23/14	K		
36. - Pimco Incm Inst. C1 Bond Fund									
37. - TCW Total Return Bond Fund									
38. - Arbitrage Fund Class I					Sold	10/08/14	J		
39. - Artisan International Value Fund									
40. - Aston Fiarpointe Mid Cap									
41. - FMI Large Cap Fund					Sold (part)	5/23/14	K		
42.					Sold (part)	10/08/14	K		
43. - Gateway Fund C1 Y					Sold	10/08/14	K		
44. - Hartford Capital Appr									
45. - JPMorgan Growth Advantage									
46. - JPMorgan Large Cap Growth									
47. - JPMorgan US Equity Select									
48. - T Rowe Price New Asia Fund									
49. - Victory Diversified Stock					Sold	03/18/14	K		
50. - Guggenheim Exch Trade Fund									
51. - iShares MSCI All Country									

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FINANCIAL DISCLOSURE REPORT

Page 8 of 11

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Shaffer, Craig B.

Date of Report

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52. - iShares Russell ETC									
53. - iShares TR MSCI EAFE									
54. - Powershares Exch Trade Fund TR									
55. - Vanguard FTSE Europe					Sold	07/23/14	J		
56. - Guggenheim ETC					Buy	10/08/14	K		
57. - Guggenheim Exchange Trade Fund					Buy	05/23/14	J		
58. - Vanguard Telecommunication Systems					Buy	07/23/14	K		
59. - Vanguard Value					Buy	05/23/14	K		
60. - Janus Global Real Estate					Buy	10/08/14	J		
61. Trust No. 4	C	Int./Div.	N	T					
62. - Capital One Financial CP									
63. - General Electric Co. common stock									
64. - Hess Corp. common stock									
65. - Home Depot Inc. common stock									
66. - Honeywell International common stock									
67. - Johnson & Johnson common stock									
68. - JPMorgan Chase & Co. common stock									

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FINANCIAL DISCLOSURE REPORT

Page 9 of 11

Name of Person Reporting

Shaffer, Craig B.

Date of Report

10/30/2015

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69. - Mondelez Intl. Inc. Class A stock									
70. - Pepsico Inc. common stock									
71. - IShares Russell ETC Midcap									
72. - Powershs Exchange Trade									
73. - Credit Suisse Commodity Fund									
74. - Harbor Internatinal Fund									
75. - Schwab Tax Free Bond Fund									
76. - T Rowe Price Blue Chip Fund									
77. - T Rowe Price Small Cap Fund									
78. -Westcore Co. Tax Exempt Fund									
79.									

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 10 of 11

Name of Person Reporting

Shaffer, Craig B.

Date of Report

10/30/2015

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

The Trust and investments reflected on lines 59 through 76 were received by the undersigned in January 2014 through inheritance.

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Shaffer, Craig B.

Date of Report

10/30/2015

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/ Craig B. Shaffer

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