

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 01/01/2018 to 12/31/2018
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.)*

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.	
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. University of Colorado	February 8-12, 2018	Boulder Colorado	Speaker	Transportation, food and lodging
2. ALI	October 10-11, 2018	Philadelphia, PA	Discussion of Restatement of Law of Conflict of Laws	Transportation, food and lodging
3. ALI	November 8-9, 2018	Philadelphia, PA	Discussion of Restatement of Property Law	Transportation, food and lodging
4. Harvard	March 16, 2018	Boston MA	Speaker	Transportation, food and lodging
5. UC Berkeley	September 14-16-2018	Berkeley, CA	Speaker	Transportation, food and lodging
6. Princeton	October 8, 2018	Princeton, NJ	Speaker	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.)*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. Vanguard Index 500	D	Dividend	N	T					
2. Vanguard Prime MM Fund	A	Dividend	L	T	Spinoff (from line 43)	07/25/18	J		
3.					Buy (add'l)	12/13/18	K		
4.					Buy (add'l)	12/27/18	J		
5. Vanguard Mid-Cap Index	D	Dividend	O	T					
6. Vanguard Total Int'l	B	Dividend	M	T					
7. Vanguard Total Stock	C	Dividend	M	T					
8. Vanguard Small Cap Index	B	Dividend	M	T					
9. Gold Corp. Inc.	A	Dividend	J	T					
10. Dreyfus S&P 500	D	Dividend	L	T					
11. Mathews Pacific Tiger	D	Dividend	N	T	Spinoff (from line 43)	07/25/18	L		
12. Vanguard Extended Market	A	Dividend	L	T	Spinoff (from line 43)	07/25/18	L		
13. Vanguard Prime Cap	B	Dividend	K	T	Spinoff (from line 43)	07/25/18	K		
14. House, Boulder CO	D	Rent	O	W					
15. PNC Bank	A	Interest	M	T					
16. TIAA Traditional	D	Distribution	M	T					
17. Nestle	C	Dividend	M	T					

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

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☐ NONE (No reportable income, assets, or transactions.)

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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. Proctor & Gamble	B	Dividend	K	T					
19. QEP Resources			K	T					
20. Merck	A	Dividend	K	T					
21. Trust No. 1, BNY Mellon, N.I									
22. --Mellon Cash Reserve	A	Dividend	J	T					
23. --Mellon Income Stock Fund	A	Dividend	K	T					
24. --Mellon Focused Equity	A	Dividend	K	T					
25. --Dreyfus Opportunistic Small Cap Fund	A	Dividend	K	T					
26. --Dreyfus Large Cap Fund	A	Dividend	K	T					
27. --Strategic Global Stock Fund	A	Dividend	K	T					
28. --Mellon Multi-Strategy Fund	A	Dividend	J	T					
29. Trust u/w CDW, N.2									
30. --Vanguard MoneyMarket	A	Dividend			Sold (part)	03/01/18	J		
31.					Sold (part)	06/20/18	J		
32.					Distributed	07/25/18	J		
33. --PRIME Cap. Vanguard					Distributed	07/25/18	M		
34. --Vanguard Extended Market	C	Dividend			Distributed	07/25/18	N		

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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	
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35. --Mathews Pacific Tiger					Distributed	07/25/18	N		
36. IRA #1									
37. --Vanguard Total Int'l	A	Dividend	M	T	Distributed (part)	12/03/18	K		
38. --Vanguard Total Stock Market	C	Dividend	P1	T	Distributed (part)	11/28/17	K		
39.					Distributed (part)	12/03/18	J		
40.					Distributed (part)	12/20/18	K		
41. --Vanguard Prime Money Market		None	J	T					
42. --Mathews Pacific Tiger	D	Dividend	M	T					
43. Vanguard Index 500	E	Dividend	P1	T					
44. Vanguard Prime Money Market	A	Dividend	M	T	Buy (add'l)	12/13/18	J		
45.					Buy (add'l)	12/27/18	L		
46. Vanguard Mid-Cap Index	D	Dividend	O	T					
47. Vanguard Total Int'l Stock Index	F	Dividend	P1	T					
48. Vanguard Total Stock Index	E	Dividend	P1	T					
49. Mathews Pacific Tiger	C	Dividend	N	T					
50. Dreyfus S&P 500	E	Dividend	N	T					
51. IRA #2									

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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52. --Vanguard Money Market	A	Dividend	J	T	Buy (add'l)	12/21/18	J		
53.					Distributed	12/26/18	J		
54. --Mathews Pacific Tiger	A	Dividend	M	T	Sold (part)	12/21/18	J		
55. Vanguard Federal MM Fund	A	Dividend	J	T	Buy	10/24/18	P1		
56.					Sold (part)	11/16/18	P1		
57. Vanguard Total Int'l	D	Dividend	P1	T	Buy	11/16/18	P1		

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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 was a testamentary trust established by my father, of which I was the life beneficiary. On July 25, 2018, the trust was dissolved, with the remaindermen receiving that portion of the trust assets representing the actuarial value of the remainder interests and with me receiving that portion of the assets representing the value of my life estate. The assets distributed to me appear as additions to assets owned directly by me.

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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
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