

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 02/09/2018
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 01/01/2016 to 12/31/2016
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.		
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. 2016	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	3/9/2016-3/11/2016	Tempe, Arizona	panelist addressing e-discovery issues	airfare, hotel room, taxi fares, airport parking
2. Sedona Conference Institute	3/17/2016-3/18/2016	San Diego, California	panelist addressing e-discovery issues	airfare, hotel room, taxi fares, airport parking
3. Mississippi Bar Association	7/14/2016-7/15/2016	Destin, Florida	presentation on Federal Rules of Civil Procedure amendments	airfare, hotel room, rental car, airport parking
4. ABA Professional Liability Section	9/22/2016	Chicago, Illinois	presentation on Federal Rules of Civil Procedure amendments	airfare, taxi fares, airport parking

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5.	NeLI Discovery Conference	10/20/2016-10/21/2016	Kansas City, Kansas	panelist addressing e-discovery issues	airfare, hotel room, airport parking
6.	Sedona Conference	10/27/2016-10/28/2016	Atlanta, Georgia	panelist addressing e-discovery issues	airfare, hotel room, taxi fares, airport parking

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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. Wells Fargo Bank account	A	Interest	J	T					
2. Schwab Money Market Fund	B	Interest	K	T					
3. BMO Intermediate Tax Free CL Y	B	Int./Div.	L	T					
4. Guggenheim S&P Technology ETF	D	Int./Div.	K	T					
5. SPDR S&P 500 ETF	D	Int./Div.	K	T					
6. Vanguard FTSE Developed Markets ETF	A	Int./Div.	K	T					
7. Oppenheimer International Small Cap	A	Int./Div.	K	T					
8. Vanguard Telecommunication Services ETF	A	Int./Div.	J	T					
9. USAA Tax Exempt Intermediate	B	Int./Div.	K	T					
10. SPDR Dow Jones Global Real Estate ETF	B	Int./Div.	K	T	Buy	07/21/16	K		
11. Trust No. 2	A	Interest	J	T					
12. - Schwab Money Market Fund									
13. IRA - II									
14. - Schwab Money Market Fund		None	J	T					
15. - Schwab 1000 Fund - Select	E	Int./Div.	J	T					
16. - Vanguard Small Cap	E	Int./Div.	M	T					
17. - T.Rowe Price Personal Strategy Growth Fund	D	Int./Div.	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
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. - The Charles Schwab Corp. common stock	D	Int./Div.	J	T					
19. - Doubleline Total Return		None	O	T					
20. - Dodge & Cox International Stock Fund		None	L	T					
21. - Parnassus Equity Income Fund	C	Int./Div.	K	T					
22. - Vanguard Equity Income Fund - Admiral Shares	D	Int./Div.	L	T					
23. - Seafarer Overseas Growth	B	Int./Div.	K	T					
24. - Ridgworth Seix High Yield	A	Int./Div.	J	T					
25. - Baird Core Plus Bond Inst.		None	M	T					
26. - Lazard International Strategic Equity Open Shares		None	J	T	Buy	04/13/16	J		
27. - Ridgworth SEIX Float Rate High Inc I		None		T	Buy	10/24/16	J		
28. IRA - III									
29. - Schwab Money Market Fund		None	J	T					
30. - Metropolitan West Total		None	K	T	Sold (part)	07/21/16	K	B	
31. - Hodges Small Cap		None			Sold	04/13/16	K	B	
32. - Wasatch International Growth Fund	B	Int./Div.	K	T					
33. - Artisan International Fund	A	Int./Div.			Sold	10/24/16	K	B	
34. - Vanguard Global Ex US Real Estate ETF		None	K	T					

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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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35. - Tributary Small Co. Instl	D	Int./Div.	K	T	Buy	10/24/16	J		
36. - FMI International Fund	B	Int./Div.	K	T	Buy	10/24/16	J		
37. - MFS Emerging Markets Debt Fund		None	K	T	Buy	07/21/16	J		
38. - Vanguard High Yield Corp Fund Admiral Share	A	Int./Div.	K	T	Buy	07/21/16	J		
39. Trust No. 3									
40. - Schwab Money Market Fund		None	K	T					
41. - Dow Chemical Co. stock	B	Int./Div.	J	T					
42. - Pimco Incm Inst. Cl. Bond Fund		None	L	T					
43. - TCW Total Return Bond Fund		None	K	T					
44. - Artisan International Value Fund	C	Int./Div.	L	T					
45. - JPMorgan Growth Advantage	D	Int./Div.	K	T					
46. - JP Morgan Large Cap Growth	D	Int./Div.	K	T					
47. - Guggenheim S&R 500 ETC	A	Int./Div.			Sold	07/21/16	J	A	
48. - iShares MSCI All Country	B	Int./Div.			Sold	02/22/16	K	B	
49. - iShares Russell ETF	E	Dividend	L	T					
50. - iShares TR MSCI EAFE	A	Dividend	K	T					
51. - Vanguard Value ETF	C	Dividend	K	T					

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52. - Janus Global Real Estate	A	Int./Div.			Sold	02/22/16	J	A	
53. - Matthews Asia Dividend Fund		None	L	T					
54. - Vanguard FTSE All World		None	J	T	Buy	07/21/16	J		
55. - JPMorgan US Equity Select Shares	E	Int./Div.	L	T					
56. Trust No. 4									
57. - Capital One Financial CP	B	Int./Div.	J	T					
58. - General Electric Co. common stock	B	Int./Div.	J	T					
59. - Hess Corp. common stock	A	Int./Div.			Sold	07/21/16	J	A	
60. - Home Depot Inc. common stock	C	Int./Div.	J	T					
61. - Honeywell International common stock	B	Int./Div.	J	T					
62. - Johnson & Johnson common stock	D	Int./Div.	J	T					
63. - JP Morgan Chase & Co. common stock	C	Int./Div.	J	T					
64. - Pepsico Inc. common stock	A	Dividend	J	T					
65. - IShares Russell ETF Midcap	A	Int./Div.			Sold	07/21/16	J	A	
66. - Powershs Exchange Trade		None	J	T					
67. - Harbor International Fund	A	Int./Div.	J	T					
68. -Schwab Tax Free Bond Fund	A	Int./Div.			Sold	04/13/16	L	C	

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69. - T. Rowe Price Blue Chip Fund	E	Int./Div.	L	T					
70. - T. Rowe Price Small Cap Fund	D	Int./Div.	K	T					
71. - Westcore Co. Tax Exempt Fund	A	Int./Div.	L	T					
72. - United States Commodity Fund		None	J	T					
73. - Energy Select Sector SPDR ETF IV	B	Int./Div.	J	T	Buy	04/13/16	J		
74. - iShares Core MSCI Emerging ETF		None	J	T	Buy	07/21/16	J		
75. - iShares MSCI EAFE Small Cap ETF		None	J	T	Buy	04/13/16	J		
76. - Vanguard Intermediate Term Tax Exempt Fund		None	L	T	Buy	04/13/16	L		
77. IRA IV									
78. - Schwab Money Market Fund		None	J	T					
79. - Vanguard Reit ETF	A	Int./Div.	J	T					
80. - Wisdomtree International Small Cap	A	Int./Div.	J	T					
81. - Tributary Small Co Instl	A	Int./Div.	J	T	Buy	04/13/16	J		
82. - Vanguard Dividend Appreciation ETF	A	Int./Div.	J	T	Buy	04/13/16	J		

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

1. The investment listed on line 34 of Parte VII was incorrectly identified on the 2015 Financial Disclosure Form as "Vanguard International Equity ETF." The asset has not been changed, but the correct name, "Vnauvard Global Ex US Real Estate ETF," has been cited in this 2016 Financial Disclosure 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/ 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