

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 05/15/2014
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 01/01/2013 to 12/31/2013
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.	

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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. 2013	University of Denver, Sturm College of Law - compensation as Adjunct Faculty Member	\$10,000.00
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. 2013	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. ABA National Institute on White Collar Crime	3/06/2013	Las Vegas, Nevada	panelist addressing e-discovery issues	transportation, hotel room
2. Arizona State University, Sandra Day O'Connor Law School	3/15/2013	Tempe, Arizona	panelist addressing e-discovery issues	transportation
3. Sedona Conference Institute	3/20/2013-3/22/2013	San Diego, California	panelist addressing e-discovery issues	transportation, hotel room
4. ALI-CLE Environmental Litigation Program	6/12/2013-6/14/2013	Washington, D.C.	panelist addressing environmental litigation	transportation, hotel room

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5.	Legal Hold - Conference on Preservation Excellence	9/18/2013-9/19/2013	Portland, Oregon	panelist addressing e-discovery issues	transportation, hotel room
6.	Huron Institute -E-Discovery Advocacy Institute	9/30/2013-10/01/2013	New York, New York	panelist addressing e-discovery issues	transportation, hotel room
7.	Sedona Conference	11/06/2013-11/08/2013	Phoneix, Arizona	panelist addressing e-discovery issues	transportation, hotel room
8.	Georgetown University Law Center -Advanced eDiscovery Institute	11/20/2013-11/22/2013	Tysons Corner, Virginia	panelist addressing e-discovery issues	transportation, hotel room

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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 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. Dreyfus Inter Muni Bond Fund	A	Interest			Sold	11/25/13	J	A	
4. Dreyfus Inter Term Income Fund	A	Interest			Sold	11/25/13	J	A	
5. Pimco Real Return Fund	A	Interest			Sold	11/25/13	K	B	
6. BMO Intermediate Tax Free CL Y	A	Interest	J	T	Buy	11/25/13	J		
7. Guggenheim ETF	A	Interest	K	T	Buy	11/25/13	K		
8. SPDR S&P 500 ETF	A	Interest	K	T	Buy	11/25/13	K		
9. Trust No. 2	A	Dividend	K	T					
10. - Maryland College Investment Plan - T. Rowe Price					Sold	08/16/13	K	D	
11. - Schwab Money Market Fund									
12. - College Invest - Aggressive Age-Based Option					Sold	08/12/13	K	D	
13. - James Balanced Golden Rainbow Fund					Sold	07/05/13	K	D	
14. Schwab - SEP/IRA	B	Dividend			Closed	12/02/13	J		
15. - Schwab Money Market Fund									
16. -The Charles Schwab Corp. common stock									
17. - Royce Low Priced Stock Fund					Sold	06/19/13	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	

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☐ 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)

18. - Pimco Total Return Fund									
19. IRA - II	E	Dividend	O	T					
20. - Schwab Money Market Fund									
21. - Schwab 1000 Fund - Select									
22. - T. Rowe Price Personal Strategy Growth Fund									
23. - American Century Equity Fund					Sold	11/25/13	M		
24. - Schwab Target 2025 Fund					Buy	07/29/13	M		
25. - Schwab Target 2025 Fund					Sold	11/25/13	M	E	
26. - Pimco Total Return Fund									
27. - Loomis Sayles Bond Fund					Sold	11/25/13	L		
28. - The Charles Schwab Corp. common stock X									
29. - Doubleline Total Return					Buy	11/25/13	M		
30. - Dodge & Cox International Stock Fund					Buy	1/25/13	K		
31. - Harding Loevner Emerging Markets					Buy	11/25/13	K		
32. - Parnassus Equity Income Fund					Buy	11/25/13	K		
33. - Vanguard Equity Income Fund -Admiral Shares					Buy	11/25/13	L		
34. - Vanguard Small Cap					Buy	11/25/13	L		

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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. IRA - III	A	Dividend	M	T					
36. - Schwab Money Market Fund									
37. - Pimco Total Return Fund					Sold	11/25/13	L		
38. - Metropolitan West Total					Buy	11/25/13	L		
39. - TIAA Cref High Yield					Spinoff (from line 43)	11/25/13	J		
40. - Hodges Small Cap					Buy	11/25/13	K		
41. - Wasatch International Growth Fund					Buy	11/25/13	K		
42. - SPDR S&P Regional Banking					Buy	11/25/13	J		
43. IRA - IV	A	Dividend			Closed	11/13/13	J		
44. Trust No. 3 X	E	Int./Div.	O	T					
45. - Schwab Money Market Fund X									
46. - Altria Group, Inc. stock					Buy	11/26/13	J		
47. - ConocoPhillips stock					Buy	11/26/13	J		
48. - Dow Chemical Co. stock					Buy	11/26/13	J		
49. - Johnson & Johnson stock					Buy	11/26/13	J		
50. - Blackrock High Yield Bond Fund X									
51. - JPMorgan High Yield Bond Fund X									

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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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	L = \$50,001 - \$100,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. - Pimco Incm Inst C1 Bond Fund					Buy	11/25/13	L		
53. - TCW Total Return Bond Fund					Buy	12/23/13	L		
54. - Arbitrage Fund Class I X									
55. - Artisan International Value Fund X									
56. - Aston Fairpointe Mid Cap X									
57. - FMI Large Cap Fund X									
58. - Gateway Fund C1 Y X									
59. - Hartford Captial Appr X									
60. - JPMorgan Growth Advantage X									
61. - JPMorgan Large Cap Growth X									
62. - JPMorgan US Equity Select X									
63. - T Rowe Price New Asia Fund X									
64. - Victory Diversified Stock X									
65. - Guggenheim Exch Trade Fund					Buy	12/23/13	K		
66. - iShares MSCI All Country X									
67. - iShares Russell ETC X									
68. - iShares TR MSCI EAFE X									

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69. - PowerShares Exch Trade Fund TR					Buy	11/25/13	K		
70. - Vanguard FTSE Europe X									
71. - SPDR Gold Trust X					Sold	11/25/13	J		
72. - Pimco Unconstrained Bond Fund X					Sold	12/23/13	K		
73. - JPMorgan International Currency X					Sold	12/23/13	J		
74. - JPMorgan Strategic Income X					Sold	12/23/13	J		
75. - Pimco Commodities Plus X					Sold	12/23/13	K		
76. - Doubleline Total Return X					Sold	12/23/13	J		
77. - Invesco Balanced Risk X					Sold	12/23/13	K		
78. - Dreyfus Emerging Markets X					Sold	12/23/13	J		
79. - JPMorgan Realty Incm Inst Cl X					Sold	11/25/13	J		
80. - JPMorgan Market Expansion Exhanced Index Select X					Sold	11/25/13	J		
81. -JPMorgan Internal Value Select X					Sold	11/25/13	K		
82. -JPMorgan Intermediate Tax Free Bond X					Sold	11/25/13	K		
83. - iShares MSCI Emerging Market ETF X					Sold	11/25/13	K		
84. - iShares Tr MSCI EAFE ETF X					Sold	11/25/13	K		
85.									

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

Part VII, Line 14: On December 2, 2013, this IRA and the assets therein were transferred to the IRA listed at line 19.

Part VIII, Line 43: On November 13, 2013, this IRA and the assets there were transferred to the IRA listed at line 35.

Part VIII, Line 39: TIAA-CREF High Yield was converted to Vanguard Target Retirement 2025 Fund in 2013 and the latter fund was transferred to the IRA listed at line 35. The reference on line 39 should reflect the Vanguard fund rather than the TIAA-CREF fund.

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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