



SUPREME COURT CLERK'S OFFICE  
417 SOUTH KING STREET  
HONOLULU, HAWAII 96813-2912

FINANCIAL DISCLOSURE STATEMENT

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Electronically Filed  
Supreme Court  
SCFD-11-0000200  
02-APR-2012  
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Before completing this form please read the instructions for Financial Disclosure Statement, including the text of Supreme Court Rule 15. REMINDER: For all items requiring a monetary amount, the following financial range codes may be used.

- A - Less than \$1,000
- B - At least \$1,000 but less than \$10,000
- C - At least \$10,000 but less than \$25,000
- D - At least \$25,000 but less than \$50,000
- E - At least \$50,000 but less than \$100,000
- F - At least \$100,000 but less than \$150,000
- G - At least \$150,000 but less than \$250,000
- H - At least \$250,000 but less than \$500,000
- I - At least \$500,000 but less than \$750,000
- J - At least \$750,000 but less than \$1,000,000
- K - \$1,000,000 or more

TO BE FILED BY ALL FULL TIME AND PER DIEM JUDGES.

(Type or Print Clearly)

NAME: Duffy, Jr. James E  
(LAST) (FIRST) (MIDDLE)

OFFICE ADDRESS: 417 South King Street  
NUMBER, STREET

CITY OR TOWN: Honolulu ZIP CODE: 96813

NAME OF SPOUSE OR DOMESTIC PARTNER:

Jeanne M. Duffy

No. of Dependent Children:  
(Do not include names)

None

JUDICIAL POSITION HELD: Supreme Court Justice DATE OF APPOINTMENT: June 27, 2003 OFFICE PHONE: (808) 539-4715

CALENDAR YEAR COVERED BY THIS DISCLOSURE: 2011 & 2012

ITEM 1 RSCH 15(d)(1)	JUDICIAL COMPENSATION	ANNUAL INCOME <u>G</u>
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ITEM 2 RSCH 15(d)(1)	JUDGE'S OTHER INCOME (if income for services rendered exceeds \$1,000)	
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EMPLOYER/LAW FIRM	BUSINESS ADDRESS	ANNUAL INCOME

ITEM 3 RSCH 15(c)(1)	INCOME OF SPOUSE OR DOMESTIC PARTNER AND DEPENDENT CHILDREN (if income for services rendered exceeds \$1,000)	
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EMPLOYER	ANNUAL INCOME
<u>HNL Travel</u>	<u>D</u>

J.Y. TAKEUCHI  
CLERK, APPELLATE COURTS  
STATE OF HAWAII

2012 MAR 19 PM 12:20

FILED

ITEM 4  
RSCH 15(d)(1) ANY OTHER INCOME, FOR SERVICES RENDERED, IN EXCESS OF \$1,000 - INCOME DISCLOSED IN ITEMS 1 - 3 NEED NOT BE REPEATED HERE

SOURCE	NATURE OF SERVICES RENDERED	AMOUNT
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Check here if entry is None  Check here if you have attached additional sheets

ITEM 5  
RSCH 15(d)(2) EACH OWNERSHIP OR BENEFICIAL INTEREST, HELD IN ANY BUSINESS CARRYING ON BUSINESS IN THE STATE, HAVING A VALUE OF \$5,000 OR MORE OR EQUAL TO 10% OF THE OWNERSHIP OF THE BUSINESS.

NAME OF BUSINESS	NATURE OF BUSINESS	NATURE OF INTEREST	ENTER AMOUNT OR NO. OF SHARES
4-J Enterprises, Inc.	Selling livestock fencing panels	own jointly with spouse	C
4-J Livestock Co.	Raise and sell cattle and horses	own jointly with spouse	D

Check here if entry is None  Check here if you have attached additional sheets

ITEM 6  
RSCH 15(d)(2) OWNERSHIP OR BENEFICIAL INTEREST UNDER ITEM 5 TRANSFERRED DURING THIS DISCLOSURE PERIOD.

NAME OF BUSINESS	DATE OF TRANSFER	VALUE OF TRANSFER
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Check here if entry is None  Check here if you have attached additional sheets

ITEM 7  
RSCH 15(d)(3) LIST EACH OFFICERSHIP, DIRECTORSHIP, TRUSTEESHIP OR OTHER FIDUCIARY RELATIONSHIP HELD IN ANY BUSINESS.

NAME OF BUSINESS	TITLE AND TERM OF OFFICE	COMPENSATION (enter amount or NONE)
Paniolo Preservation Society (Non-profit)	Member, Board of Directors (2009 - Present)	None
Hawaii Cowhorse Championships (Non-profit)	President (1996 - Present)	None

Check here if entry is None  Check here if you have attached additional sheets

ITEM 8 LIST CREDITORS, OTHER THAN CREDIT CARD ACCOUNTS, TO WHOM MORE THAN \$3,000 WAS OWED DURING THE DISCLOSURE  
 RSCH 15(d)(4) PERIOD. LIST CREDIT CARD DEBT THAT EXCEEDED \$10,000 FOR SIX MONTHS OR MORE.

NAME AND ADDRESS OF CREDITOR	ORIGINAL AMOUNT OWED	AMOUNT OWED AT END OF YEAR

Check here if entry is None       Check here if you have attached additional sheets

ITEM 9 REAL PROPERTY IN THE STATE IN WHICH IS HELD AN INTEREST WITH A FAIR MARKET VALUE OF \$10,000 OR MORE.  
 RSCH 15(d)(5)

POSTAL ZIP CODE OF LOCATION	VALUE
1. 96734	1. \$950,000
2. 96734	2. \$850,000

Check here if entry is None       Check here if you have attached additional sheets

ITEM 10 REAL PROPERTY, THE FAIR MARKET VALUE OF WHICH EXCEEDS \$10,000, ACQUIRED DURING THE DISCLOSURE PERIOD.  
 RSCH 15(d)(5)

POSTAL ZIP CODE OF LOCATION	NATURE OF INTEREST	NAME AND ADDRESS OF PERSON RECEIVING CONSIDERATION	CONSIDERATION GIVEN

Check here if entry is None       Check here if you have attached additional sheets

ITEM 11 REAL PROPERTY, THE FAIR MARKET VALUE OF WHICH EXCEEDS \$10,000, TRANSFERRED DURING THE DISCLOSURE PERIOD.  
 RSCH 15(d)(5)

POSTAL ZIP CODE OF LOCATION	NAME AND ADDRESS OF PERSON FURNISHING CONSIDERATION	CONSIDERATION RECEIVED

Check here if entry is None       Check here if you have attached additional sheets

ITEM 12  
RSCH 15(d)(6) CREDITOR INTEREST IN INSOLVENT BUSINESS HAVING A VALUE OF \$5,000 OR MORE.

NAME OF BUSINESS	NATURE OF BUSINESS	NATURE OF INTEREST	VALUE

Check here if entry is None  Check here if you have attached additional sheets

ITEM 13  
RSCH 15(d)(7);  
Rule 3.13  
Revised Code  
of Judicial  
Conduct GIFT(S) THAT MUST BE REPORTED UNDER RULE 3.13(c) OF THE HAWAII REVISED CODE OF JUDICIAL CONDUCT.

SOURCE	DESCRIPTION OF GIFT	ESTIMATED VALUE

Check here if entry is None  Check here if you have attached additional sheets

ITEM 14  
RSCH 15(d)(8)  
& 22(h) FULL-TIME JUDGES' APPROVED JUDICIAL EDUCATION

I attended 19.5 hours of Approved Judicial Education during the reporting period.

REMARKS:

See attached sheets.

CERTIFICATION: I hereby certify that the above is a true, correct, and complete statement.

SIGNATURE:  
*James E. Duggan Jr.*

DATE:  
*March 18, 2012*

NOTE: This filing is not valid without a signature.

## OTHER ASSESTS

### STOCKS

### NUMBER OF SHARES

Agilent	100
ALTRIA	390
CHEVRON/TEXACO	462
HEWLETT PACKARD	400
KRAFT FOODS	269
LSI	200
MICROSOFT	3000
PHILLIP MORRIS	390
WALT DISNEY	150

### MUTUAL FUNDS

JHANCOCK PATRIOT FUND	158
WELLS FARGO MUNI BOND FUND	11429
MFC GLOBAL INVESTMENT	
Conservative Fund	7062
Moderate Fund	8461
Balanced	1191
INVESCO VK SENIOR LOAN 1B	2597
AF GROWTH FUND - Lincoln Financial Group	5116
AF GROWTH FUND-INC - Lincoln Financial Group	3745
LVIP BOND - Lincoln Financial Group	3216
COLUMBIA MIDCAP INDEX FUND Z	6382
COHEN & SHEERS INSTL RLTY SH	581
FEDERATED STRATEGIC VAL DIV IS	19,458
FIDELITY ADV NEW INSIGHTS	3786
HARBOR INTERNATIONAL FUNDS	1340
POWERSHARES DB COMMODITY INDEX	1386
TIAA-CREF Ins S/C Blend	3284
VANGUARD TOTAL INTL STOCK INDEX #113	5413
ISHARES BARCLAYS TIPS BOND FUND	197
BISHOP ST. FDS HIGH GRD INC FD	20846
FEDERATED INSTL HI YLD BOND FUND	1607
PIMCO GLOBAL BD UNHEDG-INSTL	1538
AMERICAN CENTURY DIVERSE BOND A	183
CALVERT SHORT TEM INC FD CL A	614
COLUMBIA FUNDS MARSICO 21 <sup>ST</sup> CENTURY	1649
DREFUS/LAUREL FUNDS TR INTL BOND A	332
EATON VANCE National Muni Fund	2461

Fidelity Advisor Small Cap Fund – FSCDX	455
Fidelity Advisor Float Fund –FFRAX	850
Fidelity Advisor Strategic Income Fund A	2324
Neuberger Berman Income Funds	635
Wells Fargo Advantage Funds	985
Wells Fargo Fund Trust Asia Pacific	725

## MONEY FUNDS

MORGAN STANLEY TRUST	10878
AX PRIVILEGED ASSET FUND	164428
BLACKROCK LIQ TEMP CASH	15352

Value as of 02/27/2012

Description	Quantity
AT&T INC	265.000
BAXTER INTL INC	100.000
CALAMOS GROWTH FUND CLASS A	309.944
HANCOCK JOHN US GLOBAL LEADERS GROWTH FUND A	302.943
HARLEY DAVIDSON INC	400.000
INTEL CORP	300.000
MEDTRONIC INC	100.000
MILLER CONVERTIBLE FUND CLASS A	3,933.957
PACE SMALL / MEDIUM CO VALUE EQUITY INVESTMENTS CLASS A	880.700
TEXAS INSTRUMENTS	900.000

Description	Quantity
AQUILA HAWAIIAN TAX FREE TRUST FUND CL A	13,454.834
HONOLULU HI WASTEWATER CITY CNTY NPFGR REV BE/R/ RATE 05.000% MATURES 07/01/24	40,000.000

Amount	Description
80,670.00	JOHN HANCOCK VENTURE VANTAGE ANNUITY AS OF 02/24/12
25,000.00	JOHN HANCOCK VENTURE AS OF 02/24/12

Description	Quantity
ABBOTT LABS	200.000
INVESCO INTERNATIONAL GROWTH FUND CLASS A	1,639.183
ALKERMES PLC	300.000
AMERICA MOVIL S.A.B. DE C.V. SER L SPON ADR	1,200.000
AMGEN INC	1,500.000
BRISTOL MYERS SQUIBB CO	540.000
CALAMOS GROWTH FUND CLASS A	309.836
CLOROX CO	200.000
COSTCO WHOLESALE CORP	100.000
GENL ELECTRIC CO	300.000
HANCOCK JOHN US GLOBAL LEADERS GROWTH FUND A	1,488.829
HANESBRANDS INC	50.000

HERSHEY CO	100.000
INDIA FUND INC	60.000
ISHARES INC MSCI AUSTRALIA INDEX FD	97.000
ISHARES INC MSCI AUSTRIA INDEX FD	66.000
ISHARES INC MSCI BRAZIL (FREE) INDEX FD	51.000
ISHARES INC MSCI SINGAPORE FREE INDEX FD	232.000
ISHARES INC MSCI UNTD KINGDOM INDEX FD	99.000
ISHARES INC MSCI SOUTH KOREA INDEX FD	42.000
ISHARES INC MSCI JAPAN INDEX FD	141.000
JOHNSON & JOHNSON COM	200.000
MCDONALDS CORP	400.000
MEDTRONIC INC	500.000
MERCK & CO INC NEW COM	598.000
MILLER CONVERTIBLE FUND CLASS A	2,119.296
PACE SMALL / MEDIUM CO VALUE EQUITY INVESTMENTS CLASS A	693.720
PEPSICO INC	100.000
PROCTER & GAMBLE CO	97.000
REYNOLDS AMERN INC (HOLDING CO)	264.000
SARA LEE CORP	400.000
STAPLES INC	675.000
TELEFONOS DE MEXICO S A SPON ADR REPSTG SH ORD L MEXICO ADR	400.000
TOTAL SYSTEM SERVICES INC	96.000
ZIMMER HOLDINGS INC	100.000

Description	Quantity
LORD ABBETT NATIONAL TAX FREE INCOME FD CL A	7,963.338
HAWAII ST DEPT BUDGET SER A REV NPFGR AMT BE/R/ RATE 05.650% MATURES 10/01/27	20,000.000
PUERTO RICO COMWLTH HWY SR M-RAD RV RADIA CRC/R/ RATE 05.000% MATURES 07/01/32	10,000.000

**Amount**

**Description**

JOHN HANCOCK  
VENTURE  
122,673.00 AS OF 02/24/12

LINCOLN NATIONAL  
CHOICE PLUS II BONUS  
131,918.00 AS OF 02/24/12

<b>Description</b>	<b>Quantity</b>
BOSTON TRUST SMALL CAP FUND	4,363.131
DREYFUS CORE EQUITY FUND CLASS A	4,759.419
DREYFUS EMERGING MARKETS FUND A	2,019.528
DREYFUS/NEWTON INTERNATIONAL EQUITY FUND CLASS A	2,659.280
EAGLE MID CAP GROWTH FUND CLASS A	1,427.987
JP MORGAN MID CAPVALUE FUND CLASS A	1,878.022
OAKMARK INTL FUND CLASS I	2,302.934
HARTFORD VALUE FUND CLASS A	6,049.989
FAMCO MLP & ENERGY INCOME INSTITUTIONAL	4,438.777
MATTHEWS ASIA GROWTH FUND	2,638.769
MILLER CONVERTIBLE FUND CLASS A	4,125.175
NUVEEN TRADEWINDS GLOBAL ALL-CAP FUND CLASS A	1,697.588
PIONEER FUNDAMENTAL GROWTH CLASS A	5,917.941

<b>Description</b>	<b>Quantity</b>
BLACKROCK INTL BOND A	5,393.797
BLACKROCK INFLATION PROTECTED BOND A	1,057.857
BLACKROCK STRATEGIC INCOME A	11,740.619
CALVERT SHORT DURATION INCOME FUND CLASS A	2,850.563
DELAWARE EXTENDED DURATION BOND FUND CLASS A	1,963.563
LORD ABBETT CORE FIXED INCOME FUND CLASS A	2,156.470

PIMCO UNCONSTRAINED BOND FUND CLASS A	8,335.389
FRANKLIN/TEMPLETON GLOBAL BOND FUND CLASS A	4,342.735

Description	Quantity
PIMCO COMMODITY REAL RETURN STRATEGY FUND CLASS A	5,221.049
PACE MONEY MARKET INVESTMENTS FUND CLASS P	14,029.480

Description	Quantity
WALT DISNEY CO (HOLDING CO) DISNEY COM	100.000
MILLER CONVERTIBLE FUND CLASS A	636.329
PACE INTERNATIONAL EQUITY INVESTMENTS CLASS P	1,378.288
PACE INTERNATIONAL EMERGING MARKETS EQUITY INVESTMENTS CLASS P	609.006
PACE LARGE CO GROWTH EQUITY INVESTMENTS CLASS P	1,231.277
PACE LARGE CO VALUE EQUITY INVESTMENTS CLASS P	1,318.332
PACE SMALL / MEDIUM CO GROWTH EQUITY INVESTMENTS CLASS P	724.609
PACE SMALL / MEDIUM CO VALUE EQUITY INVESTMENTS CLASS P	640.824
PACE INTERNATIONAL FIXED INCOME INVESTMENT CLASS P	226.103
PACE STRATEGIC FIXED INCOME INVESTMENTS CLASS P	798.400