

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) Scheindlin, Shira A.	2. Court or Organization S.D.N.Y.	3. Date of Report 12/28/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge/senior	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 USDC-SDNY 500 Pearl Street New York, N.Y. 10007		
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. Director	Justice Resource Center
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 25

Name of Person Reporting

Scheindlin, Shira A.

Date of Report

12/28/2014

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2013	West Services, Inc. Book Royalties	\$6321.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 1-12/2013	State University of New York
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.)*

	<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.	American Bar Association	1/22/13-1/25/13	Tampa, FL	Speaker	Travel, Food, Lodging
2.	The Sedona Conference	2/20/13-2/22/13	Litchfield Pk,AZ	Speaker	Travel, Food, Lodging
3.	University of South Carolina Law School	2/28/13-3/01/13	Columbia, SC	Speaker	Travel, Food, Lodging
4.	Cornell University School of Law	3/07/13-3/08/13	Ithaca, NY	Speaker	Travel, Food, Lodging
5.	Institute for Law and Economic Policy	4/11/13-4/13/13	Naples, FL	Speaker	Travel, Food, Lodging
6.	American Law Institute	6/06/13-6/07/13	Philadelphia, PA	Speaker	Travel, Food, Lodging

FINANCIAL DISCLOSURE REPORT

Page 3 of 25

Name of Person Reporting

Scheindlin, Shira A.

Date of Report

12/28/2014

7.	Sedona Conference	6/16/13-6/22/13	Zurich SWITZERLAND	Speaker	Travel, Food, Lodging
8.	Guidance Software	10/28/13-10/30/13	Los Angeles, CA.	Speaker	Travel, Food
9.	Cornell Law School	11/6/13-11/9/13	Ithaca NY	Attend Meeting	Travel, Food, Lodging
10.	Georgetown Law School: Advanced E-Discovery Institute	11/21/13-11/22/13	McLean, VA	Speaker	Travel, Food, Lodging
11.	American Bar Association	11/22/13-11/23/13	Philadelphia, PA	Attend Meeting	Travel, Food, Lodging
12.	Federal Bar Association	12/05/13-12/08/13	Honolulu, HI	Speaker	Travel, Food, Lodging

FINANCIAL DISCLOSURE REPORT

Page 4 of 25

Name of Person Reporting

Scheindlin, Shira A.

Date of Report

12/28/2014

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 25

Name of Person Reporting

Scheindlin, Shira A.

Date of Report

12/28/2014

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. Rental Property #1, Brooklyn, Kings County, NY	F	Rent	P1	W					
2. IRA #1									
3. IRA Sentinel Intl Equity Class A	A	Int./Div.	K	T					
4. IRA Sentinel Small Company A	A	Int./Div.	K	T					
5. IRA Sentinel Common Stock Class A	A	Int./Div.	L	T					
6. Alger Spectra Fund	A	Dividend	K	T					
7. JP Morgan Mid Cap Value Fund	B	Dividend	K	T					
8. JohnHancock STR Inc	A	Dividend	K	T					
9. PIMCO Real Return CI A	A	Dividend	K	T					
10. Sunamerica focussws dividend	A	Dividend	K	T					
11. Teachers Insurance Annuity Association	F	Interest	P1	T					
12. College Retirement Equities Fund	F	Dividend	P1	T					
13. Supplemental and Group Retirement Annuities	D	Int./Div.	O	T					
14. AXA Financial Insurance Company Stock	A	Int./Div.	J	T					
15. Vanguard Int'l Growth Fund	A	Dividend	J	T					
16. Pfizer	C	Dividend	L	T					
17. Investors Bank	A	Interest	J	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 25

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18. Investors Bank	A	Interest	J	T					
19. Chase Manhattan Bank	A	Interest	J	T					
20. Chase Manhattan Bank	A	Interest	J	T					
21. Chase Manhattan Bank	A	Interest	K	T					
22. Chase Manhattan Bank	A	Interest	L	T					
23. Chase Manhattan Bank	A	Interest	L	T					
24. Chase Manhattan Bank	A	Interest	M	T					
25. Fidelity Advantage Small Cap.	D	Distribution	K	T					
26. Fidelity Advantage Mid Cap	A	Dividend	L	T					
27. Brokerage Account #1									
28. Excelsior Directional Hedge Fund of Funds	A	Int./Div.			Sold	02/06/13	M	D	
29. Excelsior Directional Hedge Fund of Funds	A	Int./Div.			Buy (add'l)	02/06/13	J		
30. Excelsior Directional Hedge Fund of Funds	A	Int./Div.			Sold	06/07/13	J	B	
31. ASTON Montag & Caldwell Grth FD CL 1	A	Dividend	L	T					
32. ASTON Montag & Caldwell Grth FD CL 1	C	Distribution	L	T					
33. Columbia DIV, INC FD CLZ	B	Dividend	N	T					
34. Columbia DIV INC FD CLZ	B	Distribution	N	T					

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FINANCIAL DISCLOSURE REPORT

Page 7 of 25

Name of Person Reporting

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35. Columbia FDS SER TR 1 Select LGE CAP Grth FD CL Z	B	Distribution	M	T					
36. Columbia FDS SER TR 1 Select LGE CAP Grth FD CL Z	B	Dividend	M	T					
37. BOFA NY Tax Exempt Res. Tr. Cl.(inc. inv.)	A	Dividend	J	T					
38. Columbia Small Cap Grth FD	C	Distribution	L	T					
39. Columbia NY Inter Muni Bd Fund Cl Z	D	Int./Div.	L	T					
40. Columbia NY Inter Muni Bd Fund Cl Z	D	Int./Div.	L	T	Sold (part)	04/05/13	L	D	
41. Columbia NY Inter Muni Bd Fund Cl Z	D	Int./Div.	L	T	Sold (part)	10/02/13	L	C	
42. Columbia NY Inter Muni Bd Fund Cl Z	D	Int./Div.	L	T	Sold (part)	10/15/13	L	C	
43. Columbia Short Term Muni Bd Fd Cl Z	A	Int./Div.	K	T	Buy	10/15/13	K		
44. Janus Invest. FD Enterprise	A	Dividend	M	T					
45. Lazard Fd. Inc. Emerg. Mkts.	A	Dividend	K	T					
46. Lazard Fd. Inc. Emerg. Mkts.	A	Distribution	K	T					
47. Thornburg Int. Value Fd	A	Int./Div.	L	T					
48. Harbor Intl Fund	A	Int./Div.	K	T					
49. PIMCO Commodity Realreturn Strat. FD	A	Int./Div.			Buy (add'l)	02/13/13	K		
50. PIMCO Commodity Realreturn Strat. FD	A	Int./Div.			Buy (add'l)	04/04/13	K		
51. PIMCO Commodity Realreturn Strat. FD	A	Int./Div.			Buy (add'l)	04/09/13	J		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 25

Name of Person Reporting

Scheindlin, Shira A.

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52. PIMCO Commodity Realreturn Strat. FD	A	Int./Div.			Sold	10/01/13	L		
53. Vanguard REIT ETF	A	Dividend	J	T					
54. AQR Diversified Arbitrage fund	A	Int./Div.	K	T	Sold (part)	02/13/13	J	A	
55. AQR Diversified Arbitrage fund	A	Int./Div.	K	T	Buy (add'l)	10/02/13	J		
56. Columbia High Yield Municipal Fund	B	Int./Div.	J	T	Sold (part)	10/02/13	J		
57. Columbia High Yield Municipal Fund	B	Int./Div.	J	T	Sold (part)	10/15/13	K		
58. Black Rock Global Long Short CR Fd	A	Int./Div.			Buy	02/13/13	K		
59. Black Rock Global Long Short CR Fd	A	Int./Div.			Sold	10/01/13	K	A	
60. Eaton Vance Atlanta Cp.		None	K	T	Buy	04/04/13	K		
61. Columbia Emerging Mkt Fd CI Z	A	Int./Div.	L	T	Buy	04/05/13	K		
62. Columbia Emerging Mkt Fd CI Z	A	Int./Div.	L	T	Buy (add'l)	04/09/13	J		
63. Columbia Emerging Mkt Fd CI Z	A	Int./Div.	L	T	Buy (add'l)	10/02/13	J		
64. Ivy Asset Strategy Fd	A	Int./Div.	L	T	Buy	04/05/13	L		
65. Ivy Asset Strategy Fd	A	Int./Div.	L	T	Sold (part)	10/02/13	K	B	
66. PIMCO All Assests All AUTH. Fd	B	Int./Div.	K	T	Buy	04/05/13	K		
67. Artisan Int. Fd	A	Int./Div.	J	T	Buy	04/17/13	J		
68. Oppenheimer Intl Gth Fd	A	Int./Div.	M	T	Buy	10/02/13	L		

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FINANCIAL DISCLOSURE REPORT

Page 9 of 25

Name of Person Reporting

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69. Oppenheimer Intl Gth Fd	A	Int./Div.	M	T	Buy (add'l)	10/15/13	K		
70. PIMCO Commodities Plus Strategies	A	Int./Div.	L	T	Buy	10/02/13	L		
71. Prudential Global Real Estate	A	Int./Div.	K	T	Buy	10/02/13	K		
72. Robeco Boston Partners Long/Short Research fund		None	L	T	Buy	10/02/13	K		
73. Robeco Boston Partners Long/Short Research Fund		None	L	T	Buy (add'l)	10/15/13	J		
74. Franklin FTLG Rate Daily Access Fd	B	Int./Div.	K	T	Buy	10/15/13	K		
75. Scottrade Acct. #1									
76. Barely Bk MSCI India		None	J	T					
77. MSCI Pacific	A	Dividend	J	T					
78. MSCI Mexico	A	Dividend	J	T					
79. MSCI Hong Kong	A	Dividend	K	T					
80. SPDR Gold Trust		None	K	T					
81. Harbor Bond Fund	A	Int./Div.	K	T					
82. Long Leaf Partners Fund	A	Dividend	J	T					
83. Peritt Micro Cap FD		None	K	T					
84. Scottrade Sweep US Bank NA	A	Interest	L	T					
85. Oakmark Select Fund	A	Int./Div.	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 10 of 25

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86. Fairholme Fund		None	J	T					
87. SPDR Series trust KBWregl. B		None	J	T					
88. PIMCO Emerging Local Bond fund	A	Int./Div.	J	T					
89. M&I Marshall Ilsley Bank (sweep Acc't)		None	J	T					
90. Brokerage Acct. #2									
91. Windstream Stock	A	Dividend	J	T					
92. Markwest Stock	A	Int./Div.	J	T					
93. SPDR Index SHS FDS INT (IPF-ETF)	A	Int./Div.	J	T					
94. MSCI Hong Kong (EWH-ETF)	A	Int./Div.	J	T					
95. SPDR Index SHS FDS S&P China (GXC)	A	Int./Div.	J	T					
96. Claymore Exchange Traded Fund (TAN)	A	Int./Div.			Sold	03/05/13	J		
97. Fairholme FND FAIRX	A	Distribution	J	T					
98. US Bank NA (sweep acct)	A	Interest	J	T					
99. Fidelity Nordic FNORX	A	Int./Div.	J	T					
100. Fidelity EMEA FND FEMEX	A	Int./Div.	J	T					
101. Fidelity Emerging Asia FND FSEAX	A	Int./Div.	J	T					
102. Market Vectors Brazil Small Cap ETF BRF	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 11 of 25

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103. Fidelity Value Fund FDVLX	A	Dividend	J	T	Buy	02/18/13	J		
104. Columbia Aggressive Value CAMAX	A	Dividend	J	T	Buy	02/18/13	J		
105. T Rowe Price Cap Appreciation FND PRWCX	A	Dividend	J	T	Buy	03/06/13	J		
106. Powershares Dynamic FND PBE	A	Dividend	J	T	Buy	08/02/13	J		
107. Market Vectors Gold FND GDX	A	Dividend	J	T	Buy	08/08/13	J		
108. JP Morgan Chase/Acct #1									
109. SPDR S & P 500 ETF SPY	A	Dividend	J	T	Sold (part)	02/12/13	J	A	
110. SPDR S & P 500 ETF SPY	A	Dividend	J	T	Sold (part)	05/07/13	J	A	
111. SPDR S & P 500 ETF SPY	A	Dividend	J	T	Sold (part)	05/29/13	J	A	
112. SPDR S & P 500 ETF SPY	A	Dividend	J	T	Buy (add'l)	06/06/13	J		
113. SPDR S & P 500 ETF SPY	A	Dividend	J	T	Buy (add'l)	06/12/13	J		
114. SPDR S & P 500 ETF SPY	A	Dividend	J	T	Buy (add'l)	09/07/13	J		
115. SPDR S & P 500 ETF SPY	A	Dividend	J	T	Buy (add'l)	10/25/13	J		
116. American Century Interterm AXBIX	A	Dividend	J	T	Buy (add'l)	02/08/13	J		
117. American Century Interterm AXBIX	A	Dividend	J	T	Sold (part)	05/03/13	J	A	
118. American Century Interterm AXBIX	A	Dividend	J	T	Buy (add'l)	06/04/13	J		
119. American Century Interterm AXBIX	A	Dividend	J	T	Sold (part)	06/10/13	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	

FINANCIAL DISCLOSURE REPORT

Page 12 of 25

Name of Person Reporting

Scheindlin, Shira A.

Date of Report

12/28/2014

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)
120. American Century Interterm AXBIX	A	Dividend	J	T	Sold (part)	08/13/13	J		
121. American Century Interterm AXBIX	A	Dividend	J	T	Sold (part)	09/05/13	J	A	
122. Black Rock FDS US BHYIX	A	Dividend	J	T	Buy	05/03/13	J		
123. Black Rock FDS US BHYIX	A	Dividend	J	T	Buy (add'l)	05/23/13	J		
124. Black Rock FDS US BHYIX	A	Dividend	J	T	Buy (add'l)	06/04/13	J		
125. Black Rock FDS US BHYIX	A	Dividend	J	T	Buy (add'l)	10/08/13	J		
126. Black Rock FDS US BHYIX	A	Dividend	J	T	Buy (add'l)	10/23/13	J		
127. Black Rock FDS BMCIX	A	Dividend			Sold	05/03/13	J	A	
128. Cohen & Steers Realty CSDIX	A	Dividend	J	T	Buy (add'l)	06/04/13	J		
129. Cohen & Steers Realty CSDIX	A	Dividend	J	T	Buy (add'l)	06/10/13	J		
130. Cohen & Steers Realty CSDIX	A	Dividend	J	T	Buy (add'l)	12/23/13	J		
131. Delaware GRP Caps Emerging DEMIX	A	Dividend	J	T	Buy (add'l)	02/08/13	J		
132. Delaware GRP Caps Emerging DEMIX	A	Dividend	J	T	Sold (part)	05/03/13	J	A	
133. Delaware GRP Caps Emerging DEMIX	A	Dividend	J	T	Buy (add'l)	06/04/13	J		
134. Goldman Sachs Emerging Market GSDIX	A	Dividend	J	T	Sold (part)	02/08/13	J	A	
135. Goldman Sachs Emerging Market GSDIX	A	Dividend	J	T	Buy (add'l)	05/03/13	J		
136. Goldman Sachs Emerging Market GSDIX	A	Dividend	J	T	Buy (add'l)	06/04/13	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	

FINANCIAL DISCLOSURE REPORT

Page 13 of 25

Name of Person Reporting

Scheindlin, Shira A.

Date of Report

12/28/2014

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)
137. Goldman Sachs Emerging Market GSDIX	A	Dividend	J	T	Buy (add'l)	08/13/13	J		
138. Goldman Sachs Emerging Market GSDIX	A	Dividend	J	T	Sold (part)	10/23/13	J		
139. AIN Tax Exempt FDS/Invesco Van Kampen ACTDX	A	Dividend			Buy (add'l)	02/08/13	J		
140. AIN Tax Exempt FDS/Invesco Van Kampen ACTDX	A	Dividend			Sold (part)	05/02/13	J	A	
141. AIN Tax Exempt FDS/Invesco Van Kampen ACTDX	A	Dividend			Sold (part)	05/23/13	J	A	
142. AIN Tax Exempt FDS/Invesco Van Kampen ACTDX	A	Dividend			Sold	05/23/13	J	A	
143. Oak Mark Fund OAKMX	A	Dividend	J	T	Sold (part)	02/08/13	J	A	
144. Oak Mark Fund OAKMX	A	Dividend	J	T	Buy (add'l)	05/03/13	J		
145. Oak Mark Fund OAKMX	A	Dividend	J	T	Buy (add'l)	06/04/13	J		
146. Oak Mark Fund OAKMX	A	Dividend	J	T	Buy (add'l)	06/10/13	J		
147. Oak Mark Fund OAKMX	A	Dividend	J	T	Sold (part)	08/13/13	J	A	
148. JP Morgan TR1/inter tax free VSITX	A	Dividend			Buy (add'l)	02/08/13	J		
149. JP Morgan TR1/inter tax free VSITX	A	Dividend			Sold (part)	05/03/13	J	A	
150. JP Morgan TR1/inter tax free VSITX	A	Dividend			Buy (add'l)	06/04/13	J		
151. JP Morgan TR1/inter tax free VSITX	A	Dividend			Sold (part)	06/10/13	J	A	
152. JP Morgan TR1/inter tax free VSITX	A	Dividend			Sold (part)	08/13/13	J	A	
153. JP Morgan TR1/inter tax free VSITX	A	Dividend			Sold (part)	09/05/13	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	

FINANCIAL DISCLOSURE REPORT

Page 14 of 25

Name of Person Reporting

Scheindlin, Shira A.

Date of Report

12/28/2014

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)
154. JP Morgan TR1/inter tax free VSITX	A	Dividend			Merged (with line 155)	11/22/13	J		
155. JP Morgan TR1/inter tax free BD FND Instl CL JTTX	A	Dividend	J	T					
156. JP Morgan TR1/US Equity FD JUESX	A	Dividend			Sold (part)	05/03/13	J	A	
157. JP Morgan TR1/US Equity FD JUESX	A	Dividend			Buy (add'l)	06/04/13	J		
158. JP Morgan TR1/US Equity FD JUESX	A	Dividend			Buy (add'l)	06/10/13	J		
159. JP Morgan TR1/US Equity FD JUESX	A	Dividend			Sold (part)	08/13/13	J		
160. JP Morgan TR1/US Equity FD JUESX	A	Dividend			Merged (with line 161)	11/22/13	J		
161. JP Morgan TR1 U S Equity FD Instl Cl JMUEX	A	Dividend	J	T					
162. JP Morgan TR1/Midcap Equity VSNGX	A	Dividend	J	T	Sold (part)	02/08/13	J	A	
163. JP Morgan TR1/Midcap Equity VSNGX	A	Dividend	J	T	Sold (part)	05/03/13	J	A	
164. JP Morgan TR1/Midcap Equity VSNGX	A	Dividend	J	T	Buy (add'l)	06/04/13	J		
165. JP Morgan TR1/Midcap Equity VSNGX	A	Dividend	J	T	Sold (part)	06/10/13	J		
166. JP Morgan TR1/Midcap Equity VSNGX	A	Dividend	J	T	Buy (add'l)	08/13/13	J		
167. JP Morgan TR1/Midcap Equity VSNGX	A	Dividend	J	T	Buy (add'l)	12/23/13	J		
168. JP Morgan TR1/International Value Fund Select JIESX	A	Dividend			Buy (add'l)	02/08/13	J		
169. JP Morgan TR1/International Value Fund Select JIESX	A	Dividend			Sold (part)	05/03/13	J	A	
170. JP Morgan TR1/International Value Fund Select JIESX	A	Dividend			Buy (add'l)	06/04/13	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 \$5,000,000	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 15 of 25

Name of Person Reporting

Scheindlin, Shira A.

Date of Report

12/28/2014

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)
171. JP Morgan TR1/International Value Fund Select JIESX	A	Dividend			Buy (add'l)	06/10/13	J		
172. JP Morgan TR1/International Value Fund Select JIESX	A	Dividend			Sold (part)	08/13/13	J		
173. JP Morgan TR1/International Value Fund Select JIESX	A	Dividend			Merged (with line 174)	11/22/13	J		
174. JP Morgan TR I Int'l Value FD Instl CI JNUSX	A	Dividend	J	T					
175. JP Morgan TR1/Emerging Markets Equity FD JEMSX	A	Dividend			Buy (add'l)	05/03/13	J		
176. JP Morgan TR1/Emerging Markets Equity FD JEMSX	A	Dividend			Buy (add'l)	06/04/13	J		
177. JP Morgan TR1/Emerging Markets Equity FD JEMSX	A	Dividend			Buy (add'l)	08/13/13	J		
178. JP Morgan TR1/Emerging Markets Equity FD JEMSX	A	Dividend			Merged (with line 179)	11/22/13	J		
179. JP Morgan TRI Em. Mkts Equity FDS Instl JMIEX	A	Dividend	J	T					
180. JPMorgan High Yield OHYFX	A	Dividend	J	T	Buy	05/03/13	J		
181. JPMorgan High Yield OHYFX	A	Dividend	J	T	Buy (add'l)	05/24/13	J		
182. JPMorgan High Yield OHYFX	A	Dividend	J	T	Buy (add'l)	06/04/13	J		
183. JPMorgan High Yield OHYFX	A	Dividend	J	T	Sold (part)	06/10/13	J		
184. JP Morgan Short Interm.PGUIX	A	Dividend			Buy	08/13/13	J		
185. JP Morgan Short Interm.PGUIX	A	Dividend			Buy (add'l)	09/05/13	J		
186. JP Morgan Short Interm.PGUIX	A	Dividend			Merged (with line 187)	11/22/13	J		
187. JP Morgan TR II Short Inter Mun Bd Fd Instl JIMIX	A	Dividend	J	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	
	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	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 16 of 25

Name of Person Reporting

Scheindlin, Shira A.

Date of Report

12/28/2014

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)
188. MFS Ser. Tr. X Emerging Market MEDIX	A	Dividend	J	T	Sold (part)	02/08/13	J	A	
189. MFS Ser. Tr. X Emerging Market MEDIX	A	Dividend	J	T	Sold (part)	05/03/13	J	A	
190. MFS Ser. Tr. X Emerging Market MEDIX	A	Dividend	J	T	Buy (add'l)	06/04/13	J		
191. MFS Ser. Tr. X Emerging Market MEDIX	A	Dividend	J	T	Buy (add'l)	08/13/13	J		
192. MFS Ser. Tr. X Emerging Market MEDIX	A	Dividend	J	T	Sold (part)	10/23/13	J		
193. MFS Municipal High Income MMHYX	A	Dividend			Sold (part)	02/08/13	J	A	
194. MFS Municipal High Income MMHYX	A	Dividend			Sold (part)	05/03/13	J	A	
195. MFS Municipal High Income MMHYX	A	Dividend			Sold	05/24/13	J	A	
196. T Rowe Price Tax Free Income PATAX	A	Dividend	J	T	Buy (add'l)	02/08/13	J		
197. T Rowe Price Tax Free Income PATAX	A	Dividend	J	T	Buy (add'l)	05/03/13	J		
198. T Rowe Price Tax Free Income PATAX	A	Dividend	J	T	Buy (add'l)	06/04/13	J		
199. T Rowe Price Tax Free Income PATAX	A	Dividend	J	T	Sold (part)	06/10/13	J		
200. T Rowe Price Tax Free Income PATAX	A	Dividend	J	T	Sold (part)	08/13/13	J	A	
201. T Rowe Price Tax Free Income PATAX	A	Dividend	J	T	Sold (part)	09/05/13	J	A	
202. T Rowe Price Summit PRSMX	A	Dividend	J	T	Buy	08/13/13	J		
203. T Rowe Price Summit PRSMX	A	Dividend	J	T	Buy (add'l)	09/05/13	J		
204. Thornburg International Value Fund TGVIX	A	Dividend	J	T	Buy (add'l)	02/08/13	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 \$5,000,000	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 17 of 25

Name of Person Reporting

Scheindlin, Shira A.

Date of Report

12/28/2014

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)
205. Thornburg International Value Fund TGVIX	A	Dividend	J	T	Sold (part)	05/03/13	J	A	
206. Thornburg International Value Fund TGVIX	A	Dividend	J	T	Buy (add'l)	06/04/13	J		
207. Thornburg International Value Fund TGVIX	A	Dividend	J	T	Buy (add'l)	06/10/13	J		
208. Thornburg International Value Fund TGVIX	A	Dividend	J	T	Sold (part)	08/13/13	J	A	
209. Vanguard Sector Index Funds VNQ	A	Dividend	J	T	Sold (part)	05/17/13	J	A	
210. Vanguard Sector Index Funds VNQ	A	Dividend	J	T	Buy (add'l)	06/06/13	J		
211. Vanguard Sector Index Funds VNQ	A	Dividend	J	T	Buy (add'l)	06/12/13	J		
212. Vanguard Sector Index Funds VNQ	A	Dividend	J	T	Sold (part)	08/15/13	J	A	
213. Vanguard Sector Index Funds VNQ	A	Dividend	J	T	Sold (part)	09/09/13	J		
214. iShares Trust Russell 2000 IWM	A	Dividend	J	T	Buy	05/07/13	J		
215. iShares Trust Russell 2000 IWM	A	Dividend	J	T	Buy	06/06/13	J		
216. iShares Trust Russell 2000 IWM	A	Dividend	J	T	Sold (part)	06/12/13	J	A	
217. Dreyfus Emerging Mkt DDBIX	A	Dividend			Buy	05/03/13	J		
218. Dreyfus Emerging Mkt DDBIX	A	Dividend			Buy (add'l)	06/04/13	J		
219. Dreyfus Emerging Mkt DDBIX	A	Dividend			Sold (part)	06/10/13	J		
220. Dreyfus Emerging Mkt DDBIX	A	Dividend			Sold (part)	10/08/13	J		
221. Dreyfus Emerging Mkt DDBIX	A	Dividend			Sold	10/23/13	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 H = \$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 \$5,000,000	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 18 of 25

Name of Person Reporting

Scheindlin, Shira A.

Date of Report

12/28/2014

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)

222. John Hancock Inc. Fd JSTIX	A	Dividend	J	T	Buy	05/03/13	J		
223. John Hancock Inc. Fd JSTIX	A	Dividend	J	T	Buy (add'l)	06/04/13	J		
224. John Hancock Inc. Fd JSTIX	A	Dividend	J	T	Buy (add'l)	08/13/13	J		
225. Massachusetts Investors MITIX	A	Dividend	J	T	Buy	05/03/13	J		
226. Massachusetts Investors MITIX	A	Dividend	J	T	Buy (add'l)	05/03/13	J		
227. Massachusetts Investors MITIX	A	Dividend	J	T	Buy (add'l)	06/04/13	J		
228. Massachusetts Investors MITIX	A	Dividend	J	T	Buy (add'l)	06/10/13	J		
229. Massachusetts Investors MITIX	A	Dividend	J	T	Sold (part)	08/13/13	J	A	
230. Mainstay MHYIX	A	Dividend	J	T	Buy	05/03/13	J		
231. Mainstay MHYIX	A	Dividend	J	T	Buy (add'l)	05/24/13	J		
232. Mainstay MHYIX	A	Dividend	J	T	Buy (add'l)	06/04/13	J		
233. Mainstay MHYIX	A	Dividend	J	T	Sold (part)	06/10/13	J		
234. MFS Research International MRSIX	A	Dividend	J	T	Buy	05/03/13	J		
235. MFS Research International MRSIX	A	Dividend	J	T	Buy (add'l)	06/04/13	J		
236. MFS Research International MRSIX	A	Dividend	J	T	Sold (part)	08/13/13	J	A	
237. MFS Research International MRSIX	A	Dividend	J	T	Buy (add'l)	06/10/13	J		
238. Transamerica Hi-Yield Bd IHYIX	A	Dividend			Buy	05/03/13	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 \$5,000,000	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 19 of 25

Name of Person Reporting

Scheindlin, Shira A.

Date of Report

12/28/2014

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)

239. Transamerica Hi-Yield Bd IHIX	A	Dividend			Buy (add'l)	06/04/13	J		
240. Transamerica Hi-Yield Bd IHIX	A	Dividend			Sold	06/10/13	J		
241. American Century Value Fund AVLIX	A	Dividend	J	T	Buy	06/10/13	J		
242. American Century Value Fund AVLIX	A	Dividend	J	T	Sold (part)	08/13/13	J	A	
243. Goldman Sachs Small Cap GSSIX	A	Dividend	J	T	Buy	06/10/13	J		
244. Goldman Sachs Small Cap GSSIX	A	Dividend	J	T	Sold (part)	08/13/13	J	A	
245. Goldman Sachs Small Cap GSSIX	A	Dividend	J	T	Buy (add'l)	12/16/13	J		
246. JP Morgan TRI Small Cap VSEIX	A	Dividend	J	T	Buy	06/10/13	J		
247. JP Morgan TRI Small Cap VSEIX	A	Dividend	J	T	Sold (part)	08/13/13	J	A	
248. JP Morgan Growth Advantage JGASX		None	J	T	Buy	06/10/13	J		
249. JP Morgan Growth Advantage JGASX		None	J	T	Sold (part)	08/13/13	J	A	
250. Wells Fargo Advantage FDS EMGYX	A	Dividend	J	T	Buy	06/10/13	J		
251. ishares MSCI EAFE ETF EFA	A	Dividend	J	T	Buy	08/15/13	J		
252. ishares MSCI EAFE ETF EFA	A	Dividend	J	T	Buy (add'l)	09/09/13	J		
253. Alliance Bernstein Inter AIDAX	A	Dividend	J	T	Buy	08/13/13	J		
254. Alliance Bernstein Inter AIDAX	A	Dividend	J	T	Buy (add'l)	09/05/13	J		
255. PIMCO Low Duration Fund PTLDX	A	Dividend	J	T	Buy	08/13/13	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 \$5,000,000	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 20 of 25

Name of Person Reporting

Scheindlin, Shira A.

Date of Report

12/28/2014

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)
256. PIMCO Low Duration Fund PTLDX	A	Dividend	J	T	Buy (add'l)	09/05/13	J		
257. JP Morgan TRI US Equity FD JSUEX	A	Dividend			Buy	12/23/13	J		
258. JP Morgan TRI US Equity FD JSUEX	A	Dividend			Merged (with line 259)	12/23/13	J		
259. JP Morgan TR 1 US Equity Fd Instl CL JMUEX	A	Dividend	J	T					
260. JP Morgan Deposit Sweep MGD QCPCM*	A	Interest	J	T					
261. JP Morgan Chase/Acct #2									
262. JPM STR Inc Op Fd**	A	Dividend	J	T					
263. JPM Short Duration Bond Fund	A	Dividend			Sold (part)	01/09/13	J		
264. JPM Short Duration Bond Fund	A	Dividend			Sold (part)	01/11/13	J	A	
265. JPM Short Duration Bond Fund	A	Dividend			Sold (part)	01/15/13	J	A	
266. JPM Short Duration Bond Fund	A	Dividend			Sold	01/17/13	J	A	
267. JPM TR MLT SC INC	A	Dividend			Sold (part)	02/07/13	J	A	
268. JPM TR MLT SC INC	A	Dividend			Sold	02/20/13	J	A	
269. JPM TR MLT SC INC	A	Dividend			Sold (part)	06/19/13	J	A	
270. JPM TR MLT SC INC	A	Dividend			Sold (part)	06/25/13	J		
271. JPM TR MLT SC INC	A	Dividend			Sold	07/03/13	J	A	
272. Harbor High Yield Bond Fund	A	Dividend	J	T	Sold (part)	12/18/13	J	A	

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 21 of 25

Name of Person Reporting

Scheidlin, Shira A.

Date of Report

12/28/2014

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)
273. Harbor Convertible Securities Fund	A	Dividend	J	T	Buy (add'l)	06/18/13	J		
274. PIMCO Emerging Local Bond Fund	A	Dividend			Buy	02/20/13	J		
275. PIMCO Emerging Local Bond Fund	A	Dividend			Sold (part)	06/07/13	J		
276. PIMCO Emerging Local Bond Fund	A	Dividend			Sold (part)	06/10/13	J		
277. PIMCO Emerging Local Bond Fund	A	Dividend			Sold	08/01/13	J		
278. PIMCO Emerging Market Corporate Bond Fund	A	Dividend			Sold (part)	11/18/13	J	A	
279. PIMCO Emerging Market Corporate Bond Fund	A	Dividend			Sold	11/25/13	J	A	
280. SIT Mut. FDS Inc. Div. Growth	A	Dividend	J	T	Buy (add'l)	06/12/13	J		
281. Ridgeworth FDS SEIX FLRT	A	Dividend	J	T					
282. Gateway FD	A	Dividend	J	T	Sold (part)	01/08/13	J	A	
283. Gateway FD	A	Dividend	J	T	Sold (part)	01/09/13	J	A	
284. Gateway FD	A	Dividend	J	T	Sold (part)	02/25/13	J	A	
285. Gateway FD	A	Dividend	J	T	Sold (part)	06/07/13	J	A	
286. Matthews Asia Div. Inst	A	Dividend	J	T	Buy (add'l)	02/04/13	J		
287. Eaton Vance Floating Rate ADV	A	Dividend	J	T					
288. Black Rock High Yield Bd	A	Dividend	J	T	Buy (add'l)	06/28/13	J		
289. Cohen and Steere Pref Sec. and Income	A	Dividend	J	T	Buy (add'l)	02/07/13	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
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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 22 of 25

Name of Person Reporting

Scheindlin, Shira A.

Date of Report

12/28/2014

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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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)
290. Cohen and Steere Pref Sec. and Income	A	Dividend	J	T	Buy (add'l)	06/17/13	J		
291. Doubleline FDS TR Total Return	A	Dividend	K	T					
292. T Rowe Price Instl. Income Fs/D Floating Rate Fd	A	Dividend	J	T					
293. HSBC FDS Total Return 1	A	Dividend	J	T	Sold (part)	02/20/13	J	A	
294. Managed Portfolio Ser Tortoise Instl.	A	Dividend	J	T					
295. Nuveen Global Infrastructure Share Class	A	Distribution	J	T	Buy	01/04/13	J		
296. Nuveen	A	Distribution	J	T	Buy (add'l)	01/08/13	J		
297. Nuveen	A	Distribution	J	T	Buy (add'l)	01/09/13	J		
298. Prudential Total Return BD FD CL Z	A	Dividend			Buy	01/09/13	J		
299. Prudential Total Return BD FD CL Z	A	Dividend			Buy (add'l)	01/11/13	J		
300. Prudential Total Return BD FD CL Z	A	Dividend			Buy (add'l)	01/15/13	J		
301. Prudential Total Return BD FD CL Z	A	Dividend			Buy (add'l)	01/17/13	J		
302. Prudential Total Return BD FD CL Z	A	Dividend			Sold (part)	06/25/13	J		
303. Prudential Total Return BD FD CL Z	A	Dividend			Sold (part)	08/05/13	J		
304. Prudential Total Return BD FD CL Z	A	Dividend			Sold	10/25/13	J		
305. Clearbridge Equity	A	Dividend	J	T	Buy	06/27/13	J		
306. JPM Intrepid Europe FD	A	Dividend	J	T	Buy	08/02/13	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
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FINANCIAL DISCLOSURE REPORT

Page 23 of 25

Name of Person Reporting

Scheindlin, Shira A.

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12/28/2014

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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)
307. JPM Intrepid Europe FD	A	Dividend	J	T	Buy (add'l)	08/07/13	J		
308. Metropolitan West Total Return Institutional Share Class	A	Dividend	J	T	Buy	10/25/13	J		
309. Columbia FD SER TRT			J	T	Buy	12/20/13	J		
310. JP Morgan Sweep Acc't	A	Interest	J	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	

FINANCIAL DISCLOSURE REPORT

Page 24 of 25

Name of Person Reporting

Scheindlin, Shira A.

Date of Report

12/28/2014

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

* Line 260 JP Morgan Deposit Sweep MGD QCPCM is a deposit sweep fund where income is stored until reinvested. This sweep fund existed in 2012 when I opened this JP Morgan investment account but I inadvertently failed to list it. The total interest on this fund was \$0.57 as stated in the 1099 I received from JP Morgan in 2013.

** Line 262 In the Committee's December 1, 2014 letter you stated at paragraph five that "you did not list ["JPM STR Inc Op Fd"] in your current report." This is incorrect. See line 262 of original report filed on July 9, 2014.

FINANCIAL DISCLOSURE REPORT

Page 25 of 25

Name of Person Reporting

Scheindlin, Shira A.

Date of Report

12/28/2014

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/ Shira A. Scheindlin

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