

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) Finnegan, Sheila M.	2. Court or Organization District Court - Northern District of Illinois	3. Date of Report 12/09/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge (FT)	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 219 S. Dearborn Street Room 2206 Chicago, IL 60604		
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 Professor	Northwestern University Law School
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2016	Northwestern University Law School	\$2,000.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2016	Titan Security (wages)
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.				
2.				
3.				
4.				
5.				

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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. New England Life Ins. Variable Life - SF (MetLife Stock Index)	B	Int./Div.	K	T					
2. Everbank Checking	A	Interest	J	T					
3. Everbank Money Mkt	A	Interest	L	T					
4. U.S. Employee Credit Union (Checking and Saving)	A	Interest	J	T					
5. Inconix Brand		None	J	T					
6. Brokerage Account 1 (Fidelity)									
7. -Fidelity Municipal Money Mkt	A	Interest	L	T					
8. -Merck & Co	A	Dividend	J	T					
9. -VEU (Vanguard Intl Equity Index Fd FTSE All World Ex US)	A	Int./Div.	L	T					
10. -VTI (Vanguard Total Stk Mkt ETF)	A	Int./Div.	O	T					
11.					Buy (add'l)	01/15/16	K		
12.					Buy (add'l)	01/20/16	J		
13. -VXUS (Vanguard Star FD Total Intl Stock Index Fd)	A	Int./Div.	N	T					
14.					Buy (add'l)	01/04/16	L		
15.					Buy (add'l)	01/06/16	K		
16.					Buy (add'l)	01/08/16	K		
17.					Buy (add'l)	01/15/16	K		

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 ~\$250,000,001 - \$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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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)

18. -FSEVX (Spartan Extended Mkt Index Fid Adv Class)	A	Int./Div.	K	T					
19. -AGG (iShare Core U.S. Aggregate Bond ETF)	A	Int./Div.	M	T					
20.					Buy (add'l)	01/15/16	K		
21. -SPY (SPDR S&P 500 ETF)	A	Int./Div.	L	T					
22. -Chicago IL Wstwr Transm Rev Ser B FGIC 010117 Dtd 112106	B	Interest	K	T					
23. -Maryland St Sr A BE?R/	B	Interest	K	T					
24. -Arizona St. Transit Brd Hwy Rev. Bds Ser	B	Interest	K	T					
25. -Collin Cnty Tex Ultd Tax Rd and Ref Bds	B	Interest	K	T					
26. -Honolulu Hawaii City & Cnty Wastewtr Sys	A	Interest	K	T					
27. -Elk Grove Village GO Bds Ser	A	Interest	K	T					
28. -King Cnty Wash Swr Rev	A	Interest	K	T					
29. -Naperville ILL GO Ref BDS Ser	A	Interest	K	T					
30. -Ohio State Infrastr Impt GO Rev	A	Interest	L	T					
31. -Ohio St Univ Gen Rcpts	B	Interest	L	T					
32. -Orange Cnty Fla Sales Tax Rev	B	Interest	L	T					
33. -Redmond Washj Ref Bds Ser	A	Interest	K	T					
34. -Temple Ariz GO Bds Ser	A	Interest	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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☐ 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)
35. -Texas St Univ Sys Fing Rev	A	Interest	K	T					
36. -Washington St Motor Vhcle Fuel Tax GO	A	Interest	K	T					
37. -Winnebago Cnty Ill Go Alt Ref BDS	A	Interest	K	T					
38. -Maryland St Sr A BE/R	A	Interest	K	T					
39. -Will Grundy Etc Cnty Ill Cmnty 06/01/2018 Colleg	B	Interest	K	T					
40. Rollover IRA (Fid-868)									
41. -VXUS (Vanguard Star FD Total Intl Stock Index Fd)	A	Dividend	K	T					
42. --Cisco Systems Inc. Bond 2/22/16	A	Interest			Redeemed	02/22/16	K	A	
43. -FDRXX (Fidelity Govt Cash Reserves)	A	Interest	K	T	Buy	02/22/16	K		
44. Rollover IRA SF 2 (Fid Multiple Roth)									
45. --TIP (Ishares Tips Bond ETF)	A	Dividend	M	T					
46. -VXUS (Vanguard Star FD Total Intl Stock Index ETF)	A	Dividend	L	T					
47. -AGG (Ishares Core US Aggregate Bond ETF)	A	Dividend	K	T					
48. -VTI (Vanguard Total Stock Mkt ETF)	B	Dividend	M	T					
49. IRA Rollover Acct KS (Fidelity)									
50. -OPGSX (Oppenheimer Gold & Spec Minerals C1 A)	A	Dividend	J	T					
51. -AGG (iShare Core US Aggregate Bond ETF)	A	Dividend	M	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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52. Roth IRA Accts KS (Fidelity)									
53. -FDRXX (Fidelity Cash Reserves)	A	Dividend	J	T					
54. -SPHIX (Fidelity High Income)	A	Dividend	J	T					
55. -AGG (Ishares Core U.S. Aggregate Bond ETF)	A	Dividend	K	T					
56. Roth IRA SF 1 (Fidelity)									
57. -FDRXSX (Fidelity cash reserves)	A	Dividend	J	T					
58. -Abbvie, Inc.	A	None	J	T					
59. Health Savings Acct IRA									
60. -VXUS (Vanguard Total Intl ETF)	A	Int./Div.	K	T					
61. -VTI (Vanguard Total Stock Mkt ETF)	A	Int./Div.	K	T					
62. -Federated Prime Cash Trust	A	Interest	J	T					
63. College Invest Stable Value Plus (MetLife) 529 Plan for DS	A	Int./Div.	K	T					
64. Illinois Bright Start 529 for MS (Index Age3 Based 12-14 Yrs)	A	Int./Div.	K	T					
65. Illinois Bright Start for MS (Index Equity)	A	Int./Div.	J	T					
66. Utah 529 Plan MS (Option 9)	A	Int./Div.			Distributed (part)	07/07/16	J	A	\
67.					Distributed	11/29/16	J	A	
68. Fidelity 529 Plan MS (MA Portfolio 2015)	A	Int./Div.	J	T					

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69. College Invest Stable Value Plan (MetLife) 529 Plan for MS	B	Int./Div.	L	T					
70. Brokerage Acct MS									
71. -FTEXX (Fidelity Municipal Money Market)	A	Interest	J	T					
72. -VTI (Vanguard Index Fds Total Stk Mkt ETF)	D	Dividend	J	T					
73. Chase Bank Saving - MS	A	Interest	J	T					
74. Roth IRA - MS (Vanguard)									
75. -VTTSX (Vanguard Target Retirement 2060)	A	Int./Div.	J	T	Buy	02/23/16	J		

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

Accounts of [REDACTED] do not appear because [REDACTED] was not a dependent in 2016. These were on lines 79-83 of the 2015 report. The asset RMA Money Mkt Portfolio does not appear in this report, though it was identified as an asset in my prior (2015 amended) report in Part VII, line 19. After an inquiry about why it was missing from the 2016 report, I researched this and learned that RMA Money Mkt Portfolio is a money market fund of UBS. As noted in Section VIII of my report filed on 10/11/2013, all of my UBS accounts were closed in December 2012 when all holdings were transferred to Fidelity accounts. Because RMA Money Mkt Portfolio was a UBS portfolio, that asset could not be held in a Fidelity account. Therefore my UBS broker caused the funds in this account to be transferred as cash (\$14,989.61) on 12/7/2012. Since I did not execute any order to redeem/sell this asset, I inadvertently continued to list the asset in later reports in 2013, 2014, and 2015.

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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/ Sheila M. Finnegan

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