

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) Shea, Edward F.	2. Court or Organization United States District Court	3. Date of Report 08/30/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III Senior 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 825 Jadwin Avenue, Ste. 320 Richland, WA 99352		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Officer/Director	██████████ - Corporation
2.	
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
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.)*DATESOURCE AND TYPEINCOME

(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.)*DATESOURCE AND TYPE

1. _____

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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. Northwestern Mutual Life Insurance - Whole Life Insurance	B	Dividend	L	T					
2. Northwestern Mutual Life Insurance - Whole Life Insurance	B	Dividend	L	T					
3. Northwestern Mutual Life Insurance - Whole Life Insurance	B	Dividend	L	T					
4. Prudential Life Insurance - Whole Life Insurance	A	Dividend	K	T					
5. South Boston Savings Bank Life Ins - Whole Life Insurance	A	Dividend	J	T					
6. GESA Credit Union	A	Interest	J	T					
7. Coins		None	J	T					
8. Fishcreek Ltd		None			Sold	12/31/16	K		
9. Art		None	K	W					
10.									
11. Vanguard Health Care Fund, Admin Personal Acct.	B	Dividend	J	T					
12.									
13. E/ SCHWAB RETIREMENT IRA Pershing rollover to Rochedale (H)									
14. KO	A	Dividend	J	T	Buy	05/31/16	J		
15. DUK	A	Dividend	J	T	Buy	05/31/16	J		
16. ES		None	J	T	Buy	05/31/16	J		
17. VZ	A	Dividend	J	T	Buy	05/31/16	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	

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☐ NONE (No reportable income, assets, or transactions.)

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	(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. HTA	A	Dividend	J	T	Buy	06/08/16	J		
19. MAA		None	J	T	Buy	06/08/16	J		
20.					Buy (add'l)	11/17/16	J		
21. RIMOX	D	Dividend	M	T	Buy	06/01/16	K		
22.					Buy (add'l)	06/09/16	K		
23.					Buy (add'l)	06/22/16	L		
24. GSK		None	J	T	Buy	06/15/16	J		
25. HXL		None			Buy	06/15/16	J		
26.					Sold	07/18/16	J		
27. LAMR	A	Dividend	J	T	Buy	06/15/16	J		
28.					Buy (add'l)	06/24/16	J		
29. MGA		None	J	T	Buy	06/15/16	J		
30. MA		None	J	T	Buy	06/15/16	J		
31. PAYX		None	J	T	Buy	06/15/16	J		
32. PM	A	Dividend	J	T	Buy	06/15/16	J		
33. TWX		None	J	T	Buy	06/15/16	J		
34. V		None			Buy	06/15/16	J		

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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	

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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				
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35.					Sold	07/29/16	J	A	
36. DHR		None			Buy	06/22/16	J		
37.					Sold	07/29/16	J	A	
38. FB		None	J	T	Buy	06/22/16	J		
39.					Buy (add'l)	07/29/16	J		
40. GPT	A	Dividend	J	T	Buy	06/22/16	J		
41. HON		None	J	T	Buy	06/22/16	J		
42.					Buy (add'l)	07/29/16	J		
43.					Sold (part)	11/29/16	J	A	
44. JNJ		None	J	T	Buy	06/22/16	J		
45.					Sold (part)	07/29/16	J	A	
46. LTC	A	Dividend	J	T	Buy	06/22/16	J		
47.					Buy (add'l)	11/17/16	J		
48. LMT		None	J	T	Buy	06/22/16	J		
49. NNN	A	Dividend	J	T	Buy	06/22/16	J		
50.					Buy (add'l)	11/17/16	J		
51. SCG		None	J	T	Buy	06/22/16	J		

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52. TMO		None	J	T	Buy	06/22/16	J		
53. WMT		None	J	T	Buy	06/22/16	J		
54. GOOGL		None	J	T	Buy	06/24/16	J		
55. ABDE		None	J	T	Buy	06/24/16	J		
56. AWK		None	J	T	Buy	06/29/16	J		
57. BGS		None	J	T	Buy	06/29/16	J		
58. CTAS		None	J	T	Buy	06/29/16	J		
59.					Buy (add'l)	10/28/16	J		
60. DHR		None	J	T	Buy	06/29/16	J		
61.					Buy (add'l)	12/06/16	J		
62. EFX		None	J	T	Buy	06/29/16	J		
63. XOM		None	J	T	Buy	06/29/16	J		
64.					Buy (add'l)	07/29/16	J		
65. LOW		None			Buy	06/29/16	J		
66.					Buy (add'l)	07/29/16	J		
67.					Sold	12/05/16	J		
68. PCG		None	J	T	Buy	06/29/16	J		

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69.					Sold (part)	07/29/16	J		
70. SLB		None	J	T	Buy	06/29/16	J		
71. UNH		None	J	T	Buy	06/29/16	J		
72. AGR		None	J	T	Buy	07/01/16	J		
73.					Buy (add'l)	11/17/16	J		
74. PGX	A	Dividend	J	T	Buy	07/01/16	J		
75. WPC		None	J	T	Buy	07/01/16	J		
76. BLK		None	J	T	Buy	07/11/16	J		
77. CVX		None			Buy	07/11/16	J		
78.					Sold	07/29/16	J		
79. D		None	J	T	Buy	07/11/16	J		
80.					Buy (add'l)	07/14/16	J		
81. EPR	A	Dividend	J	T	Buy	07/11/16	J		
82.					Buy (add'l)	11/17/16	J		
83. GIS		None	J	T	Buy	07/11/16	J		
84.					Buy (add'l)	11/17/16	J		
85. SYF		None			Buy	07/11/16	J		

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86.					Buy (add'l)	07/29/16	J		
87.					Sold	10/20/16	J		
88. VVC		None	J	T	Buy	07/11/16	J		
89. XEL		None	J	T	Buy	07/11/16	J		
90.					Buy (add'l)	07/17/16	J		
91. CELG		None			Buy	07/14/16	J		
92.					Sold	07/28/16	J	A	
93. CINF		None	J	T	Buy	07/14/16	J		
94. FTV		None			Buy	07/01/16	J		
95.					Sold	07/26/16	J	A	
96. NXPI		None	J	T	Buy	07/29/16	J		
97. AWK		None	J	T	Buy	07/29/16	J		
98. TMO		None	J	T	Buy	07/29/16	J		
99. TWX		None	J	T	Buy	07/29/16	J		
100. PNC		None	J	T	Buy	10/20/16	J		
101. --BAC (IRA)	A	Dividend			Sold	06/22/16	L	D	
102. Glycomimetics (X)		None			Sold	03/31/16	J	A	

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103. Ferrell Gas	A	Distribution			Sold	06/22/16	K		
104. FBSOX		None	M	T					
105. Pentair	A	Dividend			Sold	05/31/16	K		
106. Prudential (PRU)	A	Dividend			Sold	03/31/16	J	A	
107. PIMCO PAAIX	A	Dividend			Sold	03/31/16	L	B	
108. Rare Elements		None			Sold	03/31/16	J	A	
109. SPHD	A	Dividend			Sold	05/31/16	L	D	
110. STEM CELLS		None			Sold	03/31/16	J	A	
111. --US Bank	A	Dividend			Sold	06/22/16	L		
112. --Vanguard Health Care Fund (IRA)	A	Distribution			Sold	06/08/16	K	C	
113. Schwab cash reserves to Pershing Gov't Fund Roll over	A	Interest	L	T					
114.									
115. M/RETIREMENT ACCOUNT (H)									
116.									
117. Pershing Gov't Roll Over transferred to Rochedale		None	O	T					
118.									
119. M/IRA - Pershing transferred to Rochedale (H) 05/20/16									

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120. HCN	A	Dividend	J	T	Buy	05/20/16	J		
121. WFC		None			Buy	05/20/16	J		
122.					Buy (add'l)	07/29/16	J		
123.					Sold	10/04/16	J	A	
124. VGR	A	Dividend	J	T	Buy	05/20/16	J		
125. TWX		None	J	T	Buy	05/20/16	J		
126. PHM		None	J	T	Buy	05/20/16	J		
127. MGA		None	J	T	Buy	05/20/16	J		
128. LPT	A	Dividend	J	T	Buy	05/20/16	J		
129. HXL		None			Buy	05/20/16	J		
130.					Sold	07/18/16	J		
131. GILD		None			Buy	05/20/16	J		
132.					Sold (part)	07/21/16	J		
133.					Sold	08/30/16	J	A	
134. EW		None	J	T	Buy	05/20/16	J		
135.					Sold	07/29/16	J	A	
136.					Buy	12/19/16	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	

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Name of Person Reporting

Shea, Edward F.

Date of Report

08/30/2017

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. CNSL	A	Dividend	J	T	Buy	05/20/16	J		
138. BKU		None			Buy	05/20/16	J		
139.					Buy (add'l)	06/29/16	J		
140.					Sold	07/29/16	J	A	
141. AIG		None	J	T	Buy	05/20/16	J		
142. CME		None	J	T	Buy	05/20/16	J		
143.					Buy (add'l)	05/26/16	J		
144.					Buy (add'l)	07/29/16	J		
145. AAPL		None	J	T	Buy	05/31/16	J		
146.					Sold (part)	07/28/16	J	A	
147. CVS		None			Buy	05/31/16	J		
148.					Buy (add'l)	06/29/16	J		
149.					Buy (add'l)	07/29/16	J		
150.					Sold	11/23/16	J	A	
151. RIMOX	D	Dividend	K	T	Buy	06/01/16	K		
152.					Buy (add'l)	06/16/16	K		
153. MCSA		None	J	T	Buy	05/31/16	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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Name of Person Reporting

Shea, Edward F.

Date of Report

08/30/2017

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. DIS		None	J	T	Buy	05/31/16	J		
155.					Buy (add'l)	07/29/16	J		
156. ESS		None	J	T	Buy	05/31/16	J		
157. HCA		None			Buy	05/31/16	J		
158.					Buy (add'l)	07/29/16	J		
159.					Sold	11/23/16	J	A	
160. JPM		None	J	T	Buy	05/31/16	J		
161. MSFT		None	J	T	Buy	05/31/16	J		
162.					Sold (part)	07/29/16	J	A	
163. SBUX		None	J	T	Buy	05/31/16	J		
164. AAPL4336441		None	J	T	Buy	06/01/16	J		
165. DOW XS	A	Dividend	J	T	Buy	06/01/16	J		
166. HD.GN	A	Dividend	J	T	Buy	06/01/16	J		
167. VZ 4050437	A	Interest	J	T	Buy	06/01/16	J		
168. RDS.GH	A	Interest	J	T	Buy	06/07/16	J		
169. MAA		None	J	T	Buy	06/08/16	J		
170. T	A	Interest	J	T	Buy	06/08/16	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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Name of Person Reporting

Shea, Edward F.

Date of Report

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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)
171. BA		None			Buy	06/08/16	J		
172.					Buy (add'l)	07/29/16	J		
173.					Sold	10/28/16	J	A	
174. CELG		None	J	T	Buy	06/08/16	J		
175. CL		None	J	T	Buy	06/08/16	J		
176. HD		None	J	T	Buy	06/08/16	J		
177.					Buy (add'l)	07/29/16	J		
178. LLY		None	J	T	Buy	06/08/16	J		
179. PEP		None	J	T	Buy	06/08/16	J		
180. PG	A	Dividend	J	T	Buy	06/08/16	J		
181. SIX	A	Dividend	J	T	Buy	06/08/16	J		
182. WAB		None			Buy	06/08/16	J		
183.					Sold	07/29/16	J		
184. GS 4102993	A	Interest	J	T	Buy	06/13/16	J		
185. MS 4270142	A	Interest	J	T	Buy	06/17/16	J		
186. BLK 4107682	A	Interest	J	T	Buy	06/20/16	J		
187. ORCL 4028187		None	J	T	Buy	06/20/16	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	

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Name of Person Reporting

Shea, Edward F.

Date of Report

08/30/2017

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. C ALY	A	Int./Div.	J	T	Buy	06/28/16	J		
189. CVX		None			Buy	06/29/16	J		
190.					Sold	07/29/16	J		
191. COST		None	J	T	Buy	06/29/16	J		
192.					Buy (add'l)	07/29/16	J		
193. PHM		None	J	T	Buy	06/29/16	J		
194. JPM JPF	A	Interest	K	T	Buy	07/01/16	K		
195. T.KG	A	Interest	K	T	Buy	07/07/16	K		
196. GE.HFA	A	Dividend	K	T	Buy	07/07/16	K		
197. BRK 3951474		None	J	T	Buy	07/07/16	J		
198.					Buy (add'l)	07/11/16	J		
199. CMCS.HI	A	Interest	J	T	Buy	07/19/16	J		
200. CSCO		None			Buy	07/21/16	J		
201.					Buy (add'l)	07/29/16	J		
202.					Sold	11/23/16	J	A	
203. FISV		None	J	T	Buy	07/28/16	J		
204. BA		None	J	T	Buy	07/29/16	J		

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		

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Name of Person Reporting

Shea, Edward F.

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08/30/2017

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. ZTS		None	J	T	Buy	08/31/16	J		
206. USB		None	J	T	Buy	10/04/16	J		
207. RTN		None	J	T	Buy	10/28/16	J		
208. HTN		None	J	T	Buy	11/17/16	J		
209. MCD		None	J	T	Buy	11/28/16	J		
210. STI		None	J	T	Buy	11/28/16	J		
211. PXD		None	J	T	Buy	11/29/16	J		
212. VMC		None	J	T	Buy	11/29/16	J		
213. DOW		None	J	T	Buy	12/19/16	J		
214. BRK.B		None	J	T	Buy	12/19/16	J		
215. GS4102993		None	K	T	Buy	06/13/16	K		
216. MS4270142		None	J	T	Buy	06/17/16	J		
217. BLK4107682		None	K	T	Buy	06/20/16	K		
218. BAC 4090046	A	Interest	J	T	Buy	07/14/16	J		
219. PG.HN	A	Dividend			Buy	05/26/16	J		
220.					Redeemed	11/03/16	J		
221. TGT 4136096		None	J	T	Buy	11/22/16	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	

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Name of Person Reporting

Shea, Edward F.

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08/30/2017

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. LUK 3683511	A	Interest	J	T	Buy	05/24/16	J		
223. PFE 3670301	A	Interest	J	T	Buy	05/24/16	J		
224. BUD 4327594		None	J	T	Buy	05/26/16	J		
225. Schwab Money Mkt transferred to Rochdale 3/22/16	A	Interest	O	T					
226.									
227. SCHWAB JT ACCOUNT (H)									
228. British Petroleum	B	Dividend	J	T	Buy (add'l)	05/09/16	J		
229.					Buy (add'l)	06/07/16	J		
230.					Buy (add'l)	12/19/16	J		
231. Ferrell - FGP	A	Dividend	J	T	Buy (add'l)	12/02/16	J		
232.					Buy (add'l)	12/19/16	J		
233.									
234. --Schwab Money Market Fund SWRXX	A	Interest	J	T					
235. --Schwab Invest Money Fund (Pers) SWZXX	A	Int./Div.	K	T					
236. SHPD	B	Int./Div.	L	T					
237. BANK OF AMERICA SAVINGS ACCOUNT	A	Int./Div.	K	T					
238.									

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		

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Name of Person Reporting

Shea, Edward F.

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08/30/2017

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.									
240.									
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254.									
255.									

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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Name of Person Reporting

Shea, Edward F.

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08/30/2017

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.									
257.									

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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Shea, Edward F.	08/30/2017

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

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Shea, Edward F.

Date of Report

08/30/2017

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/ Edward F. Shea**

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
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