

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) Shirley, Jr., Carl C.	2. Court or Organization U.S.District Court-Eastern District TN	3. Date of Report 08/26/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge(full time)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address Howard H Baker U.S.Courthouse Suite 144, 800 Market Street Knoxville, TN 37902		
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.	Fellow	Tennessee Bar Foundation, Knoxville Bar Foundation
2.	Master of the Bench Emeritus	Hamilton Burnett Inns of Court
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. 2014	Lowe & Yeager Profit Sharing Plan (former law firm) no control of plan/only personal investments (Jan-July 2014) Rolled over to personal IRA (Aug 2014)
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. 2014

PME Communications (wages-project administrator)

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.)*

	<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.	Chase Bank	Credit Card	J
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. First Tennessee Bank Accts (Aggregate Accts)	A	Interest	K	T					
2. IRA #1	A	Interest	K	T					
3. -(Equivest-AXA Moderate Allocation)									
4. -(Equivest-Guaranteed Interest Account)									
5. IRA #2	A	Interest	J	T					
6. -(Equivest-Guaranteed Interest Account)									
7. Profit Sharing Plan (Y)									
8. -(Federated Total Return Bond Fund)	B	Dividend			Sold	08/13/14	N	D	
9. -(Vanguard Total Stock Market Index)		None			Sold	08/13/14	M	D	
10. Tennessee Connect Credit Union (Aggregate Accts)	A	Interest	K	T					
11. Prudential Whole Life Policy	A	Dividend	J	T					
12. Schwab IRA (X)	D	Dividend	N	T	Open	08/07/14	N		
13. -(Schwab Govt Money Fund)					Buy	08/13/14	J		
14. -(Federated Total Return Bond Fund)					Buy	08/14/14	M		
15. -(Vanguard Short Term Investment Grade Fund)					Buy	08/15/14	M		
16. -(Schwab Fundamental US Large Co. Index)					Buy	08/14/14	M		
17.									

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	P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$5,000,000	L ~\$50,001 - \$100,000 M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

II - I continued participation in Retirement Plan with former law firm until July, 2014. This was rolled over into a Schwab Rollover IRA in August, 2014 (See below).

III - No Income in 2014. Didn't teach at Law School.

VII - Lines 7-9 - Profit Sharing Plan with Law Firm terminated, and entire amount rolled over into Schwab Rollover IRA in August, 2014 (See Lines 12-16). I put no value code because the entire asset was closed/sold during the reporting period and "at the end of reporting period" the value was zero.

VII - Lines 12-16 - This is the Rollover IRA described above with income reported from August, 2014 thru December 31, 2014 and gross value at end of reporting period.

AMENDED DISCLOSURE REPORT:

VII - Lines 7-9 - I responded to the income earned while the assets on lines 8 and 9 were held in 2014 in Column B. It was zero because there was no income - only market value increase. I added disposition transaction in Column D(1)-(4) for lines 8 and 9.

VII - Lines 13-16 - I added the transaction details for each asset.

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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/ Carl C. Shirley, Jr.

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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