

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 03/25/2019
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 01/01/2017 to 12/31/2017
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.)*

DATE

SOURCE AND TYPE

INCOME
(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.)*

DATE

SOURCE 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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS 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.			
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. Art		None	K	W					
9. BANK OF AMERICA SAVINGS ACCOUNT	A	Int./Div.	K	T					
10.									
11. Vanguard Health Care Fund, Admin Personal Acct.	A	Dividend	J	T					
12.									
13. E/ SCHWAB RETIREMENT IRA Pershing rollover to Rochedale (H)									
14. KO	A	Dividend	J	T					
15. DUK	A	Dividend	J	T					
16. ES	A	Dividend	J	T					
17. VZ	A	Dividend	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 = \$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 \$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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18. HTA	A	Dividend	J	T					
19. MAA	A	Dividend			Sold	08/23/17	J	B	
20. RIMOX	D	Dividend	M	T	Sold (part)	05/31/17	J	A	
21.					Sold (part)	11/08/17	J	A	
22. GSK	A	Dividend			Sold	11/09/17	J	A	
23. LAMR	A	Dividend	J	T					
24. MGA	A	Dividend	J	T					
25. MO (Inadvertently reported as MA)	A	Dividend			Sold	05/31/17	J	A	
26. PAYX	A	Dividend	J	T					
27. PM	A	Dividend	J	T	Sold (part)	05/31/17	J	A	
28. TWX	A	Dividend	J	T					
29. DHR ++	A	Dividend	J	T					
30. FB		None	J	T	Sold (part)	08/23/17	J	A	
31.					Sold (part)	09/08/17	J	A	
32. INTC	A	Dividend	J	T	Buy	05/15/17	J		
33. GPT	A	Dividend	J	T					
34. HON	A	Dividend	J	T	Sold (part)	05/31/17	J	A	

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35. JNJ	A	Dividend	J	T					
36. LTC	A	Dividend			Sold	05/05/17	J	A	
37. LMT	A	Dividend	J	T	Sold (part)	05/31/17	J	A	
38.					Sold (part)	11/02/17	J	A	
39. NNN	A	Dividend	J	T					
40. SCG		None			Sold	05/05/17	J	A	
41. TMO	A	Dividend	J	T	Sold (part)	05/31/17	J	A	
42. WMT	A	Dividend	J	T	Sold (part)	09/08/17	J	A	
43. GOOGL		None	J	T	Sold (part)	05/31/17	J	A	
44.					Sold (part)	09/08/17	J	A	
45. ADBE (inadvertently listed as ABDE in 2016)		None			Sold	08/31/17	J	B	
46. AWK	A	Dividend	J	T	Sold (part)	09/08/17	J	A	
47. BGS	A	Dividend	J	T					
48. CTAS	A	Dividend	J	T	Sold (part)	08/23/17	J	A	
49. DHR	A	Dividend	J	T					
50. EFX		None			Sold (part)	09/08/17	J	A	
51.					Sold	09/14/17	J	A	

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52. XOM	A	Dividend	J	T	Sold (part)	09/08/17	J	A	
53. PCG		None			Sold (part)	09/08/17	J	A	
54.					Sold	10/18/17	J	A	
55. SLB		None			Sold (part)	05/26/17	J	A	
56.					Sold	09/26/17	J	A	
57. UNH		None	J	T	Sold (part)	09/08/17	J	A	
58. AGR	A	Dividend	J	T					
59. PGX	A	Dividend	J	T					
60. WPC	A	Dividend	J	T					
61. BLK	A	Dividend			Sold (part)	05/26/17	J	A	
62.					Sold	09/08/17	J	A	
63. D	A	Dividend	J	T					
64. EPR	A	Dividend	J	T					
65. NOC +	A	Dividend	J	T	Sold (part)	09/08/17	J	A	
66. GIS	A	Dividend	J	T					
67. VVC		None			Sold	05/05/17	J	A	
68. XEL	A	Dividend	J	T					

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69. CINF	A	Dividend	J	T					
70. NXPI		None			Sold	08/31/17	J	A	
71. AWK	A	Dividend	J	T	Sold (part)	09/08/17	J	A	
72. TWX	A	Dividend	J	T					
73. PNC		None			Sold	08/23/17	J		
74. TBGVX	A	Dividend	K	T	Buy	08/31/17	J		
75.					Sold (part)	11/08/17	J	A	
76. FBSOX*									
77. Pershing Gov't Act.	A	Interest	J	T					
78. Pershing Cash	A	Interest	J	T					
79.									
80. M/RETIREMENT ACCOUNT (H)									
81. Pershing Gov't Account	A	Interest	J	T					
82.									
83. M/IRA -									
84. HCN	A	Dividend	J	T					
85. VGR	A	Dividend	J	T					

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86. TWX	A	Dividend	J	T					
87. PHM	A	Dividend	J	T					
88. MGA	A	Dividend	J	T					
89. LPT	A	Dividend	J	T					
90. EW		None	J	T					
91. CNSL	A	Dividend	J	T					
92. AIG		None			Sold	02/16/17	J	A	
93. CME	A	Dividend	J	T					
94. AAPL		None	J	T					
95. RIMOX	D	Dividend	K	T	Sold (part)	08/23/17	J	A	
96.					Sold (part)	09/11/17	J	A	
97. CMCSA (Inadvertently listed previously as MCSA)	A	Dividend	J	T					
98. DIS	A	Dividend	J	T					
99. ESS	A	Dividend	J	T					
100. JPM	A	Dividend	J	T					
101. MSFT	A	Dividend	J	T					
102. SBUX	A	Dividend	J	T					

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103. AAPL4336441	A	Interest	J	T					
104. DOW XS	A	Dividend	J	T					
105. HD.GN	A	Dividend	J	T					
106. VZ 4050437	A	Interest	J	T					
107. RDS.GH	A	Interest	J	T					
108. MAA ****		None	J	T					
109. T	A	Dividend	J	T					
110. CELG		None	J	T					
111. CL	A	Dividend	J	T					
112. HD	A	Dividend	J	T					
113. LLY	A	Dividend	J	T					
114. PEP	A	Dividend	J	T					
115. PG	A	Dividend	J	T					
116. SIX	A	Dividend	J	T					
117. GS 4102993	A	Interest	J	T					
118. MS 4270142	A	Interest	J	T					
119. BLK 4107682	A	Interest	J	T					

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120. ORCL 4028187	A	Interest	J	T					
121. C ALY	A	Interest	J	T					
122. COST	A	Dividend	J	T					
123. PHM	A	Dividend	K	T					
124. JPM JPF	A	Interest	K	T					
125. T.KG	A	Interest	K	T					
126. GE.HFA	A	Interest			Sold	08/23/17	K	A	
127. BRK 3951474	A	Interest			Sold	08/23/17	K	A	
128. CMCS.HI	A	Interest	J	T					
129. FISV		None			Sold	03/23/17	J	A	
130. BA		None	J	T					
131. EA		None	J	T	Buy	11/21/17	J		
132. ZTS	A	Dividend	J	T					
133. USB	A	Dividend	J	T					
134. RTN	A	Dividend	J	T					
135. MCD	A	Dividend	J	T					
136. STI	A	Dividend	J	T	Buy	02/16/17	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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Shea, Edward F.

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03/25/2019

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. PXD	A	Dividend			Sold	09/26/17	J	A	
138. VMC	A	Dividend			Buy (add'l)	02/16/17	J		
139.					Sold	08/29/17	J	A	
140. DOW	A	Interest	J	T					
141. BRK.B		None	J	T	Buy (add'l)	02/16/17	J		
142. GS4102993		None	K	T					
143. MS4270142		None	J	T					
144. BAC 4090046	A	Interest	J	T					
145. TGT 4136096	A	Interest	J	T					
146. LUK 3683511	A	Interest	J	T					
147. PFE 3670301	A	Interest	J	T					
148. BUD 4327594	A	Interest	J	T					
149. Schwab Money Mkt transferred to Rosedale 3/22/16	A	Interest	O	T					
150. TBGVX	A	Dividend	L	T	Buy	08/23/17	K		
151.					Buy (add'l)	08/31/17	K		
152.					Buy (add'l)	09/01/17	K		
153. TSN 3863817 ***	A	Interest	K	T	Buy	05/24/17	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 = \$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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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.									
155. SCHWAB JT ACCOUNT (H)									
156. British Petroleum	B	Dividend	K	T					
157. Ferrell - FGP	A	Distribution	J	T	Sold	06/06/17	J	A	
158.					Buy	08/09/17	J		
159. Minerva Neuro		None	J	T					
160. SYN		None	J	T	Buy	05/18/17	J		
161.					Buy (add'l)	06/02/17	J		
162. --Schwab Money Market Fund SWRXX	A	Interest	J	T					
163. --Schwab Invest Money Fund (Pers) SWZXX	A	Int./Div.	K	T					
164. SHPD	B	Int./Div.	L	T					
165.									
166.									
167.									
168.									
169.									
170.									

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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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.									
172.									
173.									
174.									
175.									
176.									
177.									
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179.									
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181.									
182.									
183.									
184.									

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

* FBSOX - This should have been removed in the 2016 report as I believe it was sold. I did not own it in 2017

** Minerva Neuro - inadvertently omitted from 2016 report. Buy J on 06/13/16; Buy (Ad'l) 9/19/16. Column B - None; Column C J, T.

*** TSN 3863817 - inadvertently omitted from 2016 report. Bought J on 6/13/16 and 9/19/16.

**** MAA - must have sold in 2016 as it was not owned in 2017

+ NOC - Should have been listed in 2016 - bought 7/18/16 "J"

++ DHR 2016 financial disclosure report listed a sale on 7/29/16. Should have been listed as "partial sale" and Column C should have listed J, T.

RESPONSE TO LETTER OF INQUIRY -- In response to the letter of inquiry dated March 19, 2019, the entry of "HTN" in my 2016 Financial Disclosure Report, Part VII, line 208, was a clerical error. "HTN" should not have been listed and the entries of line 208 would be for "RTN" listed one line above.

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Name of Person Reporting

Shea, Edward F.

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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/ **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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Washington, D.C. 20544