

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 11/05/2016
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 01/01/2015 to 12/31/2015
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.)*

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. 2015

Titan Security (salary)

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. New England Life Ins. Variable Life - SF (MetLife Stk Index)	B	Int./Div.	K	T					
2. Everbank Checking	A	Interest	J	T					
3. U.S. Employee Credit Union Checking and Saving	A	Interest	J	T					
4. Iconix Brand Group, Inc. (ICON)		None	J	T					
5. Brokerage Account 1 (Fidelity)									
6. -Fidelity Municipal Money Market	C	Interest	N	T					
7. -Merck & Co.(formerly Schering Plough)	A	Dividend	J	T					
8. -VEU (Vanguard Intl Equity Index Fd FTSE All World Ex US)	A	Int./Div.	L	T	Buy	08/24/15	K		
9.					Buy (add'l)	08/25/15	K		
10.					Buy (add'l)	09/01/15	K		
11.					Buy (add'l)	09/28/15	K		
12.					Sold (part)	12/28/15	M		
13. -VTI (Vanguard Index Total Stk Mkt ETF)	B	Int./Div.	O	T	Buy	08/24/15	K		
14. --VXUS (Vanguard Star FD Total Intl Stock Index Fd)	A	Int./Div.	L	T					
15. --FSEVX (Spartan Extended Mkt Index Fid Adv Class)	A	Int./Div.	J	T					
16. -AGG (iShare Core U.S. Aggregate Bond ETF)	A	Int./Div.	L	T	Buy	12/14/15	L		
17. -SPY (SPDR S&P 500 ETF)	A	Int./Div.	L	T					

1. Income Gain Codes:	A ~\$1,000 or less (See Columns B1 and D4)	B ~\$1,001 - \$2,500 F ~\$50,001 - \$100,000	C ~\$2,501 - \$5,000 G ~\$100,001 - \$1,000,000	D ~\$5,001 - \$15,000 H1 ~\$1,000,001 - \$5,000,000	E ~\$15,001 - \$50,000 H2 ~More than \$5,000,000
2. Value Codes	J ~\$15,000 or less (See Columns C1 and D3)	K ~\$15,001 - \$50,000 N ~\$250,001 - \$500,000	L ~\$50,001 - \$100,000 O ~\$500,001 - \$1,000,000	M ~\$100,001 - \$250,000 P1 ~\$1,000,001 - \$5,000,000	P2 ~\$5,000,001 - \$25,000,000 P4 ~More than \$50,000,000
3. Value Method Codes	Q ~Appraisal (See Column C2)	R ~Cost (Real Estate Only) U ~Book Value	S ~Assessment V ~Other	T ~Cash Market W ~Estimated	

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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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18. Brokerage Acct 2 (UBS- 08 to Fidelity; now combined)									
19. -RMA Money Mkt Portfolio	A	Dividend	J	T					
20. -Chicago IL Wstwr Transm Rev Ser B FGIC 010117 Dtd 112106	B	Interest	K	T					
21. -Denton Texas Util Sys Rev FSA B/E /R 5.000 120117 DTD 0515	B	Interest			Redeemed	12/01/15	K	A	
22. -Maryland St. Sr A BE/R/	B	Interest	K	T					
23. Brokerage acct 3 (Fid/Breck; now combined)									
24. -Charleston Cnty S.C. Transn Sales Tax Go	A	Interest			Redeemed	11/02/15	K	A	
25. -Arizona St Transn Brd Hwy Rev Bds Ser	B	Interest	K	T					
26. -Collin Cnty Tex Ultd Tax Rd and Ref Bds	A	Interest	K	T					
27. -Honolulu Hawaii City & Cnty Wastewtr Sys	A	Interest	K	T					
28. -Elk Grove Village GO Bds Ser	A	Interest	K	T					
29. -King Cnty Wash Swr Rev	A	Interest	K	T					
30. -Naperville ILL GO Ref BDS Ser	A	Interest	K	T					
31. -Ohio State Infrastr Impt GO Rev	A	Interest	L	T					
32. -Ohio St Univ Gen Rcpts	B	Interest	L	T					
33. -Orange Cnty Fla Sales Tax Rev	A	Interest	L	T					
34. -Redmond Wash Ref 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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35. -Tempe Ariz GO Bds Ser	A	Interest	K	T					
36. -Texas St Univ Sys Fing Rev	A	Interest	K	T					
37. -Humble Tx Indpt Sch Bond 2/15/19	A	Interest			Redeemed	06/04/15	K	A	
38. -Washington St Motor Vhcle Fuel Tax GO	A	Interest	K	T					
39. -Winnebago Cnty Ill Go Alt Ref BDS	A	Interest	K	T					
40. -Maryland St. Sr A BE/R	B	Interest	K	T					
41. -Will Grundy Etc Cnty' Ill Cmnty 06/01/2018 Colleg	B	Interest	K	T					
42. Rollover IRA/Roth SF (UBS-83/Fid-868/24/	E	Int./Div.	K	T					
43. -VXUS (Vanguard Star FD Total Intl Stock Index Fd)					Buy	01/06/15	J		
44. -Goldman Sachs Group Inc Bond 1/15/15					Redeemed	01/15/15	K	A	
45. -Anheuser Busch Co. Bond 2/1/15					Redeemed	02/02/15	K	A	
46. -Cisco Systems Inc Bond 2/22/16									
47. -Metlife Inc NTS 05.000% 061515 Drd062305 FC 121505 call@M/W					Redeemed	06/15/15	K	A	
48. Rollover IRA SF 2 (UBS-84/Fid Multiple Roth)	E	Int./Div.	N	T					
49. -TIP (Ishares Tips Bond ETF)									
50. -VXUS (Vanguard Star FD Total Intl Stock Index ETF)									
51. -AGG (Ishares Core US Aggregate Bond ETF)					Buy	12/28/15	K		

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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52. -VTI (Vanguard Total Stock Mkt ETF)									
53. IRA Rollover Acct KS (Fidelity)	D	Int./Div.	M	T					
54. -OPGSX (Oppenheimer Gold & Spec Minerals C1 A)									
55. -AGG (iShare Core US Aggregate Bond ETF)									
56. Roth IRA Accts KS (Fidelity)	A	Int./Div.	L	T					
57. -FDRXX (Fidelity Cash Reserves)									
58. -SPHIX (Fidelity High Income)									
59. -AGG (iShares Core U.S. Aggregate Bond ETF)					Buy (add'l)	12/28/15	K		
60. Roth IRA SF 1 (Fidelity)	A	Int./Div.	K	T					
61. -FDRXX (Fidelity Cash Reserves)									
62. -Abbvie Inc									
63. Health Savings Account IRA	A	Int./Div.	K	T					
64. -VXUS (Vanguard Total Intl ETF)									
65. -VTI (Vanguard Total Stock Market ETF)									
66. -Federated Prime Cash Trust									
67. College Invest Stable Value Plus (MetLife) 529 Plan for DS	A	Int./Div.	K	T					
68. Illinois Bright Start 529 for MS (Index Age Based 12-14 Yrs)	C	Int./Div.	L	T					

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69. Illinois Bright Start 529 for MS (Index Equity)	C	Int./Div.	J	T					
70. Utah 529 Plan MS (Option 9)	B	Int./Div.	K	T					
71. Fidelity 529 Plan MS (MA Portfolio 2015)	A	Int./Div.	J	T					
72. College Invest Stable Value Plus (MetLife) 529 Plan for MS	A	Int./Div.	L	T	Buy	04/06/15	L		
73. Brokerage Acct DS									
74. -FTEXX (Fidelity Municipal Money Market)	A	Interest	J	T					
75. -VTI (Vanguard Index Fds Vanguard Total Stk Mkt ETF)	A	Dividend	J	T					
76. Brokerage Acct MS									
77. -FTEXX (Fidelity Municipal Money Market)	A	Interest	J	T					
78. -VTI (Vanguard Index Fds Vanguard Total Stk Mkt ETF)	A	Dividend	J	T					
79. Roth IRA DS (now at Vanguard)	A	Int./Div.	J	T					
80. -Vanguard Total Stock Mkt ETF (VTI)									
81. -Ishares Core US Aggreg Bond (AGG)									
82. Chase Bank checking - DS	A	Interest	J	T					
83. Chase Bank saving - MS	A	Interest	J	T					
84.									
85.									

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86.									
87.									
88.									

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

This amended report differs from the original report only in the addition of this Part VIII explanation which is in response to the October 11, 2016 letter from the Committee on Financial Disclosure.

1. As the October 11, 2016 letter noted, my 2015 report (Part VII, line 24) listed "Charleston Cnty Transn Sales Tax Go" (redeemed on 11/2/2015). This was not listed on my 2014 report. Conversely, my 2014 report (Part VII, line 31) listed "Charleston Cnty SC BE/R 4.250 110115 dtd 050206" that was not listed in the 2015 report. I have determined from the CUSIP (160069NLO) that these are one and the same bond. The bond initially was held in a UBS account and the account statement reflected the name as "Charleston Cnty SC BE/R 4.250 110115 dtd 050206" so this is what appeared on the 2010 report and carried over to reports in 2011, 2012, 2013, and 2014. None of those reports listed "Charleston Cnty Transn Sales Tax Go". By the time the bond was redeemed on 11/2/2015, it had been transferred to a Fidelity account, and the Fidelity account statement reflected it as "Charleston Cnty Transn Sales Tax Go" so this is the name that appeared in the 2015 report.

2. In Part VII, line 58, "SPHIX (Fidelity High Income)" is listed. SPHIX was also listed in the 2014 report (at line 93). In prior reports (2010 to 2013), SPHIX was listed in two places as it was held in both my husband's ROTH IRA account (and still is), as well as in one of my ROTH IRA accounts. But as explained in the notes to my 2014 report, the SPHIX position held in my ROTH IRA account was sold on 11/22/2013.

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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