

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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) Shadid, James E.	2. Court or Organization United States District Court, Central District of Illinois	3. Date of Report 05/14/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Chief United States District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address United States Courthouse 100 N.E. Monroe, Room 204 Peoria, IL 61602		
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. Board of Trustees	Bradley University, Peoria, IL
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. 12/01-3/11	Judges Retirement System of Illinois - Pension upon retirement
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting	Date of Report
Shadid, James E.	05/14/2020

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.				

Name of Person Reporting	Date of Report
Shadid, James E.	05/14/2020

V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
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.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Shadid, James E.

Date of Report

05/14/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. Morgan Stanly Smith Barney Acct. 1	A	Interest	K	T					
2. IRA 1 - Lines 2-48									
3. -Abbott Laboratories (ABT)	A	Int./Div.	K	T					
4. -ABBVIE(ABBV)	A	Int./Div.	K	T					
5. -Alphabet Inc. CLC (Goog)See Explanation Part VIII	A	Int./Div.	J	T					
6. -Bank of America Corp. (BAC)	A	Int./Div.	K	T					
7. -Barrick Gold Corp CAD (ABX)	A	Int./Div.	J	T					
8. -Berkshire Hatthaway Inc. CL B (BRK'B)	A	Int./Div.	K	T					
9. -Biogen IDEC Inc. (BLLB)	A	Int./Div.	K	T					
10. -Brookfield Asset MGNT CL A LTD. (BAM)	A	Int./Div.	J	T	Buy	10/02/19	J		
11. -Catalyst Millburn HGD Strat (MBXIX)	A	Int./Div.	K	T	Buy	12/13/19	K		
12. -Chubb Corp. (CB)	A	Int./Div.	J	T					
13. -Cisco Sys. Inc. (CSCO)	B	Int./Div.	K	T					
14. -EBAY Inc. (EBAY)	A	Int./Div.	J	T					
15. -Fluor Corp. New (FLR)	A	Int./Div.	J	T					
16. -Freeport McMoran Copper & Gold (FCX)	A	Int./Div.	J	T					
17. -Gamestop Corp CLA New (GME)	A	Int./Div.	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 =\$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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Shadid, James E.

Date of Report

05/14/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. -General Electric	A	Int./Div.			Sold	02/28/19	J		
19. -Home Depot Inc. (HD)	A	Int./Div.	K	T					
20. -Intel Corp. (INTC)	A	Int./Div.	K	T					
21. -Intl. Business Machines Corp. (IBM)	A	Int./Div.	K	T					
22. -Johnson & Johnson (JNJ)	A	Int./Div.	K	T					
23. -Juniper Networks Inc. (JNPR)	A	Int./Div.	J	T					
24. -Kopernik Glb all Cap Instl (KGGIX)	A	Int./Div.	J	T					
25. -Kraft Heinz Co. (KHC)	A	Int./Div.	J	T					
26. -L3 Communications Hldgs Inc. (LLL)(n/k/ a L3 Technologies, Inc.)	A	Int./Div.			Sold	07/01/19	J		
27. -L3 Harris (LHX)	A	Int./Div.	J	T	Buy	07/01/19	J		
28. -McKesson Corporation (MCK)	A	Int./Div.	J	T					
29. -Microsoft Corp. (MSFT)	B	Int./Div.	K	T					
30. -Mondelez Intl. (MDLZ)	A	Int./Div.	J	T					
31. -Oaktree Capital CP LLC UT-A	A	Int./Div.			Redeemed	10/02/19	J		
32. -Pepsico Inc. (PEP)	A	Int./Div.	K	T					
33. -Paypal Hldgs. (PYPL)	A	Int./Div.	K	T					
34. -Pfizer Inc. (PFE)	B	Int./Div.	K	T					

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		

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Shadid, James E.

Date of Report

05/14/2020

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)
35. -Pimco (PCI)	A	Int./Div.	K	T					
36. -State Street Cor. (STT)	A	Int./Div.	K	T					
37. -Taiwan Semiconductor Mfg. (TSM)	A	Int./Div.	K	T					
38. -Texas Instruments Inc. (TXN)	A	Int./Div.	K	T					
39. -United Parcel Service CLB (UPS)	A	Int./Div.	J	T					
40. -Verizon Communications (VZ)	A	Int./Div.	J	T					
41. -Viacom Inc. (VIAB)	A	Int./Div.			Sold	12/05/19	J		
42. -Viacom Inc. Class B (VIAC)	A	Int./Div.	J	T	Buy	12/05/19	J		
43. -VISA Inc. Com CLA (V)	B	Int./Div.	K	T					
44. -Vodafone Group PLC Spons (VOD)	A	Int./Div.	J	T					
45. -Wabtec (WAB)	A	Int./Div.	K	T	Spinoff (from line 18)	02/28/19	J		
46. -Walgreens (WAG) n/k/a Walgreen Boots (WBA)	A	Int./Div.	J	T					
47. -Walt Disney Co. (DIS)	B	Int./Div.	L	T					
48. -Morgan Stanly Smith Barney Bank Deposit Program - Cash	A	Int./Div.	M	T					
49. IRA 2 (Lines 50-52)									
50. -Consolidated Edison Inc. (ED)	C	Int./Div.	J	T					
51. -Legg Mason CB Large Cap Growth SBLGX	A	Int./Div.	J	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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)
52. -Morgn Stanly Smith Barney Bank Deposit Program - Cash	A	Int./Div.	J	T					
53. Morgan Stanley Smith Barney Acct. 2 (Lines 54-56)									
54. -Legg Mason CB Appreciation CL SHAPX	A	Int./Div.	K	T					
55. -Legg Mason Clearbridge Aggress - SHRAX	A	Int./Div.	K	T					
56. -Morgan Stanley Smith Barney Bank Deposit Program - Cash	A	Int./Div.	K	T					
57. MSSB Acct. 3 (Lines 58-77)									
58. -Bed Bath & Beyond (BBBY)	A	Int./Div.			Sold	03/25/19	K		
59. -Bristol Myers Squibb Co. (BMY)	A	Int./Div.	J	T	Buy	11/21/19	J		
60. -Bristol Myers Squibb Contng RT (BMYR)	A	Int./Div.	J	T	Buy	11/21/19	J		
61. -Citigroup Inc. NEW (C)	C	Int./Div.	K	T					
62. -Cloudera Inc. (CLDR)	A	Int./Div.	J	T					
63. -CVS Healthcorp (CVS)	A	Int./Div.	J	T	Buy	04/14/19	J		
64. -Delta Airlines (DAL)	A	Int./Div.	K	T	Buy	01/09/19	J		
65. -Eaton Corp PLC SHS (ETN)	A	Int./Div.	J	T					
66. -General Mills (GLS)	A	Int./Div.	J	T					
67. -Gilead Science (GILD)	A	Int./Div.	K	T					
68. -Hortonworks Inc. Com(HDP)	A	Int./Div.			Sold	01/04/19	J		

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

A =\$1,000 or less
F =\$50,001 - \$100,000
J =\$15,000 or less
N =\$250,001 - \$500,000
P3 =\$25,000,001 - \$50,000,000
Q =Appraisal
U =Book Value

B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000
R =Cost (Real Estate Only)
V =Other

C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000
L =\$50,001 - \$100,000
P1 =\$1,000,001 - \$5,000,000
P4 =More than \$50,000,000
S =Assessment
W =Estimated

D =\$5,001 - \$15,000
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
T =Cash Market

E =\$15,001 - \$50,000

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
69. -Intl. Business Machines (IBM)	A	Int./Div.	K	T					
70. -Ishares Core MSCI Emerging (IEMG)	A	Int./Div.	K	T					
71. -Newel Brands Inc. (NWL)	A	Int./Div.	J	T					
72. -SPDR Trust Series 1 (SPY)	A	Int./Div.	L	T					
73. -Target	A	Int./Div.	K	T					
74. -Viacom (VIAB)	A	Int./Div.			Sold	12/05/19	J		
75. -Viacom Inc. Class B (VIAC)	A	Int./Div.	K	T	Buy	12/05/19	K		
76. -Walgreen Co. n/k/a Walgreens Boots Alliance (WBA)	B	Int./Div.	J	T					
77. - Morgan Stanley Smith Barney - Cash	A	Int./Div.	M	T					
78. Morgan Stanley Smith Barney Acct. 4 (All Cash)	A	Int./Div.	M	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Shadid, James E.

Date of Report

05/14/2020

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

Section VII

Line 10 - Brookfield Asset MGNT CL A LTD (BA<), listed as "buy" in transaction type (D)(1) was exchanged in and replaced by Oaktree Capital (Line 31) which is listed as "redeemed" on October 2, 2019.

Line 18 - General electric is listed as "sold" in transaction type (D)(1) was a "spin-off" to Wabtec (WAB) on February 28, 2019 and listed as same in Line 45.

Line 26 - L3 communications Holding Inc. (LLL), listed as "sold" in transaction type (D)(1) was substituted out for L3 Harris (LHX) listed on Line 27 as "buy" in transaction type (D)(1), which was substituted in on July 1, 2019.

Line 41 - Viacom Inc. (VIAB), listed as "sold" in transaction type (D)(1) was exchanged out on December 4, 2019 and became Viacom Inc. Class B (VIAC), listed on Line 42 which was exchanged in and listed as "buy" in transaction type (D)(1) with same date of December 5, 2019.

Line 62 - Cloudera Inc. (CLDR) is listed as "buy" in transaction type (D)(1) was received in and replaced HortonWorks (Line 68) which is listed as "sold" in transaction type (D)(1) on January 4, 2019.

Line 74 - Viacom Inc. (VIAB), listed as "sold" in transaction type (D)(1) was exchanged out on December 4, 2019 and became Viacom Inc. Class B (VIAC), listed on Line 75 which was exchanged in and listed as "buy" in transaction type (D)(1) with same date of December 5, 2019.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Shadid, James E.

Date of Report

05/14/2020

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/ James E. Shadid**

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