

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) Finnegan, Sheila M.	2. Court or Organization District Court - Northern District of Illinois	3. Date of Report 04/22/2020
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 01/01/2019 to 12/31/2019
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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Name of Person Reporting

Finnegan, Sheila M.

Date of Report

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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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2019	Northwestern Law School	\$2,000.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Finnegan, Sheila M.	04/22/2020

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.		

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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)	(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. Everbank Checking (now TIAA)	A	Interest	J	T					
2. U.S. Employee Credit Union (Checking and Saving)	A	Interest	J	T					
3. Inconix Brand		None			Expired	03/14/19	J	A	
4. Brokerage Account 1 (Fidelity)									
5. -Fidelity Municipal Money Mkt	A	Interest	K	T	Sold (part)	01/15/19	L		
6.					Sold (part)	06/06/19	K		
7. -Merck & Co	A	Dividend	J	T					
8. -VEU (Vanguard Intl Equity Index Fd FTSE All World Ex US)	B	Int./Div.	L	T					
9. -VTI (Vanguard Total Stk Mkt ETF)	D	Int./Div.	O	T					
10. -VWITX (Vanguard Interm Term Tax Exempt Inv)	A	Int./Div.	L	T					
11. -FNSXX (Fid MMkt Institutional Class)	D	Interest	N	T	Buy	01/15/19	L		
12.					Buy (add'l)	06/06/19	K		
13. -VXUS (Vanguard Star FD Total Intl Stock Index Fd)	D	Int./Div.	N	T					
14. -FSMAX (Fid Extended Mkt Index Fund)	A	Int./Div.	K	T					
15. -AGG (iShare Core U.S. Aggregate Bond ETF)	D	Int./Div.	N	T					
16. -Arizona St. Transit Brd Hwy Rev. Bds Ser	A	Interest	K	T					
17. -Collin Cnty Tex Ultd Tax Rd and Ref Bds	B	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	

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. -Honolulu Hawaii City & Cnty Wastewtr Sys	A	Interest			Redeemed	11/06/19	K		
19. -Elk Grove Village GO Bds Ser	A	Interest	K	T					
20. -Naperville ILL GO Ref BDS Ser	A	Interest	K	T					\
21. -Ohio State Infrastr Impt GO Rev	A	Interest	L	T					
22. -Ohio St Univ Gen Rcpts	B	Interest	L	T					
23. -Orange Cnty Fla Sales Tax Rev	B	Interest	L	T					
24. -Redmond Wash Ref Bds Ser	A	Interest			Redeemed	12/02/19	K		
25. -Temple Ariz GO Bds Ser	A	Interest	K	T					
26. -Texas St Univ Sys Fing Rev	A	Interest			Redeemed	03/15/19	K		
27. -Winnebago Cnty Ill Go Alt Ref BDS	A	Interest	K	T					
28. Rollover IRA (Fid-868)									
29. -FDRXX (Fidelity Govt Cash Reserves)	A	Interest	J	T					
30. Rollover IRA SF 2 (Fid Multiple Roth)									
31. --TIP (Ishares Tips Bond ETF)	B	Dividend	M	T					
32. -VXUS (Vanguard Star FD Total Intl Stock Index ETF)	C	Dividend	M	T					
33. -AGG (Ishares Core US Aggregate Bond ETF)	B	Dividend	M	T					
34. -VTI (Vanguard Total Stock Mkt ETF)	D	Dividend	N	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

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35. IRA Rollover Acct KS (Fidelity)									
36. -OPGSX (Oppenheimer Gold & Spec Minerals Cl A)	A	Dividend	K	T					
37. -AGG (iShare Core US Aggregate Bond ETF)	C	Dividend	M	T					
38. Roth IRA Accts KS (Fidelity)									
39. -FDRXX (Fidelity Cash Reserves)	A	Dividend	K	T					
40. -SPHIX (Fidelity High Income)	A	Dividend	J	T					
41. -AGG (Ishares Core U.S. Aggregate Bond ETF)	C	Dividend	L	T					
42. Roth IRA SF 1 (Fidelity)									
43. -FDRXSX (Fidelity cash reserves)	A	Dividend	J	T					
44. -Abbvie, Inc.	A	Dividend	J	T					
45. Health Savings Acct IRA									
46. -VXUS (Vanguard Total Intl ETF)	A	Int./Div.	K	T					
47. -VTI (Vanguard Total Stock Mkt ETF)	B	Int./Div.	L	T					
48. -Federated Prime Cash Trust	A	Interest	J	T					
49.									
50. College Invest Stable Value Plus (MetLife) 529 Plan for DS and now JS	A	Int./Div.			Distributed (part)	07/23/19	J		
51.					Distributed	11/12/19	J		

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52. Illinois Bright Start 529 for MS (Index Age3 Based 12-14 Yrs)	A	Int./Div.	K	T					
53. Illinois Bright Start for MS (Index Equity)	A	Int./Div.	K	T					
54. Fidelity 529 Plan MS (MA Portfolio 2015)	A	Int./Div.	J	T					
55. College Invest Stable Value Plan (MetLife) 529 Plan for MS	B	Int./Div.	K	T					

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

- 1) Iconix (line 5 in this report) is shown as "expired". I effectively abandoned this asset after being informed of a reverse stock split and cumbersome process to surrender the certificate representing the shares and receive a new certificate. Given the minimal value of the new stock (est \$100), I let the time lapse and opted not to send in the forms to obtain a stock certificate. Based on this I have abandoned the asset.
- 2) Assets of "MS" on the 2018 report (lines 70 to 75) are omitted since the owner was no longer a dependent in 2019..

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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
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Washington, D.C. 20544