

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Shields, Thomas J.                                                                                                                   | <b>2. Court or Organization</b><br><br>Southern District of Iowa                                                                                                                                                                                                                         | <b>3. Date of Report</b><br><br>06/17/2015                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>Magistrate Judge-Recall                                                       | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2014<br>to<br>12/31/2014 |
| <b>7. Chambers or Office Address</b><br><br>United States Courthouse<br>131 E. 4th Street<br>Davenport, IA 52801                                                                                          |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

|    |  |  |
|----|--|--|
| 1. |  |  |
| 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.)*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. \_\_\_\_\_

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.)*

| 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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Name of Person Reporting

Shields, Thomas J.

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Triumph Community Bank, formerly known as National Bancorp.                                                              | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. Metropolitan Life Ins.                                                                                                   | A                                       | Dividend                                      | J                                               | U                                         |                                                 |                         | J                               |                                |                                                                   |
| 3. Mass. Mutual Life Ins.                                                                                                   | A                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 4. Northwest Mutual Life Ins.                                                                                               | A                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. Vanguard Keogh - Lane & Waterman                                                                                         | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 6. IRA - SMITH BARNEY:                                                                                                      |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 7. Dreyfus Money Market                                                                                                     | C                                       | Interest                                      | M                                               | T                                         | Sold                                            | 12/31/14                | M                               | D                              |                                                                   |
| 8. Dreyfus Liquid Assets - Money Market                                                                                     | A                                       | Interest                                      | J                                               | T                                         | Sold                                            | 12/31/14                | J                               | D                              |                                                                   |
| 9. Chicago Bridge & Iron                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 10. EBay, Inc.                                                                                                              | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. Glaxo Smith Kline                                                                                                       | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. Goldman Sachs Group                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 13. United Health                                                                                                           | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 14. Wells Fargo                                                                                                             | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 15. MSCI Brazil Index                                                                                                       | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 16. MSCI Japan                                                                                                              | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 17. TR Dow Jones Select                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

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

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Name of Person Reporting

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                                   |   |          |   |   |  |  |  |  |  |
|-------------------------------------------------------------------|---|----------|---|---|--|--|--|--|--|
| 18. TR S&P 500 Index Fund                                         | A | Dividend | K | T |  |  |  |  |  |
| 19. TR MSCI EAFE Index                                            | A | Dividend | K | T |  |  |  |  |  |
| 20. Alliance Bernstein Global Bond Fund Class ADV                 | A | Dividend | K | T |  |  |  |  |  |
| 21. Henderson European                                            | A | Dividend | K | T |  |  |  |  |  |
| 22. Henderson Int'l                                               | A | Dividend | K | T |  |  |  |  |  |
| 23. Loomis Sayles Small Capital Value Institutional Fund          | A | Dividend | J | T |  |  |  |  |  |
| 24. Munder TR Midcap                                              | A | Dividend | K | T |  |  |  |  |  |
| 25. Oppenheimer Value Y Fund                                      | A | Dividend | K | T |  |  |  |  |  |
| 26. RS Value Fund                                                 | A | Dividend | J | T |  |  |  |  |  |
| 27. Royce Premier                                                 | A | Dividend | J | T |  |  |  |  |  |
| 28. Royce Value Plus                                              | A | Dividend | J | T |  |  |  |  |  |
| 29. Van Kampen FDS-entered in error, securities not owned in 2013 | A | Dividend | K | T |  |  |  |  |  |
| 30. AB Global Gov't Income                                        | A | Interest | J | T |  |  |  |  |  |
| 31. Petrobras                                                     | A | Dividend | J | T |  |  |  |  |  |
| 32. Principal Fin. Group, Inc.                                    | A | Dividend | J | T |  |  |  |  |  |
| 33. Calamos Global                                                | A | Dividend | J | T |  |  |  |  |  |
| 34. Ford Motor Co.                                                | A | Dividend | J | T |  |  |  |  |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                              |   |              |   |   |     |          |   |  |  |
|------------------------------|---|--------------|---|---|-----|----------|---|--|--|
| 35. Goldman Sachs TR         | A | Dividend     | L | T |     |          |   |  |  |
| 36. Hartford Fin. Services   | A | Dividend     | J | T |     |          |   |  |  |
| 37. Intrepid Potash Inc.     | A | Dividend     | J | T |     |          |   |  |  |
| 38. Janis Forty Fund         | A | Dividend     | J | T |     |          |   |  |  |
| 39. MBIA                     | A | Dividend     | J | T |     |          |   |  |  |
| 40. iShares S & P            | A | Dividend     | L | T |     |          |   |  |  |
| 41. Principal Fin. Group     | A | Dividend     | J | T |     |          |   |  |  |
| 42. VISA Inc. Com.           | A | Dividend     | K | T |     |          |   |  |  |
| 43. NYSE Euronext            | A | Dividend     | J | T |     |          |   |  |  |
| 44. Alcoa, Inc               | A | Dividend     | J | T | Buy | 07/14/14 | J |  |  |
| 45. Bank of America Corp.    | A | Dividend     | J | T | Buy | 01/10/14 | J |  |  |
| 46. Facebook, Inc            | B | Dividend     | J | T | Buy | 01/10/14 | J |  |  |
| 47. BP PLC ADS (BP)          | E | Dividend     | K | T | Buy | 01/10/14 | J |  |  |
| 48. DDR Corp. Common         | E | Dividend     | K | T | Buy | 01/10/14 | J |  |  |
| 49. Hospitality PPTYS Common | E | Distribution | K | T | Buy | 01/10/14 | J |  |  |
| 50. KKR & Co, LLP            | E | Dividend     | K | T | Buy | 01/10/14 | J |  |  |
| 51. Seadrill, LTD            | E | Dividend     | K | T | Buy | 01/10/14 | J |  |  |

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

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52. Southern Copper Corp                                                                                                    | E                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 01/10/14                | J                               |                                |                                                                   |
| 53. Sentinel Low Duration Bond                                                                                              | E                                       | Distribution                                  | K                                               | T                                         | Buy                                             | 02/01/14                | J                               |                                |                                                                   |
| 54. Templeton Global Bond Fund                                                                                              | F                                       | Dividend                                      | L                                               | T                                         | Buy                                             | 02/01/14                | J                               |                                |                                                                   |
| 55.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 56. IRA-SMITH BARNEY                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 57. Seadrill Ltd                                                                                                            | A                                       | Dividend                                      | J                                               | T                                         | Sold                                            | 12/24/14                | J                               | A                              |                                                                   |
| 58. Bank of America                                                                                                         | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 59. Dreyfus Liquid Assets-Money Market                                                                                      | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 60. Chicago Bridge & Iron                                                                                                   | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 61. EBAY, Inc.                                                                                                              | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 62. Goldman Sachs                                                                                                           | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 63. United Health                                                                                                           | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 64. Wells Fargo                                                                                                             | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 65. MSCI Brazil Index                                                                                                       | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 66. MSCI Japan Index                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 67. IShares MSCI Japan Index Fund                                                                                           | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 68. Principal Fin. Group                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

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

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 69. Visa, Inc.                                                                                                              | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 70. EMC Corp Mass (EMC)                                                                                                     | B                                       | Distribution                                  | J                                               | T                                         | Buy                                             | 01/05/14                | J                               |                                |                                                                   |
| 71. Facebook, Inc. Class A                                                                                                  | C                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 01/05/14                | J                               |                                |                                                                   |
| 72. Chevron Corp                                                                                                            | D                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 01/05/14                | J                               |                                |                                                                   |
| 73. Citigroup, Inc.                                                                                                         | E                                       | Dividend                                      | L                                               | T                                         | Buy                                             | 01/05/14                | K                               |                                |                                                                   |
| 74. Duke Energy Corp                                                                                                        | C                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 01/05/14                | J                               |                                |                                                                   |
| 75. Energy Transfer Partners                                                                                                | C                                       | Distribution                                  | J                                               | T                                         | Buy                                             | 01/05/14                | J                               |                                |                                                                   |
| 76. Entergy Corp                                                                                                            | D                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 01/05/14                | J                               |                                |                                                                   |
| 77. Ferrellgas Partners, LP                                                                                                 | D                                       | Distribution                                  | J                                               | T                                         | Buy                                             | 01/05/14                | J                               |                                |                                                                   |
| 78. FirstEnergyCorp                                                                                                         | E                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 01/05/14                | K                               |                                |                                                                   |
| 79. Ford Motor Co                                                                                                           | D                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 01/05/14                | J                               |                                |                                                                   |
| 80. General Electric Co.                                                                                                    | D                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 01/05/14                | J                               |                                |                                                                   |
| 81. Hospitality PPTYS TR Com                                                                                                | D                                       | Distribution                                  | J                                               | T                                         | Buy                                             | 01/05/14                | J                               |                                |                                                                   |
| 82. MBIA, Inc                                                                                                               | D                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 01/05/14                | J                               |                                |                                                                   |
| 83. UGI Corporation                                                                                                         | E                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 01/05/14                | K                               |                                |                                                                   |
| 84. Zimmer Holdings, Inc                                                                                                    | D                                       | Distribution                                  | J                                               | T                                         | Buy                                             | 01/05/14                | J                               |                                |                                                                   |
| 85. Aegon NV (Preferred)                                                                                                    | D                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 01/05/14                | J                               |                                |                                                                   |

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

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Name of Person Reporting

Shields, Thomas J.

Date of Report

06/17/2015

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                 |   |              |   |   |             |          |   |  |  |
|-------------------------------------------------|---|--------------|---|---|-------------|----------|---|--|--|
| 86. Barclays Bank, PLC                          | E | Dividend     | K | T | Buy         | 01/05/14 | J |  |  |
| 87. Cedar Rapids Iowa Community School District | E | Interest     | K | T | Buy         | 01/05/14 | K |  |  |
| 88. Virgin Islands Water & Power Bonds          | D | Interest     | J | T | Buy         | 01/05/14 | J |  |  |
| 89. Puerto Rico Electric Power Authority        | C | Interest     | J | T | Buy         | 01/05/14 | J |  |  |
| 90. Countrywide Captial V                       | E | Interest     | K | T | Buy         | 01/05/14 | K |  |  |
| 91. Merrill Lynch Preferred Capital Fund        | D | Distribution | J | T | Buy         | 01/05/14 | J |  |  |
| 92. American Balanced Fund                      | E | Interest     | K | T | Buy         | 01/05/14 | K |  |  |
| 93. Goldman Sachs MLP Energy Fund               | D | Interest     | J | T | Buy         | 01/05/14 | J |  |  |
| 94. Goldman Sachs Short Duration Taxable Fund   | E | Interest     | K | T | Buy         | 06/12/14 | K |  |  |
| 95. Ivy Asset Strategy I Fund                   | D | Interest     | J | T | Buy         | 01/05/14 | J |  |  |
| 96. Ivy Municipal High Income Fund              | E | Interest     | K | T | Buy         | 01/05/14 | K |  |  |
| 97. Mainstay Cushing MLP Premier I Fund         | E | Interest     | K | T | Buy         | 06/12/14 | K |  |  |
| 98.                                             |   |              |   |   |             |          |   |  |  |
| 99. [REDACTED] TRUST:                           |   |              |   |   |             |          |   |  |  |
| 100. Dynegey Inc. New (Holding Co)              | A | Dividend     | J | T | Distributed | 12/31    | J |  |  |
| 101. Huntington Natl Bank 4% 05 CTF of Deposit  | A | Dividend     | J | T | Distributed | 12/31/14 | J |  |  |
| 102. Bristol Myers Squibb Co.                   | A | Dividend     | J | T | Distributed | 12/31/14 | J |  |  |

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

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Name of Person Reporting

Shields, Thomas J.

Date of Report

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 103. Citibank NA South Dakota-Money Market                                                                                  | B                                       | Interest                                      | K                                               | T                                         | Distributed                                     | 12/31/14                | K                               |                                |                                                                   |
| 104. Firstenergy Corp.                                                                                                      | A                                       | Dividend                                      | J                                               | T                                         | Distributed                                     | 12/31/14                | J                               |                                |                                                                   |
| 105. iShares TR S&P                                                                                                         | A                                       | Dividend                                      | K                                               | T                                         | Distributed                                     | 12/31/14                | K                               |                                |                                                                   |
| 106. Citadel Broadcasting                                                                                                   | A                                       | Dividend                                      | J                                               | T                                         | Distributed                                     | 12/31/14                | J                               |                                |                                                                   |
| 107. Citigroup                                                                                                              | A                                       | Dividend                                      | J                                               | T                                         | Distributed                                     | 12/31/14                | J                               |                                |                                                                   |
| 108. Walt Disney Co.                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         | Distributed                                     | 12/31/14                | J                               |                                |                                                                   |
| 109. Entergy Corp                                                                                                           | A                                       | Dividend                                      | K                                               | T                                         | Distributed                                     | 12/31/14                | K                               |                                |                                                                   |
| 110. FerrellGas Partnership                                                                                                 | A                                       | Dividend                                      | J                                               | T                                         | Distributed                                     | 12/31/14                | J                               |                                |                                                                   |
| 111. Firstenergy Corp.                                                                                                      | A                                       | Dividend                                      | L                                               | T                                         | Distributed                                     | 12/31/14                | L                               |                                |                                                                   |
| 112. Ford Motor Co.                                                                                                         | A                                       | Dividend                                      | J                                               | T                                         | Distributed                                     | 12/31/14                | J                               |                                |                                                                   |
| 113. JP Morgan Chase                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         | Distributed                                     | 12/31/14                | J                               |                                |                                                                   |
| 114. Puget Energy                                                                                                           | A                                       | Dividend                                      | J                                               | T                                         | Distributed                                     | 12/31/14                | J                               |                                |                                                                   |
| 115. Travelers Companies                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         | Distributed                                     | 12/31/14                | J                               |                                |                                                                   |
| 116. Zimmer Holdings                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         | Distributed                                     | 12/31/14                | J                               |                                |                                                                   |
| 117. Corts Trust for Bellsouth                                                                                              | A                                       | Dividend                                      | J                                               | T                                         | Distributed                                     | 12/31/14                | J                               |                                |                                                                   |
| 118. Morgan Stanley Cap                                                                                                     | A                                       | Dividend                                      | K                                               | T                                         | Distributed                                     | 12/31/14                | K                               |                                |                                                                   |
| 119. Ivy Asset Strategy                                                                                                     | A                                       | Dividend                                      | K                                               | T                                         | Distributed                                     | 12/31/14                | K                               |                                |                                                                   |

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

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Name of Person Reporting

Shields, Thomas J.

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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.)

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| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 120. General Growth Properties, Inc.-Common Stock                                                                           | A                                       | Dividend                                      | J                                               | T                                         | Distributed                                     | 12/31/14                | J                               |                                |                                                                   |
| 121. General Electric                                                                                                       | A                                       | Dividend                                      | J                                               | T                                         | Distributed                                     | 12/31/14                | J                               |                                |                                                                   |
| 122. Blackrock Int'l                                                                                                        | A                                       | Dividend                                      | K                                               | T                                         | Distributed                                     | 12/31/14                | K                               |                                |                                                                   |
| 123. Eaton Vance Tax Managed                                                                                                | A                                       | Dividend                                      | J                                               | T                                         | Distributed                                     | 12/31/14                | J                               |                                |                                                                   |
| 124. Eaton Vance Global                                                                                                     | B                                       | Interest                                      | J                                               | T                                         | Distributed                                     | 12/31/14                | J                               |                                |                                                                   |
| 125. TR S&P 500 Index                                                                                                       | A                                       | Dividend                                      | L                                               | T                                         | Distributed                                     | 12/31/14                | L                               |                                |                                                                   |
| 126. American Balanced Fund                                                                                                 | A                                       | Dividend                                      | L                                               | T                                         | Distributed                                     | 12/31/14                | L                               |                                |                                                                   |
| 127. Western Asset Money Fund-Money Market                                                                                  | C                                       | Interest                                      | J                                               | T                                         | Distributed                                     | 12/31/14                | J                               |                                |                                                                   |
| 128. Federal Home Loan                                                                                                      | A                                       | Interest                                      | J                                               | T                                         | Distributed                                     | 12/31/14                | J                               |                                |                                                                   |
| 129. Federal Home Loan                                                                                                      | A                                       | Interest                                      | J                                               | T                                         | Distributed                                     | 12/31/14                | J                               |                                |                                                                   |
| 130. FHLB 5.52%                                                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Distributed                                     | 12/31/14                | J                               |                                |                                                                   |
| 131. ING Clarion Global Real Estate                                                                                         | A                                       | Dividend                                      | L                                               | T                                         | Distributed                                     | 12/31/14                | L                               |                                |                                                                   |
| 132. Bank of America                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         | Distributed                                     | 12/31/14                | J                               |                                |                                                                   |
| 133. Chicago Bridge & Iron                                                                                                  | A                                       | Dividend                                      | J                                               | T                                         | Distributed                                     | 12/31/14                | J                               |                                |                                                                   |
| 134. Chicago Bridge & Iron                                                                                                  | A                                       | Dividend                                      | J                                               | T                                         | Distributed                                     | 12/31/14                | J                               |                                |                                                                   |
| 135. Goldman Sachs                                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Distributed                                     | 12/31/14                | J                               |                                |                                                                   |
| 136. Goldman Sachs                                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Distributed                                     | 12/31/14                | J                               |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Shields, Thomas J.

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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.)

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| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 137. NBIA, Inc.                                                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Distributed                                     | 12/31/14                | J                               |                                |                                                                   |
| 138. Petrobras                                                                                                              | A                                       | Dividend                                      | J                                               | T                                         | Distributed                                     | 12/31/14                | J                               |                                |                                                                   |
| 139. Citigroup                                                                                                              | A                                       | Dividend                                      | J                                               | T                                         | Distributed                                     | 12/31/14                | J                               |                                |                                                                   |
| 140. Bank of America                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         | Distributed                                     | 12/31/14                | J                               |                                |                                                                   |
| 141. Seadrill Ltd.                                                                                                          | E                                       | Dividend                                      | J                                               | T                                         | Distributed                                     | 12/31/14                | J                               |                                |                                                                   |
| 142. BP PLC SPONS ADR                                                                                                       | E                                       | Dividend                                      | J                                               | T                                         | Distributed                                     | 12/31/14                | J                               |                                |                                                                   |
| 143. Hospitality PPTYS Trust                                                                                                | E                                       | Dividend                                      | J                                               | T                                         | Distributed                                     | 12/31/14                | J                               |                                |                                                                   |
| 144. Southern Copper Corp.                                                                                                  | E                                       | Dividend                                      | J                                               | T                                         | Distributed                                     | 12/31/14                | J                               |                                |                                                                   |
| 145.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
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| Name of Person Reporting | Date of Report |
| Shields, Thomas J.       | 06/17/2015     |

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

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06/17/2015

## 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/ **Thomas J. Shields**

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