

# FINANCIAL DISCLOSURE REPORT FINAL FILING

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

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><br><br>Shirley, Jr., Carl C.                                                                                                                | <b>2. Court or Organization</b><br><br>U.S.District Court-Eastern District TN                                                                                                                                                                                                            | <b>3. Date of Report</b><br><br>02/21/2018                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>Magistrate Judge(full time)                                                   | <b>5a. Report Type (check appropriate type)</b><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input type="checkbox"/> Annual <input checked="" type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2017<br>to<br>02/12/2018 |
| <b>7. Chambers or Office Address</b><br><br>Howard H Baker U.S.Courthouse<br>Suite 144, 800 Market Street<br>Knoxville, TN 37902                                                                          |                                                                                                                                                                                                                                                                                          |                                                                  |
| <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.)

| <u>POSITION</u>                 | <u>NAME OF ORGANIZATION/ENTITY</u>                 |
|---------------------------------|----------------------------------------------------|
| 1. Fellow                       | Tennessee Bar Foundation, Knoxville Bar Foundation |
| 2. Master of the Bench Emeritus | Hamilton Burnett Inns of Court                     |
| 3.                              |                                                    |
| 4.                              |                                                    |
| 5.                              |                                                    |

## II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☐ NONE (No reportable agreements.)

| <u>DATE</u> | <u>PARTIES AND TERMS</u>         |
|-------------|----------------------------------|
| 1. 2017     | IRA - Schwab Rollover - personal |
| 2.          |                                  |
| 3.          |                                  |

**FINANCIAL DISCLOSURE REPORT**

Page 2 of 6

Name of Person Reporting

Shirley, Jr., Carl C.

Date of Report

02/21/2018

**III. NON-INVESTMENT INCOME.** *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*

DATE

SOURCE AND TYPE

INCOME

(yours, not spouse's)

1.

2.

3.

4.

**B. Spouse's Non-Investment Income -** *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*

DATE

SOURCE AND TYPE

1.

2.

3.

4.

**IV. REIMBURSEMENTS** *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*NONE *(No reportable reimbursements.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.

2.

3.

4.

5.

**FINANCIAL DISCLOSURE REPORT**

Page 3 of 6

Name of Person Reporting

Shirley, Jr., Carl C.

Date of Report

02/21/2018

**V. GIFTS.** *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

|    | <u>SOURCE</u> | <u>DESCRIPTION</u> | <u>VALUE</u> |
|----|---------------|--------------------|--------------|
| 1. |               |                    |              |
| 2. |               |                    |              |
| 3. |               |                    |              |
| 4. |               |                    |              |
| 5. |               |                    |              |

**VI. LIABILITIES.** *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

|    | <u>CREDITOR</u> | <u>DESCRIPTION</u> | <u>VALUE CODE</u> |
|----|-----------------|--------------------|-------------------|
| 1. | Chase Bank      | Credit Card        | J                 |
| 2. |                 |                    |                   |
| 3. |                 |                    |                   |
| 4. |                 |                    |                   |
| 5. |                 |                    |                   |

# FINANCIAL DISCLOSURE REPORT

Page 4 of 6

Name of Person Reporting

Shirley, Jr., Carl C.

Date of Report

02/21/2018

## 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. First Tennessee Bank Accts (Aggregate Accts)                                                                             | A                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. IRA #1                                                                                                                   | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. -(Equivest-AXA Moderate Allocation)                                                                                      |                                         |                                               | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 4. -(Equivest-Guaranteed Interest Account)                                                                                  | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. IRA #2                                                                                                                   | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 6. -(Equivest-Guaranteed Interest Account)                                                                                  | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 7. Tennessee Connect Credit Union (Aggregate Accts)                                                                         | A                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 8. Prudential Whole Life Policy                                                                                             | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 9. Schwab IRA                                                                                                               | D                                       | Dividend                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 10. -(Schwab Govt Money Fund)                                                                                               | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. -(Federated Total Return Bond Fund)                                                                                     | D                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. -(Vanguard Short Term Investment Grade Fund)                                                                            | C                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 13. -(Schwab Fundamental US Large Co. Index)                                                                                | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 14. -(Vanguard Total Stoc Market Index-Admiral)                                                                             | A                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 15. Tennessee Connect Credit Union                                                                                          | A                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 16.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 17.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

|                       |                                                                             |                                                        |                                                            |                                                                |                         |
|-----------------------|-----------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------|----------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes: | A = \$1,000 or less<br>(See Columns B1 and D4)                              | 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        | F = \$50,001 - \$100,000<br>J = \$15,000 or less<br>(See Columns C1 and D3) | 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 | N = \$250,001 - \$500,000<br>P3 = \$250,000,001 - \$50,000,000              | 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         |

# FINANCIAL DISCLOSURE REPORT

Page 5 of 6

Name of Person Reporting

Shirley, Jr., Carl C.

Date of Report

02/21/2018

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

VII. Line 1, Column(C)(1) increase in value due to deposits;

VII. Lines 3, 4, 6, and 9-14 - income and year end value of the entire account and each underlying asset in IRA accounts (# 1, # 2, and Schwab) are listed in columns B and C per instructions;

VII. Line 14, Column (C)(1), the value increased into the next value code amount (L to M).

This is my last report as I retired February 12, 2018.

# FINANCIAL DISCLOSURE REPORT

Page 6 of 6

Name of Person Reporting

Shirley, Jr., Carl C.

Date of Report

02/21/2018

## 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/ Carl C. Shirley, Jr.

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure  
Administrative Office of the United States Courts  
Suite 2-301  
One Columbus Circle, N.E.  
Washington, D.C. 20544