

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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

1. Person Reporting (last name, first, middle initial) Shea, Edward F.	2. Court or Organization United States District Court	3. Date of Report 8/09/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III Senior Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address 825 Jadwin Avenue, Ste. 320 Richland, WA 99352		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Officer/Director	██████████ - Corporation
2.	
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.	
2.	
3.	

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

DATE

SOURCE AND TYPE

INCOME
(yours, not spouse's)

1.

2.

3.

4.

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

DATE

SOURCE AND TYPE

1. 2015

2.

3.

4.

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

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.

2.

3.

4.

5.

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

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

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

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	VISA	Consumer Card	J
2.			
3.			
4.			
5.			

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Northwestern Mutual Life Insurance	B	Dividend	L	T					
2. Northwestern Mutual Life Insurance	B	Dividend	L	T					
3. Northwestern Mutual Life Insurance	B	Dividend	L	T					
4. Prudential Life Insurance	A	Dividend	K	T					
5. South Boston Savings Bank Life Ins	A	Dividend	J	T					
6. GESA Credit Union	A	Interest	J	T					
7. Coins		None	J	T					
8. Fishcreek Ltd		None	K	T					
9. Art		None	K	W					
10.									
11. Vanguard Health Care Fund, Admin Personal Acct.	B	Dividend	J	T					
12.									
13. E/ SCHWAB RETIREMENT IRA then, Pershing 7/13/15 rollover									
14. --BAC (IRA)		None	L	T					
15.									
16. Ferrell Gas		None	K	T	Buy (add'l)	04/25/15	J		
17. FMILX		None			Sold	04/13/15	L		

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

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18. FBSOX		None	M	T	Buy (add'l)	04/14/15	L		
19. --Globix Corp -- Pershing removed, no transfer agent, no value									
20. KMP (reorganized now KMI)		None			Sold	07/16/15	L		
21. Pentair		None	K	T					
22. Prudential (PRU)		None	J	T					
23. PIMCO		None	L	T	Buy	08/11/15	J		
24.					Buy (add'l)	09/14/15	J		
25.					Buy (add'l)	10/12/15	J		
26.					Buy (add'l)	11/11/15	J		
27. Rare Elements		None	J	T					
28. SPHD*****		None	L	T	Buy (add'l)	04/01/15	J		
29. STEM CELLS		None	J	T					
30. --US Bank		None	L	T					
31. --Vanguard Health Care Fund (IRA)		None	K	T					
32. Schwab cash reserves to Pershing Gov't Fund Roll over			L	T		07/13/15			
33.									
34. M/RETIREMENT ACCOUNT									

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35. --Diversified Investment Advisors (DIV) - Plan Advisors*									
36. --Allainz NFJ Dividend Value A Fund became Loomis Value N					Sold	12/07/15	L	B	
37.									
38. Columbia Small Cap became ALLAINZ Small Cap					Sold	12/07/15	K		
39. --Goldman Sacks Mid Cap Value Fund became Artisan N.C.V					Sold	12/07/15	L		
40. --Mainstay Lg Cap Growth Fund became Fidelity Am. Cent. Grth **					Buy (add'l)	04/01/15	K		
41.					Sold	12/07/15	L	C	
42. --Pimco Tot.Ret. Fund**					Sold (part)	04/01/15	M		
43.					Sold	12/07/15	J		
44. --TFLIC**					Buy (add'l)	04/01/15	L		
45.					Sold (part)	04/01/15	K		
46.					Sold	12/07/15	L	C	
47. --Vanguard Inst'l Index					Sold	12/07/15	L		
48. Pershing Gov't Roll Over			O	T					
49.									
50. M/IRA - SCHWAB									
51. --Calumet Sp. Prod					Sold	12/23/15	J		

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52. --Powershares ETF SPHD					Sold (part)	12/22/15	J	A	
53.					Sold	12/23/15	K	B	
54. Schwab Money Mkt	A	Interest	K	T					
55.									
56. SCHWAB JT ACCOUNT									
57. British Petroleum		None	J	T	Buy	07/01/15	J		
58.					Buy (add'l)	07/02/15	J		
59. KMI					Sold	08/04/15	K		
60. Ferrell - FGP		None	J	T	Buy	08/10/15	J		
61. LINN ***									
62. Rare Elements ****									
63.									
64. --Schwab Money Market Fund SWRXX	A	Interest	J	T					
65. --Schwab Invest Money Fund (Pers) SWZXX	A	Int./Div.	K	T					
66. SHPD	B	Int./Div.	L	T	Buy	04/16/15	J		
67.									

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

* Part VII, Investments and Trusts - Line 35; Through employer - account was with TransAmerica. In 10/2015 another company took over employee's company. They switched all retirement accounts to Fidelity. In 12/2015 that account was rolled over to Pershing.

**Part VII, Investments and Trusts - Line 40; Line 42, Line 44, Line 45 Estimated date of 4/1/15 to 6/30/15 as actual date is not in the quarterly report

*** Part VII, Investments and Trusts - Line 61; This was completely sold on 12/22/14; code "J". The entry was inadvertently omitted from 2014 report

**** Part VII, Investments and Trusts - Line 62; This was completely sold on 12/22/14; code "J". The entry was inadvertently omitted from 2014 report

***** Part VII, Investments and Trusts - Line 28; Date is estimated as actual date is unknown

By way of explanation:

Transamerica provided investor service for [REDACTED] employer's 403(b) Plan. When a new company took over the operation, it switched the retirement plans to it's Value Plan 403(b). The plan investments of my spouse were simply converted to comparable investments/mutual funds in the new Value Plan - with the total amount remaining the same.

The transfer occurred on or about October 23, 2015. At that time [REDACTED] had the following investments prior to the switch:

Name Value Code

PIMCO Total Return Inst - J C

TFLIC Guaranteed Pooled Fund - L C

Allianz GI Div. Value - L C

Col. Sm. Cap Value - L C

Goldman Sachs Mid Cap Value - L C

Mainstay Lg. Cap Growth - L C

Vanguard Inst. Index - L C

Upon transfer to the new company's Value Plan, those investments were changed to:

PIMCO Total Return - J J

TFLIC GID Pool Funds - L L-C

ALLAINZ NFJ Sm Cap Value L L

American Cent. Growth - L L-C

Artisan Mid Cap Val. - L L

Loomis Value N - L L-B

Vanguard Inst. Index - L

On 12/7/15 those seven holdings were sold for same letter values as on transfer in, gains/no gains, shown in right column. If loss or no gain, column left blank.

All cash was then transferred to Pershing. Year end "O" - "T"

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **Edward F. Shea**

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