

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, Michael P.	2. Court or Organization District of Connecticut	3. Date of Report 05/07/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District 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 Abraham Ribicoff Federal Building 450 Main Street Hartford, CT 06103		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
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. 2012	Day Pitney LLP Retirement Plan, no control
2. 1998	Cleary Gottlieb Steen & Hamilton LLP Retirement Plan, no control
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.)*

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2015	Self-employed marriage and family therapist
2.	
3.	
4.	

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

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Federal Bar Council	February 14-21, 2015	Casa de Campo, Dominican Republic	U.S.-International Tax Enforcement Seminar	Transportation, meals, hotel
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.			
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. CHET Moderate Managed Allocation Option (529)		None	M	T	Sold (part)	06/30/15	J	A	
2.					Sold (part)	07/02/15	J	A	
3.					Sold (part)	07/15/15	J	A	
4.					Sold (part)	12/09/15	J	A	
5.					Buy (add'l)	10/13/15	K		
6.					Buy (add'l)	11/10/15	J		
7. CHET High Equity Option (529)		None	K	T	Sold (part)	06/30/15	J	A	
8.					Sold (part)	07/15/15	J	A	
9. Dreyfus Midcap Index Fund		None	L	T	Sold (part)	06/29/15	J	A	
10.					Buy (add'l)	06/29/15	J		
11. Fidelity Blue Chip Growth Fund	B	Dividend	L	T					
12. Fidelity Cash Reserves	A	Interest	J	T					
13. Fidelity Cash	A	Interest	J	T					
14. Fidelity Contrafund	A	Dividend	J	T					
15. Fidelity Dividend Growth Fund	B	Dividend			Sold	07/29/15	J	A	
16. Vanguard Target 2030	A	Dividend	J	T	Buy	07/29/15	J		
17. Fidelity Growth & Income Fund	A	Dividend	K	T					

1. Income Gain Codes: (See Columns B1 and D4)	A ~\$1,000 or less F ~\$50,001 - \$100,000	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$250,001 - \$500,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$5,000,000,000	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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	(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)

18. Morley Stable Value Fund Net 20		None	K	T	Buy (add'l)	06/29/15	K		
19. PIMCO Total Return Fund		None	K	T	Buy (add'l)	06/29/15	K		
20. T. Rowe Price Retirement 2030 Fund		None	M	T	Sold (part)	06/29/15	M	A	
21. Vanguard Emerging Markets Stock Index Fund	A	Dividend	J	T	Buy (add'l)	07/08/15	J		
22. Vanguard High-Yield Tax Exempt Fund	A	Dividend	K	T	Buy (add'l)	07/08/15	J		
23. Vanguard Inter-Term Tax Exempt Fund	A	Dividend	J	T					
24. Vanguard Inter-Term Treasury Fund	A	Dividend	J	T	Buy (add'l)	07/08/15	J		
25. Vanguard Small Cap Value Index Admiral Fund	A	Dividend	K	T	Buy (add'l)	07/08/15	J		
26. Vanguard Diversified Equity Investments Fund	B	Dividend	K	T					
27. Vanguard Value Index Fund Admiral	A	Dividend	K	T					
28. Vanguard Institutional Index Fund		None	M	T	Buy (add'l)	06/29/15	J		
29. Vanguard Total International Stock Index Fund		None	M	T	Buy (add'l)	06/29/15	K		
30. Vanguard Total Bond Market Index Fund		None	L	T	Sold (part)	06/29/15	J	A	
31. Glenmede Small Cap Equity Instl		None	K	T	Buy	07/15/15	K		
32. Bank of America Accounts	A	Interest	N	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

The calculation of capital gains for 529 plans and Vanguard, Fidelity, and T. Rowe Price retirement fund sales (Part VII) are estimates based on account history. Precise information is not available.

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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/ **Michael P. 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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