

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Haikala, Madeline H.	2. Court or Organization United States District Court, Northern District of Alabama	3. Date of Report 5/14/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge (Active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address United States District Court Hugo L. Black United States Courthouse 1729 Fifth Avenue North Birmingham, AL 35203-2000		
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. Board Member	Birmingham Bar Association Women's Section
2. Board Member	Norma Livingston Ovarian Cancer Foundation
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. 1990	Lightfoot, Franklin, & White LLC 401 K plan with former law firm, no control
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.

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.	Georgetown University	college tuition	None
2.	University of Mississippi	college tuition	None
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. Wells Fargo Cash Accounts	A	Interest	L	T					
2. PNC Bank CDs	A	Interest	K	T					
3. 401K (H)									
4. - DoubleLine Total Return Bond	B	Dividend	L	T	Buy (add'l)	01/22/18	J		
5. - Driehaus Active Income Fund	A	Dividend			Sold (part)	01/22/18	J		
6.					Sold	09/24/18	K		
7. - Institutional Money Market Deposit Acct	A	Dividend	J	T	Sold (part)	06/04/18	J		
8.					Buy (add'l)	09/24/18	J		
9. - Vanguard Dividend Appreciation ETF					Sold	01/22/18	J		
10. - Vanguard Short Term Bond ETF					Sold	01/22/18	J		
11. - Vanguard Total Bond Market ETF					Sold	01/22/18	L		
12. - Vanguard Total International Stock ETF					Sold	01/22/18	L		
13. - Vanguard Total Stock Market ETF	C	Dividend	M	T	Sold (part)	01/22/18	J		
14.					Sold (part)	09/24/18	J		
15.					Buy (add'l)	12/18/18	J		
16. - Driehaus Event Driven	A	Dividend	J	T					
17. - Driehaus Micro Cap Growth					Buy (add'l)	01/23/18	J		

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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = \$50,001 - \$100,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000.01 - \$50,000,000	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.					Sold	07/23/18	J		
19. - RiverPark Strategic Income Inst	A	Dividend	K	T	Sold (part)	01/23/18	J		
20.					Buy (add'l)	06/04/18	J		
21.					Buy (add'l)	06/05/18	J		
22. - DoubleLine Low Dur Emerg Mkts fxd Inc I	A	Dividend	J	T					
23. - Victory Global Natural Resources Y			J	T	Buy (add'l)	01/23/18	J		
24.					Buy (add'l)	06/05/18	J		
25. - Vanguard FTSE Emerging Markets ETF					Sold	01/22/18	J		
26. - Wasatch International Opps Instl	A	Dividend	J	T					
27. - Driehaus Small Cap Growth Institutional	A	Dividend	J	T	Buy	07/23/18	J		
28. - Financial Select Sector SPDR	A	Dividend			Buy	01/23/18	J		
29.					Sold	12/17/18	J		
30. - iShares Core 1-5 Year USD Bond	A	Dividend	J	T	Buy	01/23/18	J		
31. - iShares Core MSCI Emerging Markets	A	Dividend	J	T	Buy	01/23/18	J		
32. - iShares Core MSCI Total Intl Stk	B	Dividend	K	T	Buy	01/23/18	L		
33.					Buy (add'l)	09/25/18	J		
34. - iShares Core US Aggregate Bond	B	Dividend	L	T	Buy	01/23/18	L		

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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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35.					Sold (part)	6/4/18	J		
36.					Sold (part)	9/25/18	J		
37. - JPMorgan Strategic Income Opports R5	A	Dividend	K	T	Buy	09/24/18	J		
38.					Buy (add'l)	09/25/18	J		
39. MetLife Policyholder Trust	A	Dividend	J	T					
40. Oppenheimer Funds [REDACTED] Accounts (H)									
41. - Global Fund C	C	Distribution	K	T					
42. - Main Street All Cap Fund C	B	Distribution	K	T					
43. - Main Street Mid Cap Fund C	B	Distribution	J	T					
44. Franklin Templeton [REDACTED] Accounts (H)									
45. - Franklin Mutual Quest Fund Class A	C	Distribution	L	T	Redeemed (part)	7/11/18	J		
46.	C	Dividend							
47.									

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

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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/ Madeline H. Haikala**

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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