

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Kallon, Abdul K.	2. Court or Organization Northern District of Alabama	3. Date of Report 05/14/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 419 Hugo Black United States Courthouse 1729 Fifth Avenue North Birmingham, AL 35203		
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.	Director	Children's Village Board of Directors
2.	Chair	Beta Kappa Boule Charitable Foundation
3.	Director	Alabama Law Foundation
4.	Director	Bethel Baptist Historic Renovation Foundation
5.	Director	Habitat for Humanity Birmingham

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.)*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. 2016

United States Federal Courts -- salary

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.)*

	<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.	Sallie Mae	Co-signer of student loans	L
2.	Wells Fargo	Mortgage on rental property #1, Montgomery, AL (Pt. VII, line 7)	M
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. Regions Bank Account 1	A	Interest	J	T	Distributed (part)	03/03/16	L		
2. Regions Bank Account 2	A	Interest	J	T					
3. Regions Bank Account 3	A	Interest	J	T					
4. Bank of America Account	A	Interest	J	T					
5. BB and T Bank Account	A	Interest			Closed	02/17/16	K	A	
6. American Express Bank	A	Interest	L	T	Open	02/11/16	M		
7. Rental Property #1, Montgomery, AL (2009 \$164,000)	B	Rent	M	R					
8. Rental Property #2, Birmingham, AL (2015 \$617,000)	A	Rent	O	R					
9. NBC Brokerage Account									
10. --Apple Common Stock	A	Dividend			Sold	08/02/16	J		
11. --Amazon.Com		None	J	T					
12. --Berkshire Hathaway Class B		None	L	T					
13. --Energen Corp		None	J	T					
14. --ExxonMobil	A	Dividend	J	T					
15. Facebook		None	J	T	Buy	08/02/16	J		
16. --Google Common Stock -- Class A		None	K	T					
17. --Google Class C		None	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 --\$25,000,001 - \$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	L --\$50,001 - \$100,000 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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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 I (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. --Mueller Water Products	A	Dividend	J	T					
19. --Vulcan Materials Common Stock	A	Dividend	J	T					
20. --Walter Energy		None	J	T					
21. --RBC Bank Deposit Program (formerly Prime Money Market Fund)	A	Interest	J	T					
22. Vanguard IRA									
23. --Vanguard 500 Index Fund	D	Dividend	N	T					
24. --Vanguard Mid-Cad Index Fund	B	Dividend	M	T					
25. --Vanguard Small Cap Growth Index Fund	B	Dividend	M	T					
26. --Vanguard Total Int'l Stock Index Fund	C	Dividend	M	T					
27. --Vanguard Wellington Fund	D	Dividend	N	T					
28. Vanguard Roth IRA									
29. --Vanguard 500 Index Fund	A	Dividend	K	T					
30. --Vanguard Mid-Cad Index Fund	A	Dividend	J	T					
31. --Vanguard Small Cap Growth Index Fund	A	Dividend	K	T					
32. --Vanguard Total Int'l Stock Index Fund	A	Dividend	J	T					
33. --Vanguard Wellington Fund	A	Dividend	K	T					
34. Vanguard Brokerage Account									

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	
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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☐ 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)

35. -- High Dividend Yield Fund	A	Dividend	K	T					
36. --Long-Term Tax Exempt Fund	A	Dividend	J	T					
37. --Short-Term Tax Exempt Fund		None	J	T					
38. --Money Market Fund		None	J	T					
39. --Total Stock Market Index Fund	A	Dividend	K	T					
40. Merrill Edge Account									
41. --Alibaba		None	J	T	Buy (add'l)	08/15/16	J		
42. --Amazon		None	M	T	Buy (add'l)	02/02/16	J		
43. --Apple	A	Dividend	J	T					
44. --Bank of America	A	Dividend	J	T	Buy (add'l)	06/29/16	J		
45. --BB&T		None	J	T					
46. --Buckeye Partners	A	Dividend	J	T					
47. --Cisco	A	Dividend	J	T					
48. --Clearbridge Growth Fund	B	Distribution	K	T					
49. --Clearbridge Large Cap Growth	A	Distribution	K	T					
50. --Clearbridge Large Cap Value	A	Distribution	K	T					
51. --Coca-Cola	A	Dividend	J	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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52. --DSW		None	J	T					
53. --Dunkin	A	Dividend	J	T					
54. --Facebook		None	K	T	Buy (add'l)	04/25/16	K		
55. --Fifth Third Bancorp	A	Dividend	J	T					
56. --First Solar		None	J	T					
57. --Ford	A	Dividend	J	T					
58. --Goldman Sachs	A	Dividend	J	T					
59. --Google Class A		None	K	T					
60. --Google Class C		None	K	T	Buy (add'l)	11/14/16	J		
61. --General Electric	A	Dividend	J	T					
62. --JP Morgan Chase	A	Dividend	J	T	Buy (add'l)	01/22/16	J		
63. --Lord Abbett Intermediate Tax Free	A	Dividend	K	T					
64. --Lord Abbett Growth Leaders			K	T					
65. --Nissan	A	Dividend	J	T					
66. --Pfizer	A	Dividend	J	T					
67. --Proctor & Gamble	A	Dividend	J	T					
68. --Regions	A	Dividend	J	T	Sold (part)	08/09/16	J		

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69. --Republic Bancorp	A	Dividend	K	T					
70. --Tocqueville Int'l Value	A	Dividend	J	T					
71. --Toyota	A	Dividend	J	T					
72. --Twitter		None	J	T					
73. --Vanguard FTSE Emerging	A	Dividend	J	T					
74. --Vanguard Dividend Growth		None	J	T					
75. --Vanguard 500 Index	A	Dividend	K	T	Buy (add'l)	01/11/16	K		
76. --Vanguard Small Cap	A	Dividend	J	T					
77. --Verizon	A	Dividend	J	T					
78. --Zoe's		None	J	T					
79. Wells Fargo Small Cap World Fund	A	Dividend	K	T					

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

Part VII -- Merrill Edge Account (Lines 40 - 78)-- Four of the stocks (Amazon, Facebook, J.P. Morgan Chase, and Regions) had multiple transactions during the year. The dates listed in Column D are the earliest transaction dates. For a more complete picture, [REDACTED] purchased shares on the following dates: (1) Facebook -- April 25, June 9, June 29, Oct. 6, Oct. 19, and Nov. 3; (2) Amazon -- Feb. 2 and Dec. 15; and (3) J. P. Morgan Chase -- Jan. 22 and June 29; and sold some of her Regions Bank shares on Aug. 9 and Oct. 13.

Also, in Part VII, the rental property in line 8 is actually the detached garage apartment [REDACTED]. For that reason, the mortgage is not listed as a liability in Part VI.

Part II -- I removed the 2013 agreement previously listed because I no longer expect to receive the final two payments that were due by June 30, 2014.

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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/ Abdul K. Kallon

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