

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) Kallon, Abdul K.	2. Court or Organization Northern District of Alabama	3. Date of Report 05/04/2016
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 01/01/2015 to 12/31/2015
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.		

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. 2013	Sale of 2 % interest in building to Synergy Real Estate (Jonathan Dunning, President); final two payments totaling \$18,000 were due by June 30, 2014.
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

Kallon, Abdul K.

Date of Report

05/04/2016

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. 2015

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. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

Kallon, Abdul K.

Date of Report

05/04/2016

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.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Kallon, Abdul K.

Date of Report

05/04/2016

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	L	T					
2. Regions Bank Account 2	A	Interest	J	T					
3. Regions Bank Account 3	A	Interest	J	T	Open	09/19/15	J		
4. Bank of America Account	A	Interest	J	T	Open	09/19/15	J		
5. BB and T Bank Account	A	Interest	K	T					
6. Rental Property #1, Montgomery, AL (2009 \$164,000)	B	Rent	M	R					
7. Rental Property #2, Birmingham, AL (2015 \$617,000)	A	Rent	O	R					
8. Bradley Arant 401K					Sold	03/03/15	P1		
9. --Putnam Equity Income		None							
10. --MainStay Large Cap Growth I		None							
11. --Vanguard Institutional Index		None							
12. --Harbor Small Cap Growth Instl		None							
13. --AllianceBern Discovery Value I (name change from Mid Cap)		None							
14. --American Funds EuroPacific Growth		None							
15. --Harbor International Adm		None							
16. --Oakmark Equity & Income		None							
17. NBC 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 = \$250,000,001 - \$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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

Name of Person Reporting

Kallon, Abdul K.

Date of Report

05/04/2016

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)

18. --Apple Common Stock	A	Dividend	J	T	Buy (add'l)	01/23/15	J		
19. --Amazon.Com		None	J	T					
20. --Berkshire Hathaway Class B		None	L	T	Buy (add'l)	01/23/15	K		
21. --Coca Cola Stock	A	Dividend			Sold	01/23/15	J	A	
22. --Conoco Phillips Common Stock	A	Dividend			Sold	01/23/15	J	A	
23. --Deere & Co.	A	Dividend			Sold	01/23/15	J	A	
24. --Energen Corp	A	Dividend	J	T					
25. --ExxonMobil	A	Dividend	J	T					
26. --Gilead Sciences		None			Sold	01/23/15	J	D	
27. --Google Common Stock -- Class A		None	K	T					
28. --Google Class C		None	K	T	Buy (add'l)	01/23/15	J		
29. --Martin Marietta Materials Common Stock	A	Dividend			Sold	01/23/15	J	C	
30. --McDonald's Corp	A	Dividend			Sold	01/23/15	J	A	
31. --Mueller Water Products	A	Dividend	J	T					
32. --Phillips 66	A	Dividend			Sold	01/23/15	J	B	
33. --Teradata Common Stock		None			Sold	01/23/15	J	C	
34. --United Technologies Corp	A	Dividend			Sold	01/23/15	J	B	

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 11

Name of Person Reporting

Kallon, Abdul K.

Date of Report

05/04/2016

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)

35. --Vulcan Materials Common Stock	A	Dividend	J	T					
36. --Walter Energy		None	J	T	Buy (add'l)	01/23/15	J		
37. --Prime Money Market Fund RBC Reserve Class (formerly Goldm	A	Interest	J	T					
38. Vanguard IRA									
39. --Vanguard 500 Index Fund	C	Dividend	M	T	Open	03/11/15	M		
40. --Vanguard Mid-Cad Index Fund	B	Dividend	M	T	Open	03/11/15	M		
41. --Vanguard Small Cap Growth Index Fund	B	Dividend	M	T	Open	03/11/15	M		
42. --Vanguard Total Int'l Stock Index Fund	C	Dividend	M	T	Open	03/11/15	M		
43. --Vanguard Wellington Fund	D	Dividend	M	T	Open	03/11/15	M		
44. Vanguard Roth IRA									
45. --Vanguard 500 Index Fund	A	Dividend	K	T	Open	03/11/15	K		
46. --Vanguard Mid-Cad Index Fund	A	Dividend	J	T	Open	03/11/15	J		
47. --Vanguard Small Cap Growth Index Fund	A	Dividend	J	T	Open	03/11/15	J		
48. --Vanguard Total Int'l Stock Index Fund	A	Dividend	J	T	Open	03/11/15	J		
49. --Vanguard Wellington Fund	A	Dividend	K	T	Open	03/11/15	K		
50. Vanguard Brokerage Account									
51. -- High Dividend Yield Fund	A	Dividend	J	T	Open	02/23/15	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 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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 11

Name of Person Reporting

Kallon, Abdul K.

Date of Report

05/04/2016

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)
52. --Long-Term Tax Exempt Fund	A	Dividend	J	T	Open	02/23/15	J		
53. --Short-Term Tax Exempt Fund	A	Dividend	J	T	Open	02/23/15	J		
54. --Money Market Fund	A	Dividend	J	T	Open	02/23/15	J		
55. --Total Stock Market Index Fund	A	Dividend	J	T	Open	02/23/15	J		
56. Merrill Edge Account					Open	09/19/15			
57. --Alibaba		None	J	T	Open	09/19/15	J		
58. --Amazon		None	L	T	Open	09/19/15	L		
59. --Apple	A	Dividend	J	T	Open	09/19/15	J		
60. --Bank of America	A	Dividend	J	T	Open	09/19/15	J		
61. --BB&T	A	Dividend	J	T	Open	09/19/15	J		
62. --Buckeye Partners	A	Dividend	J	T	Open	09/19/15	J		
63. --Cisco	A	Dividend	J	T	Open	09/19/15	J		
64. --Clearbridge Growth Fund		None	K	T	Open	09/19/15	K		
65. --Clearbridge Large Cap Growth	A	Dividend	K	T	Open	09/19/15	K		
66. --Clearbridge Large Cap Value	A	Dividend	K	T	Open	09/19/15	K		
67. --Coca-Cola	A	Dividend	J	T	Open	09/19/15	J		
68. --DSW	A	Dividend	J	T	Open	09/19/15	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 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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 11

Name of Person Reporting

Kallon, Abdul K.

Date of Report

05/04/2016

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)

69. --Dunkin	A	Dividend	J	T	Open	09/19/15	J		
70. --Facebook		None	K	T	Open	09/19/15	K		
71. --Fifth Third Bancorp	A	Dividend	J	T	Open	09/19/15	J		
72. --First Solar		None	J	T	Open	09/19/15	J		
73. --Ford	A	Dividend	J	T	Open	09/19/15	J		
74. --Goldman Sachs	A	Dividend	J	T	Open	09/19/15	J		
75. --Google Class A		None	K	T	Open	09/19/15	K		
76. --Google Class C		None	K	T	Open	09/19/15	K		
77. --General Electric	A	Dividend	J	T	Open	09/19/15	J		
78. --JP Morgan Chase	A	Dividend	J	T	Open	09/19/15	J		
79. --Lord Abbett Intermediate Tax Free	A	Dividend	K	T	Open	09/19/15	K		
80. --Lord Abbett Growth Leaders	B	Dividend	K	T	Open	09/19/15	K		
81. --Nissan	A	Dividend	J	T	Open	09/19/15	J		
82. --Pfizer	A	Dividend	J	T	Open	09/19/15	J		
83. --Proctor & Gamble	A	Dividend	J	T	Open	09/19/15	J		
84. --Regions	A	Dividend	J	T	Open	09/19/15	J		
85. --Republic Bancorp	A	Dividend	J	T	Open	09/19/15	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 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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 11

Name of Person Reporting

Kallon, Abdul K.

Date of Report

05/04/2016

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)
86. --Tocqueville Int'l Value	A	Dividend	J	T	Open	09/19/15	J		
87. --Toyota	A	Dividend	J	T	Open	09/19/15	J		
88. --Twitter		None	J	T	Open	09/19/15	J		
89. --Vanguard FTSE Emerging	A	Dividend	J	T	Open	09/19/15	J		
90. --Vanguard Dividend Growth		None	J	T	Open	09/19/15	J		
91. --Vanguard 500 Index	A	Dividend	K	T	Open	09/19/15	K		
92. --Vanguard Small Cap	A	Dividend	J	T	Open	09/19/15	J		
93. --Verizon	A	Dividend	J	T	Open	09/19/15	J		
94. --Zoe's		None	J	T	Open	09/19/15	J		
95. Wells Fargo Small Cap World Fund		None	K	T	Open	09/19/15	K		

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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 11

Name of Person Reporting

Kallon, Abdul K.

Date of Report

05/04/2016

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

Section VII -- I acquired the assets listed in lines 3, 4, 6, and 56 - 95 by marriage. Although my wife has owned these assets for years, I listed our wedding date (Sept. 19, 2015) as the transaction date for this report.

Finally, the rental property in line 7 [REDACTED] has a detached garage apartment that we are currently renting to a tenant. I have not included the mortgage as a liability in section VI as a result.

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Kallon, Abdul K.

Date of Report

05/04/2016

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