

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Coogler, Lawrence S.	2. Court or Organization Northern District of Alabama	3. Date of Report 05/14/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address Tuscaloosa Federal Building 2005 University Blvd. Tuscaloosa, AL 35401		
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.		
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2017	University of Alabama - School of Law, Salary for teaching	\$10,000.00
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. 2017	Mitzi H. Coogler, CPA, Income from accounting practice.
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.				
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.	Jose R. Rivas	9mm Glock Pistol with light	\$650.00
2.	Jose R. Rivas	labor and some material installing backsplash and landscape of home	\$2,500.00
3.	Jose R. Rivas	labor and some material installing vapor barrier in crawlspace of home	\$1,500.00
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.	BBVA Compass Bank	Real Estate Mortgage (Greystone)	M
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. Rental Property No. 2, Tuscaloosa, AL () HH	D	Rent	M	W					
2. Rental Property No. 3, Tuscaloosa, AL () Cap	D	Rent	M	W					
3. Coogler & Copeland, Jnt. Vnt. (33 ave Tuscaloosa,AL) 50% Int	D	Rent	L	W					
4. Checking Account #1 Bank of Tuscaloosa		None	J	T					
5. Checking Account #2 Bank of Tuscaloosa		None	J	T					
6. Savings Account - Compass Bank	A	Interest	J	T					
7. Money Market Account #1 - Bank of Tuscaloosa	A	Interest	J	T					
8. TD Waterhouse Bank Money Market Account ()	A	Interest	J	T					
9. Checking Account- Life Insurance Trust - Bank of Tuscaloosa		None	J	T					
10. Real Estate Rental, Sherwood East, Ltd. 1/12		None	J	U					
11. Prepaid College Tuition Plan, State of Alabama (HCC)	D	Distribution	J	W					
12. Prepaid College Tuition Plan, State of Alabama (ADC)	D	Distribution	J	W					
13. Money Market Account #3, Bank of Tuscaloosa (CHC)	A	Interest	K	T					
14. Money Market Account #4, Bank of Tuscaloosa (HCC)	A	Interest	J	T					
15. Money Market Account #5, Bank of Tuscaloosa (ADC)	A	Interest	J	T					
16. Retirement Systems - State of Alabama	A	Interest	L	T					
17. Rental Property No. 4 -Tuscaloosa, AL (CC)	D	Rent	M	W					

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

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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)

18. Checking Account Compass Bank (ADC)		None	J	T					
19. Rental Property No. 5 (C. Creek) - Tuscaloosa, AL	D	Rent	M	W					
20. Checking Account Compass Bank (HCC)		None	J	T					
21. Rental Property No.6 (Greystone) Northport, AL	D	Rent	M	W					
22. Business Checking Account - SmartBank (prev Capstone Bank) (Mitzi CPA)		None	L	T					
23. Business Savings Account-SmartBank (prev Capstone Bank) (Mitzi CPA)	A	Interest	M	T					
24. Rental Property No. 7 (Greystone #2) Northport, AL	B	Rent	M	W					
25. Stifel Money Market (LSC-MHC)	A	Interest	K	T					
26. Stifel Money Market (HCC)	A	Interest	J	T					
27. Ishares Core Growth Allocation ETF (HCC)	A	Dividend	J	T	Buy	07/27/17	J		
28. Stifel Money Market (ADC)	A	Interest	J	T					
29. Ishares Core Growth Allocation ETF (ADC)	A	Dividend	J	T	Buy	07/27/17	J		
30. Checking Account - Compass Bank (ADC Rental)		None	J	T	Open	07/14/17	J		
31. Pioneer Bond Fund C (MC)	A	Int./Div.	J	T	Buy	09/25/17	J		
32. Pioneer Bond Fund C (MC)					Buy (add'l)	12/29/17	J		
33. Pioneer Classic Balanced Fund C (MC)	C	Int./Div.	K	T	Buy	09/25/17	J		
34. Pioneer Classic Balanced Fund C (MC)					Buy (add'l)	12/29/17	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	

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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)

35. Pioneer Equity Income Fund C (MC)	C	Int./Div.	K	T	Buy	09/25/17	J		
36. Pioneer Equity Income Fund C (MC)					Buy (add'l)	12/29/17	J		
37. Pioneer Fundamental Growth Fund C (MC)	C	Int./Div.	K	T	Buy	09/25/17	J		
38. Pioneer Fundamental Growth Fund C (MC)					Buy (add'l)	12/29/17	J		
39. Pioneer Real Estate Shares C (MC)	A	Int./Div.	J	T	Buy	09/25/17	J		
40. Pioneer Real Estate Shares C (MC)					Buy (add'l)	12/29/17	J		
41. Pioneer Strategic Income Fund C (MC)	A	Int./Div.	J	T	Buy	09/25/17	J		
42. Pioneer Strategic Income Fund C (MC)					Buy (add'l)	12/29/17	J		
43. STIFEL BANK PROGRAM FDC INS BK DEP PG (MC)	A	Int./Div.	J	T					
44. IS SHARES IBOXX \$INVESTMENT GRADE CORP BOND ETF (MC)	A	Dividend	J	T					
45. ISHARES MBS ETF (MC)	A	Dividend	K	T					
46. ISHARES 3YR TREASURY BOND ETF (MC)	A	Dividend			Sold	08/08/17	K	A	
47. VANGUARD INTERMEDIATE TERM BOND ETF (MC)	A	Dividend	K	T					
48. VANGUARD SHORT TERM BOND ETF (MC)	A	Dividend			Sold	8/08/17	K	A	
49. SECTOR MATERIALS SELECT SECTOR SPDR ETF (MC)	A	Dividend	J	T					
50. SECTOR HEALTHCARE SELECT SECTOR SPDR ETF (MC)	A	Dividend	K	T					
51. SECTOR CONSUMER STAPLES SELECT SECTOR SPDR ETF (MC)	A	Dividend	K	T					

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52. CONSUMER DISCRETIONARY SELECT SECTOR SPDR ETF (MC)	A	Dividend	K	T					
53. SECTOR ENERGY SELECT SECTOR SPDR ETF (MC)	A	Dividend	K	T					
54. SECTOR INDUSTRIAL SELECT SECTOR SPDR ETF (MC)	A	Dividend	L	T					
55. SELECT UTILITIES SELECT SECTOR SPDR ETF (MC)	A	Dividend	K	T					
56. VANGUARD VALUE ETF (MC)	B	Dividend	L	T					
57. VANGUARD GROWTH ETF (MC)	A	Dividend	K	T					
58. POWERSHARES PREFERRED ETF (MC)	A	Dividend			Sold	08/08/17	J	A	
59. ISHARES GOLD TRUST (MC)	A	Dividend	J	T					
60. VANGUARD FINANCIALS ETF (MC)	A	Dividend	L	T					
61. VANGUARD INFORMATION (MC) TECHNOLOGY ETF	A	Dividend	L	T					
62. VANGUARD TELECOM SERVICES ETF (MC)	A	Dividend	J	T					
63. VICTORY SHARES US EQ INCOME ENH VOLATILITY WTD ETF (MC)	A	Dividend	J	T	Buy	08/08/17	J		
64. VICTORY SHARES US LARGE CAP HIGH DIV VOLATILITY (MC)	A	Dividend	J	T	Buy	08/08/17	J		
65. VICTORY SHARES US 500 ENHANCED (MC)	A	Dividend	K	T	Buy	08/08/17	K		
66. VANGUARD INTERMEDIATE TERM CORP BOND ETF (LSC)	A	Dividend	J	T	Buy	07/27/17	J		
67. VANGUARD FTSE DEVEL MKTS ETF (LSC)	A	Dividend	J	T	Buy	07/27/17	J		
68. VANGUARD FTSE EMERG MKTS ETF (LSC)	A	Dividend	J	T	Buy	07/27/17	J		

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69. VANGUARD REIT INDEX ETF (LSC)	A	Dividend			Sold	07/27/17	J		
70. VANGUARD GROWTH ETF (LSC)	A	Dividend	K	T	Sold (part)	07/27/17	J		
71. VANGUARD VALUE ETF (LSC)	A	Dividend	K	T	Sold (part)	07/27/17	J		
72. VANGUARD SMALL CAP ETF (LSC)	A	Dividend	J	T	Buy	07/27/17	J		
73. VANGUARD MID CAP ETF (LSC)	A	Dividend	J	T	Buy	07/27/17	J		
74. STIFEL BANK PROGRAM FDIC INS BK DEP PG (LSC)	A	Dividend	J	T					
75. VANGUARD INTERMEDIATE TERM BOND ETF	A	Dividend	J	T					
76.									
77.									
78.									
79.									
80.									

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

Note:

The prepaid tuition plans are state plans that I have no control over. They are valued at their cost.

The incomes listed for the LLC's and the Ltd are K-1 incomes. The values for these assets are stated at my ownership percentage.

The retirement account listed on line 16 in Part VII constitutes the funds that are available to me due to my payments into my State of Alabama Retirement. When I resigned from the State of Alabama, those funds became available to me. I have chosen to leave those funds with the State of Alabama Retirement Systems to draw interest on those funds. Before I resigned, the retirement account was an obligation of the State of Alabama Retirement Systems to pay a percentage of my salary once I reached retirement age. This account was originally included under previous instructions as an agreement in Part II but has been removed from that Part and is now only listed in Part VII at line 16.

The amounts listed in Part V as gifts are estimated because the person providing them is a friend who would not disclose the value of such gifts.

The account listed on line 18 of Part VII was mistakenly listed as (CHC) when it was always (ADC). These are internal account designations.

The bank holding the account listed on lines 22 and 23 of Part VII changed ownership and/or name from Capstone Bank to SmartBank in 2017.

The investment account previously reported on line 26 is owned by a child that was not a dependent during 2017. This should not have been included in the original 2017 Report and thus has been removed in this Amended 2017 Report.

The items listed on lines 27 and 29 were originally included in the corresponding Stifel money markets accounts. However, I have discovered the shares in the funds were purchased from the funds held in the respective money market accounts and are now reporting them separately as such on lines 27 and 29.

Those items listed in Part VII from line 31 through 75 of this Amended Report were removed from the attachment to the originally filed 2017 Annual Report and added in Part VII to comply with the current formatting and reporting requirements. Additional information was also provided as needed. The committee has not closed the 2017 Report and also has not requested additional information or reformatting. Regardless in anticipation of such a request and to facilitate the filing of the 2018 Report, this Amended Report is being made.

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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/ **Lawrence S. Coogler**

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