

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) Ott, John E.	2. Court or Organization U. S. District Court, NDAL	3. Date of Report 05/13/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) USMJ (Full-time)	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 Hugo L. Black Federal Crthse. 1729 5th Avenue North Birmingham, Alabama 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. Board Member	YMCA (Metro) Board of Management
2. Board Member & Vice President	Birmingham Bar Foundation Board
3. Board Member	ESI Roundtable
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. 2015	Cumberland School of Law (Teaching Salary)	\$1,545.00
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. 2015	Health Care Consultant (Cigna-Health Spring) - Hourly Employee
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.		
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. ENERGEN (Common)	A	Dividend	K	T	Buy (add'l)	01/02/15	L		
2. AFLAC Stock (Common)	D	Dividend	M	T					
3. AFLAC Stock (Common)	D	Dividend	L	T					
4. Mutual Shares Mutual Fund	B	Dividend			Sold	11/12/15	K		
5. American Express (Common)	B	Dividend	K	T					
6. UNUM: Universal Life	A	Dividend	K	T					
7. UNUM: Universal Life	A	Dividend	K	T					
8. American Express (Bank Account)	A	Interest	L	T					
9. Florida West Coast Credit Union	A	Interest	M	T					
10. AIG (Term Life)		None	N	T					
11. Legacy Credit Union (Formerly Fed. Employees Fed. C. U.)	A	Interest			Closed	04/23/15	J		
12. U.S. Savings Bonds	B	Interest	L	T					
13. American Fund Capital Income Builder-A	A	Dividend	J	T					
14. Wells Fargo (Bank Account)	A	Interest	K	T					
15. Cigna 401(k) Plan (H)									
16. -Prudential Retirement Insurance and Annuity Company Fixed Income Fund	A	Interest	J	T					
17. -Prudential High Yield Bond Bund (Y)									

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	

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18. -Dryden S&P 500 Index Fund (Y)									
19. -Prudential Large Cap Blend Fund (X)	A	Int./Div.	J	T					
20. -Prudential Intl. Stock Fund	A	Int./Div.	J	T					
21. Harbor Funds (X)	A	Int./Div.			Buy	06/06/15	J		
22.					Sold	06/15/15	J		
23. Vanguard Wellington Fund (X)	A	Int./Div.			Buy	05/13/15	J		
24.					Sold	07/01/15	J		
25. Windsor II Fund (IRA) (X)	B	Int./Div.	J	T	Open	06/30/15	J		
26. Ascension Health Savings Plan (H)									
27. -PIMCO Total Return Instl (Y)									
28. -Baird Aggregate Bond Instl. (X)	A	Int./Div.	J	T					
29. -Vanguard Prime Monney Market Adm. (X)	A	Int./Div.	J	T					
30. -American Funds EuroPacific Gr R4 (X)	A	Int./Div.	J	T					
31. -Dodge & Cox Stock	A	Int./Div.	J	T					
32. -Principal Large Cap Growth I Inst. (X)	A	Int./Div.	J	T					
33. -Vanguard Inst. Index Instl. Pl.	A	Int./Div.	J	T					
34. Franklin Mutual Beacon Fund - Class Z (X)	A	Int./Div.			Buy	06/30/15	J		

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35.					Sold	06/30/15	J		
36. Franklin Mutual Shares Fund - Class Z (X)	A	Int./Div.			Buy	06/30/15	K		
37.					Sold	06/30/15	K		
38. Merck Stock (Common) (X)		None			Buy	07/15/15	J		
39.					Sold	07/15/15	J		
40. General Electric Stock (Common) (X)		None			Buy	05/13/15	J		
41.					Sold	07/06/15	J		
42. Exxon Mobil (Common) (X)		None			Buy	05/13/15	J		
43.					Sold	07/07/15	J		
44. CGM Focus Fund (X)	A	Int./Div.			Buy	05/13/15	J		
45.					Sold	07/01/15	J		
46. BBVA Compass (Bank Account) (X)	A	Interest	M	T					
47. Vanguard Russell 1000 Growth Index (X)	A	Int./Div.	K	T	Buy	11/12/15	K		

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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/ John E. Ott**

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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Washington, D.C. 20544