

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) Ott, John E.	2. Court or Organization U. S. District Court, NDAL	3. Date of Report 08/22/2017
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 01/01/2016 to 12/31/2016
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. 2016	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. 2016	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	L	T	Buy (add'l)	01/02/16	L		
2. AFLAC Stock (Common)	D	Dividend	M	T					
3. AFLAC Stock (Common)	D	Dividend	L	T					
4. Mutual Shares Mutual Fund (Y)									
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.									
11.									
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	L	T					
15. Cigna 401(k) Plan (H)									
16. -Prudential Retirement Insurance and Annuity Company Fixed Income Fund	A	Interest	J	T					
17.									

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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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.									
19. -Prudential Large Cap Blend Fund	A	Int./Div.	J	T					
20. -Prudential Intl. Stock Fund	A	Int./Div.	J	T					
21. Prudential Mid Cap Blend Fund (X)	A	Int./Div.	J	T					
22. Prudential Small Cap Blend Fund (X)	A	Int./Div.	J	T					
23. Prudential Mid Cap Value Fund (X)	A	Int./Div.	J	T					
24. Prudential Small Cap Growth Fund (X)	A	Int./Div.	J	T					
25. Windsor II Fund (X)	A	Distribution	K	T					
26. Ascension Health Savings Plan (H)									
27. - TransAmerica Ptnrs Instl Hi Yld Bond (X)	A	Int./Div.	J	T					
28. -Baird Aggregate Bond Inst	A	Int./Div.	J	T					
29. -Vanguard Money Market	A	Int./Div.	J	T					
30. -American Funds EuroPac Gr	A	Int./Div.	J	T					
31. -Dodge & Cox Stock	A	Int./Div.	J	T					
32. -Principal Large Cap Growth I	A	Int./Div.	J	T					
33. -Vanguard Inst. Index Instl.	A	Int./Div.	J	T					
34. TransAmerica Ptnrs Inst Mid Val (X)	A	Int./Div.	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	
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 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)

35. -Vanguard Small Cap Index (X)	A	Int./Div.	J	T					
36. - Hartford Small Cap Growth (X)	A	Int./Div.	J	T					
37. -DFA Int. Small Comp I (X)	A	Int./Div.	J	T					
38. - DFA US Targeted Val I (X)	A	Int./Div.	J	T					
39. BBVA Compass (Bank Account)	B	Interest	M	T					
40. Vanguard Russell 1000 Growth Index	C	Int./Div.	K	T					
41. ISHARES Core MSCI EAFE (X)	B	Int./Div.	K	T					
42. Invesco Equity & Income CL C (X)	B	Int./Div.	K	T					
43.									
44.									
45.									
46.									
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/ 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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