

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) Walker, Susan R.	2. Court or Organization Middle District of Alabama	3. Date of Report 11/04/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Chief United States Magistrate 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 One Church Street Room 501-B Montgomery, Alabama		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Trustee	Eckerd College, St. Petersburg, FL
2.	
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Walker, Susan R.

Date of Report

11/04/2016

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.)*

DATE

SOURCE AND TYPE

INCOME
(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.)*

DATE

SOURCE AND TYPE

1. 2015

Self-employed attorney

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Walker, Susan R.

Date of Report

11/04/2016

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.	U. S. Dept. of Education	Student Loan (Child)	L
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Walker, Susan R.

Date of Report

11/04/2016

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 (tax account)	A	Interest	K	T					
2. Balch & Bingham (interest in partnership)	C	Dividend	K	T					
3. APCO Credit Union	A	Interest	J	T					
4. Regions Savings Account	A	Interest	J	T					
5. Cisco Systems Inc. (ticker CSCO)	A	Dividend	J	T					
6. Intel Corp (ticker INTC)	A	Dividend	K	T					
7. Wal-Mart Stores Inc. (ticker WMT)	A	Dividend	K	T					
8. Berkshire Hathaway Cl B (ticker BRKB)		None	J	T					
9. Td Bank Usa Fdic Insrd De (ticker IDA12)	A	Interest	J	T					
10. Johnson & Johnson Com. (ticker JNJ)	B	Dividend	L	T					
11. Abbot Laboratories (ticker ABT)	A	Dividend	K	T					
12. AbbVie Inc (ticker ABBV)	B	Dividend	K	T					
13. Accenture Ltd Cl A (ticker ACN)	A	Dividend	K	T					
14. Apple Computer Inc (ticker AAPL)	A	Dividend	K	T					
15. China Mobile Ltd Sp ADR (ticker CHL)	B	Dividend	K	T					
16. Coca Cola Co. (ticker KO)	B	Dividend	K	T					
17. Exelon Corp (ticker EXC)	A	Dividend	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 H = \$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 5 of 10

Name of Person Reporting

Walker, Susan R.

Date of Report

11/04/2016

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. Exxon Mobil Corporation I (ticker XOM)	A	Dividend	K	T					
19. Mcdonalds Corp. (ticker MCD)	A	Dividend	K	T					
20. Microsoft Corp (ticker MSFT)	A	Dividend	K	T					
21. Molson Coors Brewing Co C (ticker TAP)	A	Dividend	K	T	Sold (part)	09/16/15	J	C	
22. Novartis A G Spon ADRF (ticker NVS)	B	Dividend	K	T					
23. Novo-Nordisk A/S ADR (ticker NVO)	A	Dividend	K	T					
24. Oracle Corporation (ticker ORCL)	A	Dividend	K	T					
25. Pepsico Inc. (ticker PEP)	A	Dividend	K	T					
26. Philip Morris Internation (ticker PM)	A	Dividend	K	T					
27. Southern Company (ticker SO)	B	Dividend	K	T					
28. Target (ticker TGT)	A	Dividend	K	T					
29. Teva Pharm Inds Ltd ADRF (ticker TEVA)	A	Dividend	K	T					
30. United Technologies Corp. (ticker UTX)	A	Dividend	K	T					
31. Vale S.A. ADR (ticker VALE)	A	Dividend	J	T					
32. Vodafone Group Public Limited (ticker VOD)	A	Dividend	K	T					
33. Waste Management Inc. Del (ticker WM)	B	Dividend	K	T					
34. Avon Products Inc Nt 6.5% (CUSIP 054303AW2)	A	Interest			Sold	03/02/15	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 6 of 10

Name of Person Reporting

Walker, Susan R.

Date of Report

11/04/2016

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. Bank Of America Corp Vr 1 (CUSIP 06048WNF3)	A	Interest			Sold	01/12/15	K		
36. Bk Nova Scotia Flt 2033F (CUSIP 064159CP9)	B	Interest	K	T					
37. Buckeye Partners Lp Sr Un (CUSIP 118230AJ0)	A	Interest	K	T					
38. Citibank N A Cd Cll Fx/FI (CUSIP 172986GQ8)	A	Interest	J	T					
39. Hewlett Packard Co Sr Uns (CUSIP 428236BV4)	B	Interest	K	T					
40. Hrpt Properties (CUSIP 40426WAV3)	B	Interest	K	T					
41. Ingersoll-Rand Global Hld (CUSIP 45687AAA0)	B	Interest	K	T					
42. Jp Morgan Chase Bank Na (CUSIP 48126DZF9)	A	Interest	K	T					
43. Lloyds Tsb Bank Plc Rge Accrl (CUSIP 5394E8BQ1)	B	Interest	K	T					
44. Societe Gen Var 2033F (CUSIP 83368WCB5)	A	Interest	K	T					
45. Toyota Motor Credit Sr Unsecur (CUSIP 89233P6P6)	A	Interest	K	T					
46. Union Bank Na Cd 10/25/17 (CUSIP 90521ADD7)		None	K	T					
47. Union Bank Na San (CUSIP 90521AML9)		None	K	T					
48. Weitz Funds Short Interm Income (ticker WEFIX)	A	Dividend	K	T					
49. Western Union Sr Unsecur M-W Callable (04/01/2020 5.253%) (CUSIP 95)	B	Interest	K	T					
50. Western Union Sr Unsecur M-W Callable (08/22/2018 3.65%) (CUSIP 9598)	A	Interest	K	T					
51. SSgA Money Market Instl (ticker SSMXX)	A	Dividend	L	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

Walker, Susan R.

Date of Report

11/04/2016

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. Verizon Communications (ticker VZ)	A	Dividend	J	T					
53. Barclays Bank (CUSIP 06738KCM1)	B	Interest	K	T					
54. Goldman Sachs Group Inc U (CUSIP 38141GTZ7)	A	Interest	K	T					
55. PIMCO Low Duration Fund (ticker PLDDX)	A	Dividend	K	T					
56. Plains Exploration & Prod (CUSIP 726505AP5)	B	Interest	K	T					
57. Morgan Stanley Mtn Mnthly (CUSIP 61760QBB9)	B	Interest	K	T					
58. Old Republic Intl Corp Sr Gbl (CUSIP 680223AJ3)	A	Interest	K	T					
59. Federal Home Loan Banks Debent Ure Callable (CUSIP 313383CD1)	A	Interest			Sold	09/18/15	J		
60. HSBC Bank Usa Na Cd Index (CUSIP 40434AQB8)		None	K	T					
61. Jp Morgan Chase Bank Na Cd 0% (CUSIP 48125TWD3)	B	Interest	K	T					
62. Jp Morgan Chase Bank Na Cd Ind Ex Lnk 0% (CUSIP 48124JGL6)		None	K	T					
63. Credit Suisse London Sr M (CUSIP 22546VHC3)	A	Interest	K	T	Buy	07/28/15	K		
64. Goldman Sachs Bk Usa Ny C (CUSIP 38148JHQ7)	A	Interest	K	T	Buy	01/13/15	K		
65. Jp Morgan Chase Bank Na Cd Qtr (CUSIP 48125T6T7)	A	Interest	K	T	Buy	04/06/15	K		
66. Union Pacific Corp (ticker UNP)	A	Dividend	K	T	Buy	06/23/15	K		
67. Balch & Bingham LLP 401(k) Profit Sharing Plan (H)									
68. -Oakmark Equity & Income Fund (ticker OAKBX) (X)	E	Dividend	N	T	Buy (add'l)	01/05/15	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 10

Name of Person Reporting

Walker, Susan R.

Date of Report

11/04/2016

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.					Buy (add'l)	01/16/15	J		
70.					Buy (add'l)	02/17/15	J		
71.					Buy (add'l)	03/17/15	J		
72.					Buy (add'l)	04/17/15	J		
73.					Buy (add'l)	05/18/15	J		
74.					Buy (add'l)	06/16/15	J		
75.					Buy (add'l)	07/20/15	J		
76.					Buy (add'l)	08/17/15	J		
77.					Buy (add'l)	09/16/15	J		
78.					Buy (add'l)	10/19/15	J		
79.					Buy (add'l)	11/16/15	J		
80.					Buy (add'l)	12/16/15	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 10

Name of Person Reporting

Walker, Susan R.

Date of Report

11/04/2016

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

Oakmark Equity & Income Fund (ticker OAKBX) (row 68) is part of an employer sponsored plan for which contributions are automatically invested. The professional assisting with this disclosure was not aware of the need to report this fund in 2014 or 2015.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Walker, Susan R.

Date of Report

11/04/2016

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/ Susan R. Walker

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