

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) Callaway, Henry A.	2. Court or Organization U.S. Bankruptcy Court for the Southern District of Alabama	3. Date of Report 02/07/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2016 to 12/31/2016
5b. ☐ Amended Report		
7. Chambers or Office Address U.S. Bankruptcy Court 201 St. Louis St. Mobile, AL 36602		
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. 2016	Hand Arendall LLC 401(k)--participant in former employer's 401(k)
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.		
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	McElhaney State Farm Agency, 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.)*

	<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.	Ala. State Bar Bankruptcy Section	June 2-5, 2016	Destin, FL	seminar	travel, lodging and food
2.	Northern District of Florida Bankruptcy Section	September 16-17, 2016	Santa Rosa Beach, FL	seminar	travel, lodging and food
3.	Mobile Bar Association	December 2-4, 2016	Point Clear, AL	seminar	lodging and food
4.	University of Alabama	November 17-18, 2016	Birmingham, AL	seminar	travel, lodging and food
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. ServisFirst Bank accounts	A	Interest	J	T					
2. 401(k)--State Farm Associates Balanced Fund	A	Dividend	J	T					
3. IRA--Vanguard Wellington Fund	A	Dividend	K	T					
4. Hand Arendall LLC Retirement Plan and Trust									
5. -Vanguard Target Retirement 2025	B	Distribution	L	T	Sold (part)	01/11/16	J		
6.					Sold (part)	02/08/16	J		
7.					Sold (part)	03/09/16	J		
8.					Buy (add'l)	04/01/16	L		
9.					Sold (part)	04/11/16	J		
10.					Sold (part)	05/09/16	K		
11.					Sold (part)	06/09/16	J		
12.					Sold (part)	07/11/16	J		
13.					Sold (part)	08/09/16	J		
14.					Sold (part)	09/09/16	J		
15.					Sold (part)	10/07/16	J		
16.					Sold (part)	11/08/16	J		
17.					Sold (part)	12/09/16	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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18.					Buy (add'l)	12/20/16	K		
19. -Vanguard Selected Value Investor CL		None			Sold (part)	03/29/16	K		
20.					Sold	05/04/16	M		
21. -Vanguard Divident Growth Investor CL	D	Dividend	N	T	Sold (part)	03/29/16	J		
22.					Sold (part)	12/14/16	K		
23. -Vanguard Short Term Investment Grade Admiral CL	B	Dividend	L	T	Sold (part)	03/29/16	J		
24.					Sold (part)	12/14/16	J		
25. -Vanguard Healthcare Admiral CL	B	Dividend	M	T	Buy (add'l)	03/29/16	J		
26.					Sold (part)	12/13/16	J		
27. -Vanguard High Yield Corp Admiral CL	D	Dividend	M	T	Sold (part)	03/28/16	J		
28.					Buy (add'l)	12/13/16	J		
29. Vanguard Intl Growth Admiral CL	B	Dividend	M	T	Sold (part)	03/28/16	J		
30.					Buy (add'l)	12/13/16	J		
31. -Primecap Odyssey Aggressive Growth		None	N	T	Sold (part)	03/28/16	J		
32.					Sold (part)	12/13/16	K		
33. -Vanguard S&P MidCap 400 Index ETF	C	Dividend	M	T	Sold (part)	03/28/16	J		
34.					Sold (part)	12/13/16	J		

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35. -Vanguard S&P MidCap 400 Value ETF	C	Dividend	M	T	Buy	05/05/16	M		
36.					Buy (add'l)	12/14/16	J		
37. -Vanguard Federal Money Market	A	Dividend	J	T	Buy	10/19/16	J		
38.					Buy (add'l)	12/14/16	L		
39.					Sold (part)	12/21/16	K		
40. -Vanguard Prime Money Market	A	Dividend			Buy	03/29/16	L		
41.					Buy (add'l)	03/31/16	J		
42.					Sold (part)	04/04/16	L		
43.					Buy (add'l)	05/04/16	M		
44.					Sold (part)	05/10/16	M		
45.					Sold	10/06/16	J		

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

None

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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/ Henry A. Callaway**

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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