

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Dubina, Joel F.	2. Court or Organization U.S. Court of Appeals/11th Cir	3. Date of Report 01/16/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. Circuit Judge -- Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address Post Office Box 867 Montgomery, AL 36101-0867		
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.	Partner	Investments Unlimited, a limited liability corp. ("LLC")
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.)*

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.	
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.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE CODE
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. L JOEL F. DUBINA									
2. Insignia Fini Group Inc.	A	Dividend	J	T					
3. Torchmark Corp	A	Dividend	K	T					
4. Apartment Investment Management Co.	A	Dividend	J	T					See Seciton VIII
5. U. S. Shelter Corp. Del	A	Dividend	J	T					
6. Money Market Funds Stifel, Nicolaus & Company	A	Interest	L	T					
7. 12.5% interest Investments Unlimited, an L.L.C.	F	Rent	O	W					See Section VIII.
8. 12.5% interest in house, Ada, AL		None	L	W					See Section VIII
9. Alibaba Group Holding LTD Spons ADS		None			Sold (part)	01/30/18	K	D	
10.					Sold	10/24/18	J	D	
11. Mosaic	A	Dividend	J	T					
12. VF Corp.	A	Dividend	J	T					
13. Berkshire Hathaway Inc.		None	K	T					
14. Chicago Bridge & Iron Company NV now McDermott Intl. Inc.		None			Merged (with line 40)	05/18/18	J		
15. Invesco Ltd.	A	Dividend	J	T					
16. Columbia Tax Exempt	A	Dividend			Sold	11/20/18	J		
17. Columbia U.S. Gov't Mortgage	A	Dividend			Sold	11/20/18	J		

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

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18. Franklin Growth	A	Dividend	J	T					
19. Franklin AL Tax Free Income CLA #354723884	A	Dividend	J	T					
20. ThornBurg LTD Term Mun.	A	Dividend			Sold	11/20/18	J		
21. Alabama PUB HSG Authj Cap 4.450% 01/01/04 # 01039WAZ5	A	Interest	J	T	Matured (part)	12/06/18	J		
22. Glaxosmithkline LC Cusip	A	Dividend	J	T					
23. Huntsville AL Hlthcare Auth Rev Ser A 96.929 5.26% 44706PAW9	A	Interest	J	T					
24. Huntsville AL WTR SYS REV 4.000% 11/01/31 447168KL8	A	Interest	J	T					
25. Mobile AL WTR & SWR Comms Rev 98.500 4.118%	A	Interest	J	T					
26. Pepsico INC	A	Dividend	K	T					
27. Sylacauga AL Wtx B/E 4.00% due 02/01/34	A	Interest	J	T					
28. Troy AL Elec Wtr & Swr 97.614 4.82%	A	Interest	J	T					
29. University of AL at Birmingham 3.000% 10/01/30	A	Interest	J	T					
30. Wal Mart Stores Inc	A	Dividend	J	T					
31. Yum Brands Inc.	A	Dividend	J	T					
32. Yum China holdings Inc.	A	Dividend	J	T					
33. Bristol Myers Squibb	A	Dividend	J	T					
34. Intrexon Corp		None	J	T					

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35. Pay Pal		None	J	T	Sold (part)	06/18/18	J	D	
36. Therapeuticsmd Inc.		None	J	T	Buy	11/20/18	J		
37. 3 D Systems		None	J	T					
38. Ambarella Inc.		None			Sold	10/24/18	J		
39. Construction Partners Inc.		None	J	T	Buy	06/18/18	J		
40. McDermott Intl. Co.		None	J	T		05/18/18	J		Merged with line 14
41. BENEFICIARY IRA									
42. Money Market Funds Stifel, Nicholas & Company	A	Interest	J	T					
43. Exxon Mobil Corp.	A	Dividend	J	T					
44. Nokia Corp.	A	Dividend	J	T					
45. II. TRUSTS ASSETS #1									
46. Money Market Funds 19/19 Investment Counsel & Trust	A	Interest	K	T					
47. General Electric	A	Dividend			Sold	03/28/18	K	D	
48. Torchmark Corp.	B	Dividend	M	T	Sold (part)	08/13/18	K	E	
49. River Bank and Trust	A	Dividend	K	T					
50. Federated Intermediate Mun. TrShBenInt.	B	Dividend	L	T	Sold (part)	12/12/18	J	A	
51. U.S. Treasury Bond 5/375%	C	Interest	L	T					

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52. Altria Group Inc.	B	Dividend	L	T					
53. John Hancock Flexible Prem. Life Ins.		None	L	U					
54. Adobe Systems		None	K	T					
55. Microsoft Corp.	A	Dividend	K	T					
56. Priceline Com. now Booking Holdings Inc.		None	K	T					
57. Alphabet Inc. Cap STK CLA (Formerly Google, Inc.)		None	K	T					
58. Apple Computer, Inc.	B	Dividend	L	T					
59. Amazon.Com, Inc.		None	K	T	Sold (part)	04/06/18	J	D	
60.					Sold (part)	08/16/18	J	D	
61. Emerson Electric Co.	A	Dividend	K	T					
62. iShares DJ Sel	A	Dividend			Sold	03/28/18	K	D	
63. Alphabet Inc Cap STK CLC (Formerly Google Inc. CL A))		None	K	T					
64. Bank of America Corp.	A	Dividend	K	T					
65. Suntrust Banks	A	Dividend	K	T					
66. Chevron Copr.	A	Dividend	K	T					
67. Fidelity Invst MM FD Govt. 1 #57	A	Interest	K	T	Buy (add'l)	12/31/18	K		
68.					Sold (part)	12/31/18	J	A	

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69. Starbucks Corp.	A	Dividend			Sold	04/06/18	K	C	
70. INVESCO LTD SHS	A	Dividend			Sold	10/22/18	J		
71. AT&T INC. Com	B	Dividend	K	T					
72. Du Pont E I D E Nemours & Co. Com	A	Dividend	J	T					
73. Exxon Mobil Corp. Com	A	Dividend	K	T					
74. Johnson & Johnson Com	B	Dividend	K	T					
75. Oracle Corp SRBD 3.4% DTD 7/8/2014 Due 7/8/2024	A	Interest	K	T					
76. Pepsico Inc. SR NT 2.25% DTD 7/30/2013 Due 1/7/2019	A	Interest	K	T					
77. Pfizer Inc. Com	A	Dividend	K	T					
78. Sempra Energy Com	A	Dividend	K	T	Buy (add'l)	01/03/18	J		
79. Southern Co. Com	A	Dividend	K	T					
80. Toyota Motor Cred FR 1.55% DTD 7/13/2015 Due 7/13/2018	A	Interest			Matured	07/13/18	K		
81. United Parcel Service In. CLD	A	Dividend	K	T	Buy (add'l)	03/28/18	J		
82. U.S. Bankcorp MTN Sub NTS FR 2.95% DTD 7/23/20 Dues 7/15/22	A	Interest	K	T					
83. United Health Group Inc. SR. NT 2.875% DTD 12/8/2014 due 12/15/2021	A	Interest	K	T					
84. UnitedHealth Group Inc. Com	A	Dividend	K	T					
85. Walmart Stores Inc. Com	A	Dividend	K	T					

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86. Air Prods & Chems Inc. Com	A	Dividend			Sold	06/25/18	J	A	
87. CBS Corp. New CLB	A	Dividend			Sold	07/27/18	K		
88. Cisco Sys Inc. OM	A	Dividend	K	T					
89. Cintas Corp. Com	A	Dividend	J	T					
90. Comcast Corp. New NT 3.125% DTD 07/02/17 Due 7/15/22	A	Dividend	K	T					
91. Costco Whsl Corp. New com	A	Dividend	K	T					
92. Crown Castle Intl Corp. New Com	A	Dividend	K	T					
93. Deere & Co. SR GLBC	A	Dividend	K	T					
94. General Electric Co. NT 2.70 DTD 10/9/12 Due 10/09/12 Due 10/9/22	B	Dividend	K	T					
95. Merck & co. Inc. New com	A	Dividend	K	T	Buy (add'l)	03/28/18	J		
96. Oracle Corp. Com. 9/29/17 @ 48.27	A	Dividend	K	T					
97. U. S. Treasury Note 1.625% 2/15/16 due 2/15/26	A	Interest	K	T					
98. T-Rowe Price Tax Free High Yield Fund #59	B	Dividend	L	T					
99. Beckton Dickinson & Co. Com	A	Dividend	K	T	Buy	08/09/18	K		
100. Borgwarner Inc. com	A	Dividend	K	T	Buy	08/13/18	K		
101. Facebook Inc. CLA		None	K	T	Buy	08/13/18	K		
102. Merck & Co. Inc. New Com		None	J	T	Buy	03/28/18	J		

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103. Noble Energy Inc.. Com	A	Dividend	K	T	Buy	03/28/18	K		
104. Teleflex	A	Dividend	K	T	Buy	08/13/18	K		
105. United Technologies Corp. Com	A	Dividend	K	T	Buy	03/28/18	K		
106. PERSONAL HOLDINGS:									
107. Money Market Funds Sifel, Nicolaus & Co.	A	Interest	K	T					
108. Torchmark Corp.	A	Dividend	L	T					
109. 56 TMK, United Inc.	A	Dividend	J	T					
110. 12.5% interest Investments Unlimited, as L.L.C.	F	Rent	O	W					See Section VIII
111. 12.5% interest in house, Ada, AL		None	L	W					See Section VIII
112. Hancey Mill Road Farm, L.L.C.		None	M	R					See Section VIII
113. Huntsville AL RFDG & Cap Improvements WTS Ser A	A	Interest	K	T					
114. Novartis AG RMT Sponsored ADR	A	Dividend	J	T					
115. River Bank & Trust RMT		None	K	T					
116. Madison Cnty Brd Ed Cap OID 96.801 4.7% CPN 4.500% cusip 556751GG4	B	Interest	K	T					
117. Madison Cnty AL Brd EDP Cap Outlay Cpn 5.000% Due 9/1/36 556751GB5	B	Interest	K	T					
118. Shelby Cnty AL Brd EEDP RFDG 10 MillB/ECN 5.0% due 2/1	B	Interest	K	T					
119. Amgen Inc.	B	Dividend	L	T					

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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)
120. Homewood AL Edl Bldg Rev Samford Univ. 4.500%	B	Interest	K	T					
121. Huntsville AL RFDG WTS OID @97.541 3.3% CUSIP 447025NY9	A	Interest	K	T					
122. University of AL at B'ham Genl Rev A2 OID @98.653 3.1T	A	Interest	K	T					
123. ALIBABA Group Holding LTD Spons Ads		None			Sold	10/24/18	J	C	
124. Enterprise AL WTS Ser A B/E OID @96.949 4.85%	B	Interest	K	T					
125. Escambia CNTY AL Brd Ed. Tax Antic WTS REV B/E	B	Interest	K	T	Donated	02/20/18	J		
126. Foley AL WTS BE OID @98.446 4.1% CPN 4.000% due 6/1/39	A	Interest	K	T					
127. SERVISFIRST Bancshares)	A	Dividend	K	T					
128. V F Corp.	A	Dividend	K	T					
129. AL State Pub HC Auth Pub HLTH FAc OID 96.120 4%	A	Interest	K	T					
130. Berkshire Hathaway Inc		None	K	T					
131. Chicago Bridge & Iron Company NV now McDermott Intl Inc.		None			Merged (with line 140)	05/19/18	J		
132. Mobile AL Wtr & Swr Commrs. Rev B/E OID 98.500 @4.118%	A	Interest	K	T					
133. Sylacauga AL W & S B/E CPN 4% Due 2/1/31	A	Interest	K	T					
134. Horizon Pharma PLC		None			Sold	11/20/18	K	C	
135. INVESCO LTD	A	Dividend			Sold	11/20/18	J		
136. Brewton AL WTS SER A BAM 3% due 12/02/28	A	Dividend	K	T					

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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.)

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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				
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137. Jasper AL WTS BAMBLE CPN 3.250%	A	Interest	K	T					
138. HENA Inc		None	L	T					
139. AIPS AIERIAN MLP ETF	B	None	K	T	Buy (add'l)	03/21/18	J		
140. Bristol Myers Squibb	A	Dividend	K	T					
141. Intrexon Corp		None	J	T					
142. Paypal Holdings Inc.		None	J	T	Sold (part)	06/18/18	J	D	
143. Therapeuticsmd Inc.		None	J	T	Buy (add'l)	11/20/18	J		
144. 3-D Systems Corp. Del New		None	J	T					
145. Tuscaloosa AL Pub. Edl 8 Bldg Stndt HSG Rev 3.00% due 7/1/31	A	Interest	K	T					
146. Ambarella Inc.		None			Sold	10/24/18	K		
147. Construction Partners Inc.		None	J	T	Buy	06/18/18	J		
148.					Buy (add'l)	11/20/18	J		
149. McDermott Intl. Inc.		None	J	T		05/19/18	J		Merged with line 131
150. PRINCETON MANAGED ACCT									
151. Money Market Funds Stiffel, Nicolaus & Co.	A	Interest	J	T					
152. AT&T	A	Dividend	J	T					
153. American Tower Corp New	A	Dividend	J	T					

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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)
154. Apple Inc	A	Dividend	J	T					
155. Boeing Company	A	Dividend	J	T	Sold (part)	06/26/18	J	A	
156. Bristol Myers Squibb Company	A	Dividend	J	T					
157. Canadian Pacific Railway Limited	A	Dividend	J	T					
158. Cisco systems Inc.	A	Dividend	J	T					
159. Corning Inc	A	Dividend	J	T					
160. Crown Castle Intl Corp New	A	Dividend	J	T					
161. Alphabet Inc. (Formerly Google Inc. CL A)		None	J	T					
162. Intel Corp.	A	Dividend	J	T					
163. Martin Marietta Materials Inc.	A	Dividend	J	T					
164. Microsoft Corp	A	Dividend	J	T					
165. Qualcomm Inc.	A	Dividend	J	T					
166. Union Pacific Corp	A	Dividend	J	T					
167. Universal Electrs Inc.		None	J	T					
168. Verizon Communications Inc.	A	Dividend	J	T					
169. NOVO Nordisk AS ADR	A	Dividend	J	T					
170. Facebook Inc CL A		None	J	T	Buy (add'l)	01/12/18	J		

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171. Pfizer Inc.	A	Dividend	J	T					
172. Visa Inc. Class A	A	Dividend	J	T					
173. Abbvie Inc.	A	Dividend	J	T	Buy (add'l)	07/19/18	J		
174. Amazon Com Inc.		None	J	T					
175. Comcast corp. CL Anew	A	Dividend	J	T					
176. Walt Disney co.	A	Dividend	J	T					
177. United Parcel Service	A	Dividend	J	T	Buy (add'l)	06/25/18	J		
178.					Sold (part)	07/27/18	J	A	
179. CHARITABLE ACCOUNT									
180. Money Market Funds Stifel, Nicolaus & Co.	A	Interest	K	T					
181. Alexander City AL RFDG WTS Ser A OID 98.889 3.16% CPN 3.000 Due 5/1/19	A	Interest	J	T					
182. Elmore Cnty AL Pub E Coop Dist Pub Ed OID @98.506 3.45%	A	Interest	K	T					
183. Foley AL Pub Facs Co Dist Rev CPN 4.000% Due 9/1/19	A	Interest	K	T					
184. Opelika AL School Warrants SER A CPN 3.500% Due 10/1/20	A	Interest	K	T					
185. Shelby Cnty AL Brd E Unref 10 mill CPN 4.000% due 2/1/18	A	Interest			Redeemed	02/01/18	K		
186. AL. WTR Pollution Auth. RFDG RVLVNG 3.00% Due 8/15/21	A	Interest	J	T					
187. Phenix City AL Pub. Bldg Auth Rev Mun A DB 3.00% Due 4/1/21	A	Interest	J	T					

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188. Troy AL RFDG WTS AGM OID @ 99.108 2.17% 2% due 8/1/23 3	A	Interest	K	T					
189. HORIZON ACCOUNT @ Stifel, Nicolaus & Co.									
190. Tax-exempt Accrued Interest Account	D	Interest	N	T					See Section VIII
191. First Trust Dorsey Wright Focus					Sold	08/21/17	L	D	sold in 2017
192. First Trust VI Dorey Wright Intl Focus SETF					Sold	12/13/17	L	D	sold in 2017
193. I-Shares 3-7 yr. Treasury Bond ETF	A	Dividend			Sold	02/02/18	K		
194. Vanguard Fed. Money Market Investment Money Market. Investor CL	A	Dividend			Buy (add'l)	01/19/18	M		
195.					Sold	02/19/18	M		
196. Pacific Life Ins. Co. Pac Index Fundm 5 indexed annuity		None	N	T	Buy	02/14/18	N		

1 Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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.)*

Part VII. Investments & Trusts.

No. 4, 7, 8, . Property located in Montgomery County, AL; (*Walton County, FL), Lowndes County, AL

110, 111 *In 2014, Investments Unlimited sold the beach house in Walton County, Florida for \$2.8 million. A family member and I received 12.5% each of the proceeds.

No. 112. Effective December 31, 2007, I gifted my interest in land in Montgomery County, equally to family members. I formed an L.L.C. named "Hancey Mill Road Farm, L.L.C." My 50% interest in the land was deeded into Hancey Mill Road Farm, L.L.C. and then gifted to family members in equal shares. The total value of this property at the time it gifted was \$790,000 to be equally shared by the 4. I filed a gift tax return showing this transfer on 4/15/08.

No. 190. On 12/28/18 the money market fund was rolled over into the Tax-Exempt Accrued Interest Account.

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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/ **Joel F. Dubina**

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