

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) Poplin, Debra C.	2. Court or Organization District Court, Eastern Tennessee	3. Date of Report 03/29/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge	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 Howard H. Baker Jr. U.S. Courthouse 800 Market Street, Suite 130 Knoxville, TN 37902		
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.		
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. 1997	City of Knoxville Pension Fund; pension upon retirement age 62
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2018

Self-employed auto reconditioning

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.)*SOURCEDATESLOCATIONPURPOSEITEMS 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.)*

	<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. Suntrust (business checking)		None	L	T					
2. ROTH IRA Ameriprise Financial									
3. - Growth Fund of America (AGTHX)	A	Int./Div.			Sold (part)	05/24/18	J	A	
4. Traditional IRA #1									
5. - BlackRock Strategic Income (BSIIX)	A	Int./Div.			Sold	01/04/18	J	A	
6. - Columbia Strategic Income (LSIZX)	A	Int./Div.			Sold (part)	01/04/18	J	A	
7. - MFS Total Return Bond (MRBIX)	A	Int./Div.	J	T	Buy (add'l)	01/04/18	J		
8. - PIMCO Income Fund (PONAX)	A	Int./Div.	J	T	Buy	01/04/18	J		
9. - Vanguard Emerging Markets (VWO)	A	Int./Div.			Sold	06/19/18	J	A	
10. - Columbia Balanced Fund (CBALX)	A	Int./Div.			Sold	07/24/18	J	A	
11. - MFS Total Return Bond (MRBIX)	A	Int./Div.			Sold	07/24/18	J	A	
12. - Columbia Floating Rate (CFRZX)	A	Dividend	J	T	Buy	07/24/18	J		
13. - Delaware Small Cap (DCCIX)	A	Dividend	J	T	Buy	07/24/18	J		
14. - Lord Abbett Short Duration (LDLFX)	A	Int./Div.	J	T	Buy	07/24/18	J		
15. - Vanguard Mid Cap (VO)	A	Int./Div.			Sold (part)	07/25/18	J	A	
16. - Vanguard total Stock Market (VTI)	A	Int./Div.			Sold (part)	07/25/18	J	A	
17. - Vanguard Mid Cap (VO)	A	Int./Div.			Sold	12/17/18	J	B	

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

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18. - Vanguard Total Stock Market (VTI)	A	Int./Div.			Sold	12/19/18	K	C	
19. - iShares MSCI EAFE (EFA)	A	Int./Div.			Sold	12/21/18	J	A	
20. - PGIM Short Term Corporate Bond (PIFZX)	A	Int./Div.	J	T					
21. Traditional IRA #2									
22. - BlackRock Strategic Income (BSHX)	A	Int./Div.			Sold	01/04/18	J	A	
23. - Columbia Strategic Income (LSIZX)	A	Int./Div.			Sold (part)	01/04/18	J	A	
24. - MFS Total Return Bond (MRBIX)	A	Int./Div.	J	T	Buy (add'l)	01/04/18	J		
25. - PIMCO Total Return Bond (PONAX)	A	Int./Div.	J	T	Buy	01/04/18	J		
26. - Vanguard Emerging Markets (VWO)	A	Int./Div.			Sold	06/19/18	J	A	
27. - Columbia Balanced Fund (CBALX)	A	Int./Div.			Sold	07/24/18	J	A	
28. - MFS Total Return Bond (MRBIX)	A	Int./Div.			Sold	07/24/18	J	A	
29. - Columbia Floating Rate (CFRZX)	A	Int./Div.	J	T	Buy	07/24/18	J		
30. - Delaware Small Cap (DCCIX)	A	Int./Div.	J	T	Buy	07/24/18	J		
31. - Lord Abbett Short Duration (LDLFX)	A	Int./Div.	J	T	Buy	07/24/18	J		
32. - Vanguard Mid Cap (VO)	A	Int./Div.			Sold (part)	07/25/18	J	A	
33. - Vanguard Total Stock Market (VTI)	A	Int./Div.			Sold (part)	07/25/18	J	A	
34. - Vanguard Mid Cap (VO)	A	Int./Div.			Sold	12/17/18	J	B	

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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	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 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. - Vanguard total Stock Market (VTI)	A	Int./Div.			Sold	12/19/18	K	C	
36. - Ishares MSCI EAFE (EFA)	A	Int./Div.			Sold	12/21/18	J	A	
37. - PGIM Short Term Corporate Bond (PIFZX)	A	Int./Div.	J	T					
38. At Fund 529 Plan Ameriprise Financial #1									
39. - Growth Fund of America (CGFAX)	A	Int./Div.	K	T					
40. - Washington Mutual Invest 529 A (CWMAX)	A	Int./Div.	K	T					
41. At Fund 529 Plan Ameriprise Financial #2									
42. - Capital World Growth Income (CWIAX)	A	Int./Div.	K	T					
43. NQ SPS Investment Account (NEW)									
44. - Columbia balanced Fund (CBALX)	A	Int./Div.	J	T	Buy	02/06/18	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Line 20 & 37 - PIFZX had a name change and is now PGIM Short Term Corporate Bond. This was named Prudential Short Term Corporate Bond on the 2017 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/ Debra C. Poplin

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