

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) Axon, Annemarie C.	2. Court or Organization U.S. District Court, Northern District of Alabama	3. Date of Report 07/13/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge, Active	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 United States District Court 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Board Member	Mountain Brook City Schools Foundation
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.	

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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. 2018	Wallace, Jordan, Ratliff, & Brandt Partnership Interest	\$46,931.00
2. 2018	United States of America, federal salary	\$86,798.52
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. 2018	Starnes Davis Florie, 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.)*

<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.	John Peter Crook McCall	Tiffany Sterling Gavel, engraved	\$500.00
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.	American Federal Credit Union	loan	J
2.	U.S. Department of Education	loan	K
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. ACCOUNT #1									
2. Fidelity Gov't Cash Reserves	A	Dividend	K	T					
3. Polen Growth Funds Inst'l Shares	C	Dividend	M	T					
4.					Buy	06/08/18	M		
5. Aristotle Value Equity Fund	A	Dividend	K	T					
6.					Buy	07/11/18	K		
7.					Buy (add'l)	12/12/18	J		
8. WCM Focused International Growth Fund	C	Dividend	M	T					
9.					Buy	06/08/18	M		
10.					Buy (add'l)	12/12/18	J		
11. Maingate MLP Fund	B	Dividend	K	T					
12.					Buy	06/08/18	K		
13.					Buy (add'l)	12/12/18	J		
14. Undiscovered MGRS Behavior Fund	D	Dividend	L	T					
15.					Buy	06/08/18	L		
16.					Buy (add'l)	12/12/18	J		
17. Ashmore Emerging Mkt Corp Debt	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 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	06/11/18	J		
19. Franklin Temp Emerg Market Debt Opp Adv	A	Dividend	J	T					
20.					Buy	06/08/18	J		
21.					Buy (add'l)	12/10/18	J		
22.					Buy (add'l)	12/18/18	J		
23. Vanguard Index Funds Mid Cap	A	Dividend	K	T					
24.					Buy	06/11/18	K		
25. Vanguard Real Estate ETF	B	Dividend	K	T					
26.					Buy	06/11/18	K		
27. Altria Group	A	Dividend	J	T					
28.					Sold (part)	01/19/18	J		
29.					Sold (part)	02/22/18	J		
30.					Buy (add'l)	02/26/18	J		
31.					Sold (part)	03/06/18	J		
32.					Sold (part)	06/11/18	J		
33. Apple Inc	A	Dividend	J	T					
34.					Buy	02/13/18	K		

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		
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35.					Buy (add'l)	02/22/18	J		
36.					Buy (add'l)	03/06/18	J		
37.					Sold (part)	06/11/18	K		
38. Berkshire Hathaway Inc Del Cl B		None	J	T					
39.					Sold (part)	02/22/18	J		
40.					Buy (add'l)	02/26/18	J		
41.					Sold (part)	06/11/18	J		
42. Blackrock inc	A	Dividend	J	T					
43.					Sold (part)	02/22/18	J		
44.					Buy (add'l)	02/26/18	J		
45.					Sold (part)	03/06/18	J		
46.					Sold (part)	06/08/18	K		
47.					Buy (add'l)	08/21/18	J		
48. CA Inc	A	Dividend							
49.					Sold (part)	06/08/18	J		
50.					Sold	11/05/18	J		
51. Carnival Corp Paired	A	Dividend	J	T					

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52.					Sold (part)	02/22/18	J		
53.					Sold (part)	02/22/18	J		
54.					Buy (add'l)	02/26/18	J		
55.					Sold (part)	06/11/18	K		
56.					Buy (add'l)	12/21/18	J		
57. Chevron Corp	A	Dividend	J	T					
58.					Sold (part)	06/11/18	K		
59. Cincinnati Finl Corp	A	Dividend	J	T					
60.					Sold (part)	02/22/18	J		
61.					Buy (add'l)	03/06/18	J		
62. Cisco Sys Inc	A	Dividend	J	T					
63.					Buy (add'l)	02/26/18	J		
64.					Sold (part)	06/11/18	J		
65. Coca Cola Co	A	Dividend	J	T					
66.					Buy (add'l)	04/09/18	J		
67.					Sold (part)	06/11/18	J		
68. Crown Castle Intl Corp	A	Dividend	J	T					

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69.			J		Sold (part)	02/22/18	J		
70.					Buy (add'l)	02/26/18	J		
71.					Sold (part)	06/11/18	J		
72. Diageo	A	Dividend	J	T					
73.					Sold (part)	02/22/18	J		
74.					Buy (add'l)	02/26/18	J		
75.					Buy (add'l)	04/09/18	J		
76.					Sold (part)	06/11/18	J		
77. Dominion Energy	A	Dividend	J	T					
78.					Sold (part)	06/11/18	J		
79. Duke Energy	A	Dividend	J	T					
80.					Sold (part)	06/11/18	J		
81. Eli Lilly & Co									
82.					Sold (part)	02/13/18	J		
83.					Sold (part)	02/22/18	J		
84.					Sold	03/06/18	J		
85. Fastenal		None	J	T					

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86.					Buy	11/26/18	J		
87. Franklin Res Inc	A	Dividend	J	T					
88. General Dynamics	A	Dividend	J	T					
89.					Sold (part)	06/11/18	K		
90.					Sold (part)	02/22/18	J		
91.					Buy (add'l)	02/26/18	J		
92.					Sold (part)	12/05/18	J		
93.					Sold (part)	12/18/18	J		
94. General Electric Co Exec	A	Dividend			Sold	02/13/18	J		
95. General Mills	A	Dividend			Sold (part)	03/06/18	J		
96.					Sold	04/09/18	J		
97. Hasbro Inc	A	Dividend	J	T					
98.					Sold (part)	06/11/18	J		
99. Intel Corp	A	Dividend	J	T					
100.					Sold (part)	02/22/18	J		
101.					Buy (add'l)	02/26/18	J		
102.					Sold (part)	06/11/18	K		

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103. Johnson & Johnson	A	Dividend	J	T					
104.					Buy (add'l)	08/07/18	J		
105. Kinder Morgan Inc	A	Dividend	J	T					
106.					Sold (part)	06/11/18	J		
107. Lowes Cos Inc	A	Dividend	J	T					
108.					Sold (part)	02/22/18	J		
109.					Sold (part)	06/11/18	J		
110.									
111. Merck & Co Inc	A	Dividend	J	T					
112.					Sold (part)	06/11/18	J		
113. Microsoft Corp	A	Dividend	J	T					
114.					Sold (part)	02/22/18	J		
115.					Buy (add'l)	02/22/18	J		
116.					Buy (add'l)	03/06/18	J		
117.					Sold (part)	12/05/18	J		
118.					Sold (part)	12/18/18	J		
119. Nestle SA		None	J	T					

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120.					Buy	12/05/18	J		
121.					Buy (add'l)	12/18/18	J		
122. Newmarket Corp	A	Dividend	J	T					
123.					Sold (part)	06/11/18	J		
124. Norfolk Southern Crp	A	Dividend	J	T					
125.					Sold (part)	02/22/18	J		
126.					Buy (add'l)	02/26/18	J		
127.					Sold (part)	06/11/18	K		
128.					Buy (add'l)	08/21/18	J		
129.					Sold (part)	12/05/18	J		
130.					Sold (part)	12/18/18	J		
131. Paccar Inc	A	Dividend	J	T					
132.					Buy	03/06/18	K		
133.					Sold (part)	06/11/18	J		
134.					Buy (add'l)	08/27/18	J		
135. Paychex Inc	A	Dividend	J	T					
136.					Sold (part)	06/11/18	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 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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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)
137. Pfizer Inc	A	Dividend	J	T					
138.					Sold (part)	02/22/18	J		
139.					Buy (add'l)	02/13/18	J		
140.					Buy (add'l)	02/26/18	J		
141.					Sold (part)	03/06/18	J		
142.					Sold (part)	06/11/18	J		
143. Philip Morris Intl Inc.	A	Dividend	J	T					
144.					Sold (part)	06/11/18	J		
145. Target Corp	A	Dividend	J	T					
146.					Sold (part)	01/22/18	K		
147.					Buy (add'l)	04/09/18	J		
148.					Sold (part)	06/11/18	K		
149.					Sold (part)	08/21/18	J		
150. Texas Instruments Inc		None	J	T					
151.					Buy	12/05/18	J		
152.					Buy (add'l)	12/18/18	J		
153. TIAA-CREF Social Choice Bond	C	Dividend	M	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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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)
154.					Sold (part)	02/21/18	J		
155.					Buy (add'l)	02/22/18	J		
156.					Sold (part)	06/08/18	L		
157.					Buy (add'l)	12/12/18	J		
158. United Parcel Svc Inc	A	Dividend	J	T					
159.					Buy	01/22/18	J		
160.					Buy (add'l)	02/08/18	J		
161.					Sold (part)	02/22/18	J		
162.					Buy (add'l)	02/26/18	J		
163.					Sold (part)	06/11/18	J		
164. Verizon Communications	A	Dividend	J	T					
165.					Sold (part)	06/11/18	J		
166. Wells Fargo Co	A	Dividend	J	T					
167.					Sold (part)	02/22/18	J		
168.					Buy (add'l)	02/26/18	J		
169.					Sold (part)	06/11/18	K		
170. GPB Holdings II LP	C	Distribution	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	

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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)
171.					Buy	02/15/18	K		
172.									
173. ACCOUNT # 2									
174. Synovus Cash Account		None	L	T					
175.									
176. Account # 3									
177. Northern Funds Stock Index 529	A	Dividend	J	T					
178. William Blair Small Cap 529	A	Dividend	J	T					
179. Northern Funds International Equity 529	A	Dividend	J	T					
180. Main Stay Total Return Bond 529	A	Dividend	J	T					
181. DFA US Large Cap Value 529	A	Dividend	J	T					
182.									
183. Account # 4									
184. FidelityGovernment Cash Reserves	A	Dividend	K	T					
185. Fidelity International Small Cap	A	Dividend	J	T					
186.					Buy	07/10/18	K		
187. Polen Growth Fund Inst'l Shares	B	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 \$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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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)
188.					Buy	07/10/18	L		
189. Aristotle Value Equity Fund CL I	A	Dividend	L	T					
190.					Buy	07/10/18	L		
191. WCM Focused intl Growth Fund	B	Dividend	L	T					
192.					Buy	07/10/18	K		
193. Undiscovered MGRs Behavior Value CL I	B	Dividend	K	T					
194.					Buy	07/10/18	L		
195. Victory Sycamore Established Value I	A	Dividend	K	T					
196.					Buy	07/10/18	K		
197. American Beacon SND PT FLT RT INC	A	Dividend	K	T					
198.					Buy	07/10/18	K		
199. Ashmore Emerging MKT Corp. Debt	A	Dividend	K	T					
200.					Buy	07/10/18	K		
201. Vanguard Index FDS Vanguard Mid Cap	A	Dividend	K	T					
202.					Buy	07/11/18	K		
203. Vanguard Real Estate ETF	A	Dividend	K	T					
204.					Buy	07/11/18	K		

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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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)
205.									
206. Account #5									
207. Northern Funds Stock Index 529	A	Dividend	J	T					
208. William Blair Small Cap 529	A	Dividend	J	T					
209. Northern Funds International Equity 529	A	Dividend	J	T					
210. Main Stay Total Return Bond 529	A	Dividend	J	T					
211. DFA US Large Cap 529	A	Dividend	J	T					
212.									
213. Account # 6									
214. T. Rowe Price Growth Stock Inv	D	Dividend	J	T					
215. Vanguard Target Retirement 2040	A	Dividend	J	T					
216. Vanguard Target Retirement 2035	C	Dividend	J	T					
217.									
218. Account # 7									
219. Fidelity Cash Account		None	K	T					
220.					Distributed (part)	10/24/18	J		
221. JP Morgan ETF Trust Ultra Short	A	Dividend	K	T					

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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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/ Annemarie C. Axon**

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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One Columbus Circle, N.E.
Washington, D.C. 20544