

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><br><br>Newbern, Alistair E.                                                                                                                 | <b>2. Court or Organization</b><br><br>U.S. District Court, Middle District of Tennessee                                                                                                                                                                                                 | <b>3. Date of Report</b><br><br>03/26/2020                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>Magistrate Judge (FT)                                                         | <b>5a. Report Type (check appropriate type)</b><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2019<br>to<br>12/31/2019 |
| <b>7. Chambers or Office Address</b><br><br>Chambers of Magistrate Judge Alistair Newbern<br>U.S. Courthouse<br>801 Broadway<br>Nashville, TN 37203                                                       |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## 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. Executive Committee Member | Harry Phillips American Inn of Court |
| 2. Fellow                     | Tennessee Bar Foundation             |
| 3. Fellow                     | Nashville Bar Foundation             |
| 4. Board Member               | W.O. Smith Music School              |
| 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.          |                          |

Table with 2 columns: Name of Person Reporting, Date of Report. Row 1: Newbern, Alistair E., 03/26/2020

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of filing instructions )

A. Filer's Non-Investment Income

[X] NONE (No reportable non-investment income.)

Table with 3 columns: DATE, SOURCE AND TYPE, INCOME (yours, not spouse's). Rows 1-4 are empty.

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.)

[X] NONE (No reportable non-investment income.)

Table with 2 columns: DATE, SOURCE AND TYPE. Rows 1-4 are empty.

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.
(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)

[X] NONE (No reportable reimbursements.)

Table with 5 columns: SOURCE, DATES, LOCATION, PURPOSE, ITEMS PAID OR PROVIDED. Rows 1-5 are empty.

|                          |                |
|--------------------------|----------------|
| Name of Person Reporting | Date of Report |
| Newbern, Alistair E.     | 03/26/2020     |

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.       |             |            |

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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Individual Assets (H)                                                                                                   |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 2. Bank of America (cash)                                                                                                  |                                        | None                                   | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 3. IRA #1 (H)                                                                                                              |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 4. First Eagle Global Fd Cl A (SGENX)                                                                                      | B                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 5. ISHARES CORE S&P 500 ETF (IVV)                                                                                          | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 6. IRA #2 (H)                                                                                                              |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 7. IShares Russell 1000 Growth (IWF) (X)                                                                                   | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 8. IShares Russell 1000 Value (IWD)                                                                                        | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 9. Vanguard Intermed Term Corp Bd (VCIT) (Y)                                                                               |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 10. Brokerage Account #1 (H)                                                                                               |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 11. ML Bank Deposit Program (cash)                                                                                         | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 12. ISA People's United (cash)                                                                                             | A                                      | Interest                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 13. Vodafone Group Plc Shs Adr (VOD)                                                                                       | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 14. American Beacon The London Co Inc Eq Fd Cl A (ABCAX)                                                                   | B                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 15. First Eagle Global Fd Cl A (SGENX)                                                                                     | B                                      | Dividend                               |                                                |                                    | Sold                                      | 06/21/19         | K                        | D                       |                                                            |
| 16. Brokerage Account #2 (H)                                                                                               |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 17. Blackrock Liquidity Fund T Fund Instl. Cl. (TSTXX) (cash eq.)                                                          | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 08/15/19         | J                        |                         |                                                            |

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Newbern, Alistair E.

Date of Report

03/26/2020

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. Comm Services Select Sector (XLC)                                                                                      | A                                      | Dividend                                      | J                                              | T                                         | Buy                                             | 06/21/19                | J                               |                                |                                                                   |
| 19. Consumer Discretionary SPDR (XLY)                                                                                      | A                                      | Dividend                                      | J                                              | T                                         | Buy<br>(add'l)                                  | 06/21/19                | J                               |                                |                                                                   |
| 20. First Trust Dow Jones Internet Index Fund (FDN)                                                                        |                                        | None                                          | J                                              | T                                         | Buy                                             | 06/21/19                | J                               |                                |                                                                   |
| 21. Health Care SPDR (XLV)                                                                                                 | A                                      | Dividend                                      | J                                              | T                                         | Buy<br>(add'l)                                  | 06/21/19                | J                               |                                |                                                                   |
| 22. IShares NASDAQ Biotech ETF (IBB)                                                                                       | A                                      | Dividend                                      | J                                              | T                                         | Buy                                             | 06/21/19                | J                               |                                |                                                                   |
| 23. IShares IBOXX \$ Invt. Grade Corp Bond (LQD) (X)                                                                       | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 24. IShares MBS ETF (MBB) (X)                                                                                              | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 25. IShares Inc Core MSCI Emerg Mkts (IEMG)                                                                                | A                                      | Dividend                                      | J                                              | T                                         | Buy<br>(add'l)                                  | 06/21/19                | J                               |                                |                                                                   |
| 26. IShares Tr Core MSCI EAF (IEFA)                                                                                        | A                                      | Dividend                                      | J                                              | T                                         | Buy<br>(add'l)                                  | 06/21/19                | J                               |                                |                                                                   |
| 27. Real Estate Select Sector SPDR Fd. Shs (IEFA) (X)                                                                      | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 28. Sector SPDR Energy (XLE) (X)                                                                                           | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 29. Sector SPDR Utilities (XLU) (X)                                                                                        | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 30. SPDR US Financial Sector (XLF)                                                                                         | A                                      | Dividend                                      | J                                              | T                                         | Buy<br>(add'l)                                  | 06/21/19                | J                               |                                |                                                                   |
| 31. Vanguard Consumer Staples (VDC)                                                                                        | A                                      | Dividend                                      | J                                              | T                                         | Buy<br>(add'l)                                  | 06/21/19                | J                               |                                |                                                                   |
| 32. Vanguard Materials ETF (VAW) (X)                                                                                       | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 33. Vanguard Information Tech (VGT)                                                                                        | A                                      | Dividend                                      | J                                              | T                                         | Buy<br>(add'l)                                  | 06/21/19                | J                               |                                |                                                                   |
| 34. Vanguard Industrial (VIS)                                                                                              | A                                      | Dividend                                      | J                                              | T                                         | Buy<br>(add'l)                                  | 06/21/19                | J                               |                                |                                                                   |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35. Vanguard Short-Term Corp. Bond (VCSH) (X)                                                                              | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 36. Vanderbilt University 403(b) (H)                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 37. Hrdg Lvnr Intl Eq Is (HLMIX)                                                                                           | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 38. Jackson Square Smid Cpgr IS (DCGTX)                                                                                    | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 39. Vang Div Growth Inv (VDIGX)                                                                                            | B                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 40. Vanguard Inst Index Plus (VIIIX)                                                                                       | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 41. Loomis Core Pl Bd Y (NERYX)                                                                                            | B                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 42. Retirement Account #1 (H)                                                                                              |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 43. AF Europac Grth R4 (REREX)                                                                                             | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 44. MM Sel Midcap Gr I (MEFZX)                                                                                             | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 45. Vang Ftse Soc Idx Is (VFTSX)                                                                                           | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 46. Metwest Tot Rtn Bd P (MWTRX)                                                                                           | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 47. Vanguard Target 2040 (VFORX)                                                                                           | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 48. TIAA-CREF Vanderbilt University Defined Contribution Plan (H)                                                          |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 49. TIAA Traditional                                                                                                       | A                                      | Interest                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 50. TIAA-CREF UNC 401(A) ORP - UNC-CH (H)                                                                                  |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 51. TIAA Traditional                                                                                                       | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

**FINANCIAL DISCLOSURE REPORT**

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|                                 |                       |
|---------------------------------|-----------------------|
| <b>Name of Person Reporting</b> | <b>Date of Report</b> |
| Newbern, Alistair E.            | 03/26/2020            |

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Newbern, Alistair E.

Date of Report

03/26/2020

## 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/ **Alistair E. Newbern**

**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