

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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) Jordan, Robert L.	2. Court or Organization District Court - E.D. Tenn.	3. Date of Report 5/04/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior U.S. District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address 800 Market Street Suite 141 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.		
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. 2019	Tennessee Consolidated Retirement System Judicial Retirement	\$16,023.90
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.*

(Dollar amount not required except for honoraria.)

☒

NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
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.)

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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Name of Person Reporting

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)

1. AT&T Inc.	A	Dividend	J	T					
2. Truist Financial (formerly BB&T)	D	Dividend	N	T					
3. BP PLC	A	Dividend	J	T					
4. Comcast	A	Dividend	K	T					
5. DowDuPont Inc.	A	Dividend	K	T					
6. Dell		None	J	T					
7. First Horizon	D	Dividend	L	T					
8. General Electric	A	Dividend	K	T					
9. IBM	A	Dividend	J	T					
10. Lumentum Holdings, Inc.		None	K	T					
11. Viavi Solutions, Inc.		None	J	T					
12. John Hancock Small Cap		None	K	T					
13. Johnson & Johnson	A	Dividend	J	T					
14. Medtronic PLC	A	Dividend	K	T					
15. NASDAQ - 100		None	J	T					
16. Pfizer	A	Dividend	K	T					
17. Putnam Global Growth	C	Dividend	K	T					

1 Income Gain Codes: (See Columns B1 and D4)	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	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
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18. Guggenheim StylePlus Large Core - A	B	Dividend	J	T					
19. Truist Financial (formerly SunTrust Bank)	E	Dividend	P1	T					
20. Twin Cities Financial, Inc.	A	Dividend	K	T					
21. Cohen & Steers Select Infrastructure	A	Dividend	K	T					
22. Vanguard Growth Index Fund	B	Dividend	M	T					
23. Vanguard 500 Index Fund	C	Dividend	M	T					
24. Vanguard Mid Cap Index Fund	C	Dividend	M	T					
25. Vanguard Small Cap Value Fund	C	Dividend	M	T					
26. Vanguard Health Care Fund	B	Dividend	M	T					
27. INTEREST, CDS, SAVINGS, ETC.									
28. Regions Bank	B	Interest	L	T					
29. Citizens Bank of Blount County	A	Interest	J	T					
30. First Horizon (formerly First Tennessee)	B	Interest	N	T					
31. Home Federal	A	Interest	J	T					
32. Truist Financial (formerly SunTrust)	D	Interest	N	T					
33. Pinnacle	D	Interest	N	T					
34. FirstBank	D	Interest	O	T					

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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	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)
35.									
36. Vanguard Int'l Value Fund	B	Dividend	L	T					
37. Vanguard Prime Cap Core Fund	B	Dividend	M	T					
38. Atmos Energy	B	Dividend	L	T					
39.									
40. Merrill Lynch Custodian IRA									
41. - Regions Bank	A	Dividend	J	T					
42. - General Electric	A	Dividend	K	T					
43. - Johnson & Johnson	A	Dividend			Sold	12/15/19	K	B	
44. - Bank of America	A	Interest	J	T					
45. - PerkinElmer	A	Dividend	K	T					
46. - Truist Financial (formerly SunTrust Bank)	A	Dividend	J	T					
47. - Tanger Factory Outlet	B	Dividend	K	T					
48. - Microsoft Corp.	B	Dividend	L	T					
49. - Ingersoll-Rand	A	Dividend	K	T					
50. - Medtronic PLC	A	Dividend	K	T					
51.									

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52. DEFERRED COMPENSATION - STATE OF TENNESSEE									
53. - Plan I - 457									
54. Fidelity Puritan Fund	C	Distribution	K	T					
55. Fidelity International Discovery	C	Distribution	K	T					
56. Fidelity OTC Portfolio	D	Distribution	L	T					
57. Fidelity Contrafund	D	Distribution	L	T					
58. Voya Fixed Fund	A	Distribution	K	T					
59. - Plan II - 401K									
60. Voya VP Growth and Income	D	Distribution	M	T					
61. Vanguard Institutional Index Fund Institutional Plus	D	Distribution	L	T					
62. Voya Fixed Fund	A	Distribution	J	T					
63.									
64. Ingersoll-Rand	A	Dividend	M	T					
65. Verizon Communications	A	Dividend	J	T					
66. TN Valley Fin. Hldr. Inc.	A	Dividend	J	T					
67. Caterpillar Inc.	A	Dividend	K	T					
68. TE Connectivity	A	Dividend	J	T					

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69. Vanguard REIT	B	Dividend	K	T					
70. DEERE CO.	A	Dividend	K	T					
71. Foothills B&T	D	Interest	N	T					
72. Alcoa FCU	A	Interest	J	T					
73. Home Depot	B	Dividend	K	T					
74. Cisco Sys	A	Dividend	K	T					
75. Proctor & Gamble	A	Dividend	K	T					
76. TN Engy. Bond	A	Interest	K	T					
77. Exxon-Mobil	B	Dividend	K	T					
78. Genl-Dyn	A	Dividend	K	T					
79. Merck	A	Dividend	J	T					
80. Kroger	A	Dividend	K	T					
81. Virtus Inv. Ptrs.	A	Dividend	J	T					
82. Bristol-Myers Squibb	A	Dividend	J	T					
83. Johnson Controls	A	Dividend	J	T					
84. Boeing Co.	A	Dividend	K	T					
85. TN ENG ACQ CRP	B	Interest	L	T					

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86. Texas Inst.	A	Dividend	K	T					
87. Pentair Ltd.	A	Dividend	J	T					
88. Renasant Bank	D	Interest	N	T					
89. The Mosaic Co.	A	Dividend	J	T					
90. AIG	A	Dividend	J	T					
91. Stewart County, Tennessee, Bonds	B	Interest	K	T					
92. Mallinckrodt PLC		None	J	T					
93. Allegrion	A	Dividend	J	T					
94. Weyerhaeuser	A	Dividend	J	T					
95. Walgreen Co.	A	Dividend	K	T					
96. ESC Seventy-Seven (formerly Seventy-Seven Energy, Inc.)		None	J	T					
97. Merrill Lynch CMA Money Fund	A	Interest	M	T					
98. Ford Motor Co.	A	Dividend	J	T					
99. Adient PLC	A	Dividend	J	T					
100. Hess Corp.	A	Dividend	K	T					
101. Tanger Factory Outlet	A	Dividend	J	T					
102. United Tech. Corp.	A	Dividend	K	T					

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103. Simmons Bank CD	D	Interest	N	T					
104. nVent Electric PLC	D	Dividend	J	T					
105. Occidental Petroleum Corp.	A	Dividend	K	T	Buy	08/22/19	K		
106. Y-12 FCU	C	Interest	N	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

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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/ **Robert L. Jordan**

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