

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) Emerson, George W.	2. Court or Organization U.S. Bankruptcy Court, Western District of Tennessee	3. Date of Report 05/11/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address Suite 675, One Memphis Place 200 Jefferson Avenue Memphis, Tennessee 38103		
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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Emerson, George W.

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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.		
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. 2019	Delta Materials Handling
2. 2019	The Costa Company, LLC
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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Emerson, George W.	05/11/2020

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.		

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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. Investment Acct #1 (Charles Schwab & Co. Inc. - SEP-IRA) (H)									
2. Berkshire Hathaway Inc Del Cl B New (BRKB)		None	L	T					
3. Dodge & Cox Stock Fund (DODGX)	A	Dividend			Sold	05/02/19	K	E	
4.	B	Distribution							
5. Fidelity Advisor Strategic Income (FSRIX)	A	Dividend			Sold	01/02/19	J		
6. Fidelity Advisor New Insights Fund Class 1 (FINSX)	C	Distribution			Sold	12/13/19	L	E	
7.	A	Dividend							
8. Standard & Poors Depository Receipts (SPY)	A	Dividend			Sold	12/13/19	K	E	
9. Carmax Inc. Com (KMX)		None			Sold	01/02/19	J	D	
10. Fidelity Advisor Mid Cap II Fund (FIIMX)	A	Distribution			Sold	05/02/19	J	B	
11. Yum Brands Inc Com (YUM)	A	Dividend			Sold	02/20/19	K	D	
12. Pepsico Inc (PEP)	A	Dividend			Sold	02/20/19	K	D	
13. Wells Fargo & Co New Com (WFC)	A	Dividend			Sold	02/20/19	K	D	
14. Fedex Corp Com (FDX)	A	Dividend			Sold	05/02/19	K	D	
15. PGIM Short Term Corp Bond (PIFZX) *See Part VIII*	A	Dividend	J	T	Buy (add'l)	01/02/19	J		
16.					Sold (part)	05/02/19	K	D	
17.					Buy (add'l)	12/13/19	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)
18. Vanguard Index FDS Vanguard Value ETF (VTV)	A	Dividend			Sold	12/13/19	K	E	
19. Vanguard Index FDS Vanguard Growth ETF (VUG)	A	Dividend	M	T	Sold (part)	05/02/19	J	B	
20.					Buy (add'l)	12/13/19	K		
21. Schwab Govt Money Fund (SWGXX)	A	Dividend	J	T					
22. Oakmark Intl FD Class I (OAKIX)	B	Dividend	M	T					
23. Wisdomtree Smallcap Earnings ETF (EES)	A	Dividend			Sold	12/13/19	J	C	
24. Morgan Stanley Emerging Mkts Debt CF (MSD)	A	Dividend			Sold	01/02/19	J		
25. CVS Health Corp. (CVS)	A	Dividend			Sold	05/02/19	J		
26. Eaton Vance Global Macro Abs Ret I (EIGMX)	A	Dividend	J	T					
27. Baron Emrg Mkts FD Inst (BEXIX)	A	Dividend	K	T	Sold (part)	12/13/19	K	B	
28. IShares Core S&P Small-Cap ETF (IJR)	A	Dividend	K	T	Buy (add'l)	05/02/19	J		
29.					Buy (add'l)	12/13/19	J		
30. Cohen & Steers Real Estate Secs I (CSDIX)	A	Dividend			Sold	06/20/19	K	C	
31. DWS Enhanced CMDY Strat (SKIRX)	A	Dividend			Buy (add'l)	01/02/19	J		
32.					Buy (add'l)	05/02/19	J		
33.					Sold (part)	06/20/19	K		
34.					Sold	08/02/19	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	
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35. Lord Abbett Floating (LFRIX)	A	Dividend	J	T					
36. Schwab Short-Term Bond Index Fund (SWSBX)	A	Dividend	K	T	Sold (part)	01/02/19	J	A	
37.					Buy (add'l)	05/02/19	J		
38.					Buy (add'l)	12/13/19	J		
39. Royce Intl Premier FD (RIPNX)	A	Dividend	K	T					
40. Templeton Global Income CF (GIM)	A	Dividend			Sold	08/02/19	J	A	
41. PIMCO INCM INST CL (PIMIX)	A	Dividend	J	T	Buy	01/02/19	J		
42.					Buy (add'l)	05/02/19	J		
43. Carillon Scout Mid Cap (UMBMX)	A	Dividend	K	T	Buy	01/02/19	K		
44.	A	Distribution			Buy (add'l)	05/02/19	J		
45. Schwab US Large Cap Value ETF (SCHV)	B	Dividend			Buy	01/02/19	J		
46.					Buy (add'l)	01/02/19	J		
47.					Buy (add'l)	02/20/19	K		
48.					Buy (add'l)	05/02/19	J		
49.					Buy (add'l)	08/02/19	J		
50.					Sold	12/13/19	K	D	
51. Goldman Sachs ACTVBT Intereqy ETF (GSIE)	A	Dividend	J	T	Buy	01/02/19	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
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52.					Buy (add'l)	08/02/19	J		
53. Templeton Emerging Market Income CF (TEI)	A	Dividend			Buy	01/02/19	J		
54.					Sold	08/02/19	J	A	
55. Goldman Sachs ACTVBETA US Lrg ETF (GSLC)	A	Dividend	K	T	Buy	02/20/19	K		
56.					Buy (add'l)	12/13/19	K		
57. Lord Abbett Short Dur Income FD CL I (LLDYX)	A	Dividend	J	T	Buy	05/02/19	J		
58. VanEck Vectors Morningstar Wide Moat ETF (MOAT)	B	Dividend	L	T	Buy	05/02/19	L		
59.					Buy (add'l)	12/13/19	K		
60. Nuance Concentrated Value Long Short Inst (NCLSX)	A	Dividend	K	T	Buy	05/02/19	K		
61.	A	Distribution							
62. Schwab Short Term US Treasury ETF (SCHO)	A	Dividend	K	T	Buy	06/20/19	K		
63.					Buy (add'l)	08/02/19	J		
64.					Buy (add'l)	12/13/19	J		
65. TransAmerica Emrg Mkts Debt FD CL I (EMTIX)	A	Dividend	J	T	Buy	08/02/19	J		
66.					Buy (add'l)	12/13/19	J		
67. Schwab Funda Emg Mkts Large Com ETF (FNDE)		None	K	T	Buy	12/13/19	K		
68. Schwab Fundamental US Large Co ETF (FNDX)		None	L	T	Buy	12/13/19	L		

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☐ NONE (No reportable income, assets, or transactions.)

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	(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)
69. Paragon Affinity Money Mkt Savings	B	Interest	L	T					
70. Investment Acct #2 (Charles Schwab & Co. Inc. - IRA Contributory) (H)									
71. Templeton Global Bond Fund Class A (TPINX)	A	Dividend	J	T	Buy (add'l)	12/13/19	J		
72. Schwab Govt Money Fund (SWGXX)	A	Dividend	J	T					
73. Lord Abbett Short Dur Income FD CL A (LALDX)	A	Dividend	J	T					
74. Carillon Scout Mid Cap FD I (UMBMX)	A	Dividend	J	T					
75.	A	Distribution							
76. Lord Abbett Floating (LFRAX)	A	Dividend	J	T					
77. Schwab Fundamental US Large ETF IV (FNDX)	A	Dividend	K	T	Buy (add'l)	12/13/19	J		
78. Schwab US Large Cap Value ETF (SCHV)	A	Dividend			Sold	12/13/19	K	C	
79. Schwab US Large Cap Growth ETF (SCHG)	A	Dividend	K	T	Sold (part)	12/13/19	J	A	
80. Baron Emrg Mkts FD (BEXFX)	A	Dividend	J	T	Sold (part)	12/13/19	J	A	
81. Schwab Short Term Bond Index Fund (WSBX)	A	Dividend	J	T					
82. Oakmark Intl Fund Ind (OAKIX)	A	Dividend	J	T					
83. Deutsche Enhanced CMDY STRAT INST (SKIRX)	A	Dividend			Sold	06/20/19	J		
84. Eaton Vance Global Macro Abs Ret A (EAGMX)	A	Dividend	J	T					
85. Cohen & Steers Real Estate Secs I (CSDIX)	A	Dividend			Sold	06/20/19	J	A	

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
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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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NONE (No reportable income, assets, or transactions.)

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	(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)
86. Schwab Fundamental Intl Small Com ETF (FNDC)	A	Dividend	J	T					
87. Schwab International Equity ETF (SCHF)	A	Dividend			Sold	12/13/19	J		
88. PGIM Short Term Corp BD FD CL Z (PIFZX)	A	Dividend	J	T	Buy (add'l)	12/13/19	J		
89. Schwab Fundamental US Small Com ETF (FNDA)	A	Dividend			Sold	12/13/19	J	A	
90. Nuance Concentrated Value Long Short Inv (NCLIX)	A	Distribution	J	T	Buy	06/20/19	J		
91. Schwab Short Term US Treasury ETF (SCHO)	A	Dividend	J	T	Buy	06/20/19	J		
92. Schwab Funda Emg Mkts Large Com ETF (FNDE)		None	J	T	Buy	12/13/19	J		
93. IShares Core S&P Small Cap ETF (IJR)	A	Dividend	J	T	Buy	12/13/19	J		
94. VanEck Vectors Morningstar Wide Moat ETF (MOAT)	A	Dividend	J	T	Buy	12/13/19	J		
95. Goldman Sachs ACTVBT Intereqy ETF (GSIE)	A	Dividend	J	T	Buy	12/13/19	J		
96. Goldman Sachs ACTVBETA US Lrg ETF (GSLC)	A	Dividend	J	T	Buy	12/13/19	J		
97. Mass Mutual (401K) - MFS Lifetime 2040 R2	C	Dividend	M	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.)*

Part VII. Investments and Trusts

- The individual assets of "Investment Acct #1 (Charles Schwab & Co. Inc. - SEP-IRA) (H)" are listed at lines 2 - 68. The assets in this account are separate from the assets listed under "Investment Acct #2 (Charles Schwab & Co. Inc.- IRA Contributory) (H)."

- Paragon Affinity Money Mkt Savings was listed at line number 42 on last year's report. Because this asset is a separate account and not an individual asset within Investment Acct #1, it is now listed at line number 69, following the assets listed for Investment Acct #1.

- The individual assets of "Investment Acct #2 (Charles Schwab & Co. Inc. - IRA Contributory) (H)" are listed at lines 71 - 96.

- Mass Mutual (401K) - MFS Lifetime 2040 R2 was listed at line number 84 on last year's report. Because this asset is a separate account and not an individual asset within Investment Acct #2, it is now listed at line number 97, following the assets listed for Investment Acct #2.

- Line #15: This asset was formerly known as Prudential Short-Term Bond.

Part VII. Investments and Trusts

The following assets did not generate income during the reporting period:

- Line 2: Berkshire Hathaway Inc Del Cl B New (BRKB)

- Line 9: Carmax Inc Com (KMX)

- Line 67: Schwab Funda Emg Mkts Large Com ETF (FNDE)

- Line 68: Schwab Fundamental US Large Co ETF (FNDX)

- Line 92: Schwab Funda Emg Mkts Large Com ETF (FNDE)

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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/ **George W. Emerson**

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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