

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) Richardson, Eli J.	2. Court or Organization U.S. District Court for the Middle District of Tennessee	3. Date of Report 05/15/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge (active status)	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 United States District Court for the Middle District of Tennessee 801 Broadway, Suite 824 Nashville, Tennessee 37203		
IMPORTANT NOTES: <i>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>		

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. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____
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. 2013	Bass, Berry & Sims Retirement & Savings Plan with former law firm, no control
2. 2010	Federal Employees Retirement System Basic Benefit annuity; payable as early as age 56 and 6 months
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.		
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	self-employed educational consultant
2. 2019	Cumberland Trust & Investment Company
3. 2019	Down Syndrome Association of Middle Tennessee
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. Fifth Third Bank	Mortgage of rental property, Nashville, TN	M
2. Nissan Motor Acceptance Corporation	auto loan (exceeding amount of purchase price)	K
3. Pinnacle Bank	HELOC	L
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)	(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. Rental property, Nashville, TN (2017, \$318,000)	E	Rent	N	R					
2. AXA Moderate-Plus Allocation Fund		None	J	T					
3. 529 acct: American Funds Washington Mutual Investors Fund Class 529-A	B	Dividend	L	T	Redeemed (part)	08/30/19	J	C	
4.					Buy (add'l)	07/30/19	J		
5.					Buy (add'l)	06/28/19	J		
6.					Buy (add'l)	05/30/19	J		
7.					Buy (add'l)	04/30/19	J		
8.					Buy (add'l)	03/30/19	J		
9.					Buy (add'l)	02/28/19	J		
10.					Buy (add'l)	01/30/19	J		
11. AMG/Aston Managers Fairpointe Mid Cap Fund Class		None			Sold	10/10/19	J		
12.					Sold (part)	09/13/19	J		
13. Brown Capital Small Company Fund Institutional Class		None			Sold	10/10/19	J	B	
14.					Sold (part)	09/18/19	J	A	
15. Cohen & Steers Realty Income Fund Institutional Class	A	Dividend			Sold	10/10/19	J	B	
16.					Sold (part)	09/18/19	J	A	
17. Deutsche Enhanced Commodity Strategy Fund Institutional Class	A	Dividend			Sold	10/10/19	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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☐ 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.					Sold (part)	09/24/19	J		
19. Fidelity Advisor Total Bond Fund Class I	A	Dividend			Sold	10/10/19	J	A	
20.					Sold (part)	09/24/19	J		
21. FMI International Fund Institutional Class		None			Sold	10/10/19	J	A	
22.					Sold (part)	09/16/19	J		
23. PIMCO Income Fund Class P	A	Dividend			Sold	10/10/19	K		
24.					Sold (part)	10/02/19	J		
25.					Sold (part)	08/19/19	J		
26. iShares Core S & P Mid-Cap ETF	A	Dividend			Sold	10/15/19	J		
27.					Sold (part)	10/10/19	J	B	
28.					Sold (part)	10/10/19	J		
29.									
30. iShares Core S & P 500 ETF	B	Dividend	J	T	Sold (part)	10/15/19	J		
31.					Sold (part)	10/10/19	L	B	
32. American Funds New World Fund Class F-2		None			Sold	10/10/19	K	C	
33.					Sold (part)	09/18/19	J	A	
34. Oakmark Select Fund Investor Class		None			Sold	10/10/19	K		

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3 Value Method Codes (See Column C2)					

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35.					Sold (part)	09/15/19	J		
36. Schwab International Equity ETF	A	Dividend			Sold	10/15/19	J		
37.					Sold (part)	10/10/19	K	C	
38.					Sold (part)	09/19/19	J		
39.					Sold (part)	08/19/19	J	A	
40. Vanguard Total Bond Market ETF	A	Dividend			Sold	10/15/19	J		
41.					Sold (part)	10/10/19	K	A	
42.					Sold (part)	10/01/19	J		
43.					Sold (part)	08/19/19	J	A	
44. Northwestern Mutual CompLife Insurance policy	A	Dividend			Redeemed	09/24/19	J	C	
45. Northwestern Mutual CompLife Insurance policy	A	Dividend			Redeemed	05/20/19	J	C	
46. Northwestern Mutual 90 Life Insurance policy	A	Dividend			Redeemed	09/24/19	K	D	
47. Northwestern Mutual 90 Life Insurance policy	A	Dividend			Redeemed	09/24/19	K	D	
48. Pinnacle Financial Partners Cash Accounts	A	Interest	J	T					
49. General Money Market Fund Class B	A	Dividend			Buy (add'l)	01/07/19	J		
50.					Redeemed (part)	01/22/19	J	A	
51.					Buy (add'l)	04/16/19	J		

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52.					Redeemed (part)	04/22/19	J	A	
53.					Buy (add'l)	04/24/19	J		
54.					Buy (add'l)	05/23/19	K		
55.					Redeemed (part)	06/06/19	J	A	
56.					Redeemed (part)	06/07/19	J	A	
57.					Buy (add'l)	07/17/19	J		
58.					Redeemed (part)	07/22/19	J	A	
59.					Redeemed	8/19/19	J	A	
60.					Redeemed	08/19/19	K	A	
61. Vanguard Emerging Markets Stock Index Fund	A	Dividend			Sold	10/15/19	J		
62.					Sold (part)	10/10/19	K		
63.					Sold (part)	09/12/19	J		
64. PIMCO Commodities Plus Strategy Fund Class P	A	Dividend			Sold	10/10/19	J		
65.					Sold (part)	09/24/19	J		
66. Goldman Sachs International Small Cap Insights Fund		None			Sold	10/10/19	J		
67.					Sold (part)	09/16/19	J		
68. Northwestern Mutual 90 Life Insurance policy		None			Buy	06/06/19	J		

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69.					Redeemed	09/24/19	J	A	
70. Vanguard 2030 Retirement Fund		None			Redeemed	10/19/19	N		
71. Vanguard Short-Term Inflation Protected Securities Index ETF	A	Dividend			Sold	10/15/19	J	A	
72.					Sold (part)	10/10/19	J		
73.					Sold (part)	09/16/19	J		
74.					Buy	08/19/19	J		
75. iShares Core S & P Small-Cap ETF	A	Dividend			Sold	10/15/19	J		
76.					Sold (part)	10/10/19	J		
77.					Sold (part)	10/10/19	J		
78.					Buy	08/19/19	J		
79. Vanguard Total Stock Market Index Admiral Class	A	Dividend	K	T	Buy (add'l)	10/18/19	J		
80.					Buy (add'l)	10/03/19	J		
81.					Buy (add'l)	10/02/19	J		
82.					Buy (add'l)	09/25/19	J		
83.					Buy (add'l)	09/23/19	J		
84.					Buy (add'l)	09/19/19	J		
85.					Buy (add'l)	09/17/19	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

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.)

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	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.					Buy (add'l)	09/16/19	J		
87.					Buy	09/13/19	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

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

Part II: I divested my interest in the previously reported agreement, the Bass, Berry & Sims Retirement & Savings Plan, when I rolled over its contents from the Vanguard Target Retirement 2030 Fund, as reflected in Part VII, into the Thrift Savins Plan.

Part VII: The rollover of the Vanguard Target Retirement 2030 Fund in to the Thrift Savings Plan is reflected here.

Part VII: I surrendered the five Northwestern Mutual Comp Life Insurance policies; I seleceted "redeemed" as the type of transaction because it seemed to be the best fit among the categories available.

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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/ **Eli J. Richardson**

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