

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) Kallon, Abdul K.	2. Court or Organization Northern District of Alabama	3. Date of Report 05/15/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) 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 419 Hugo Black United States Courthouse 1729 Fifth Avenue North Birmingham, AL 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Director	Children's Village Board of Directors
2. Chair	Beta Kappa Boule Charitable Foundation
3. Director	Alabama Law Foundation
4. Director	Bethel Baptist Historic Renovation Foundation
5. Director	Habitat for Humanity Birmingham
6. Advisor	Robert R. Meyer Foundation Advisory Committee
7. Director	Sister Cities Commission of Birmingham

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.	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Kallon, Abdul K.

Date of Report

05/15/2020

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	United States Federal Courts -- salary
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. Duke Law School	May 20 - June 14, 2019	Durham, NC	Education	Tuition and Room and Board
2. American Consitution Society	November 15 - 16, 2019	Las Vegas, NV	Education	Room and Board
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Kallon, Abdul K.	05/15/2020

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.	Sallie Mae	Co-signer of student loans	K
2.			
3.			
4.			
5.			

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Name of Person Reporting

Kallon, Abdul K.

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05/15/2020

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 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. Regions Bank Account 1	A	Interest	J	T					
2. Regions Bank Account 2	A	Interest	J	T					
3. Regions Bank Account 3	A	Interest	J	T					
4. Bank of America Account	A	Interest	J	T					
5. American Express Bank	A	Interest	K	T					
6. Goldman Sachs Marcus Bank	B	Interest	M	T					
7. Rental Property #2, Birmingham, AL (2015 \$617,000)	D	Rent	O	R					
8. Merrill Edge CMA Account (H)									
9. --Amazon.Com		None	K	T					
10. --Berkshire Hathaway Class B		None	M	T	Buy (add'l)	05/10/19	K		
11. --Diamondback Engery		None			Sold	01/23/19	J	A	
12. --Facebook		None			Sold	01/23/19	K	B	
13. --General Electric	A	Dividend	J	T					
14. --Google Common Stock -- Class A		None	K	T					
15. --Google Class C		None	L	T					
16. --Mueller Water Products	A	Dividend	J	T					
17. --Vulcan Materials Common Stock	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	

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)
18. --WABTech	A	Dividend			Spinoff (from line 13)	03/01/19	J		
19.					Sold	07/30/19	J	A	
20. --Merril Lynch Direct Deposit	A	Interest	J	T					
21. Schwab Brokerage IRA (H)									
22. --Vanguard 500 Index Fund	D	Dividend	N	T					
23. --Vanguard Mid-Cad Index Fund	C	Dividend	M	T					
24. --Vanguard Small Cap Growth Index Fund	B	Dividend	N	T					
25. --Vanguard Total Int'l Stock Index Fund	D	Dividend	M	T					
26. --Vanguard Wellington Fund	D	Dividend	N	T					
27. Vanguard Roth IRA (H)									
28. --Vanguard 500 Index Fund	B	Dividend	L	T					
29. --Vanguard Total Int'l Stock Index Fund	B	Dividend	L	T					
30. Vanguard Brokerage Account (H)									
31. --Total Stock Market Index Fund	B	Dividend	M	T					
32. Merrill Edge Account (H)									
33. --Alibaba		None	K	T					
34. --Amazon		None	N	T	Buy (add'l)	01/29/19	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

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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)	(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)
35.					Buy (add'l)	11/27/19	J		
36. --Apple	A	Dividend	K	T	Sold (part)	02/14/19	J		
37. --Bank of America	A	Dividend	K	T					
38. --Buckeye Partners	B	Dividend			Distributed	11/01/19	J		
39. --China Mobile	A	Dividend	J	T					
40. China Telecom	A	Dividend	J	T					
41. --Cisco	A	Dividend	J	T					
42. --Clearbridge Aggressive Growth Fund	D	Distribution	K	T					
43. --Clearbridge Large Cap Growth	C	Distribution	K	T					
44. --Clearbridge Large Cap Value	D	Distribution	K	T	Sold (part)	08/15/19	K	D	
45. --DSW	A	Dividend	J	T					
46. --Dunkin	A	Dividend	J	T	Sold (part)	04/25/19	J		
47. --Ebay	A	Dividend	J	T	Buy	10/25/19	J		
48. --Facebook		None	L	T	Buy (add'l)	04/26/19	J		
49. --First Solar		None	J	T					
50. --Ford	A	Dividend	J	T					
51. --Goldman Sachs	A	Dividend	J	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	

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52. --Google Class A		None	L	T					
53. --Google Class C		None	L	T	Buy (add'l)	02/04/19	J		
54.					Buy (add'l)	05/07/19	J		
55. --General Electric	A	Dividend	J	T					
56. --JP Morgan Chase	A	Dividend	J	T					
57. --Lord Abbett Intermediate Tax Free	A	Dividend	J	T					
58. --Nissan	A	Dividend	J	T					
59. --Pfizer	A	Dividend	J	T					
60. --Proctor & Gamble	A	Dividend	J	T					
61. --Regions	A	Dividend	J	T					
62. --Republic Bancorp	A	Dividend	K	T					
63. --Teladoc		None	J	T	Buy	03/15/19	J		
64.					Sold	03/21/19	J	A	
65.					Buy	04/01/19	J		
66.					Sold	04/08/19	J	B	
67.					Buy	04/16/19	J		
68.					Sold	05/01/19	J	B	

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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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
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69.					Buy	06/03/19	J		
70.					Sold	06/24/19	J	B	
71.					Buy	07/30/19	J		
72.					Sold	08/05/19	J	B	
73.					Buy	08/23/19	J		
74.					Sold	09/16/19	J	B	
75.					Buy	10/07/19	J		
76.					Buy (add'l)	10/25/19	J		
77.					Buy (add'l)	11/15/19	J		
78.					Buy (add'l)	12/18/19	J		
79.					Sold (part)	12/20/19	J	B	
80. --Tesla		None	J	T					
81. --Tocqueville Int'l Value	A	Dividend	J	T					
82. --Toyota	A	Dividend	J	T					
83. --Twitter		None	J	T					
84. --Vanguard FTSE Emerging	A	Dividend	J	T					
85. --Vanguard Dividend Growth	A	Dividend	J	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
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M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
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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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86. --Vanguard 500 Index	B	Dividend	L	T	Buy (add'l)	01/08/19	J		
87.					Buy (add'l)	01/23/19	J		
88.					Buy (add'l)	02/05/19	J		
89.					Buy (add'l)	02/20/19	J		
90.					Buy (add'l)	03/05/19	J		
91.					Buy (add'l)	03/19/19	J		
92.					Buy (add'l)	04/09/19	J		
93.					Buy (add'l)	04/23/19	J		
94.					Buy (add'l)	05/07/19	J		
95.					Buy (add'l)	05/21/19	J		
96.					Buy (add'l)	06/04/19	J		
97.					Buy (add'l)	06/18/19	J		
98.					Buy (add'l)	07/09/19	J		
99.					Buy (add'l)	07/23/19	J		
100.					Buy (add'l)	08/06/19	J		
101.					Buy (add'l)	08/20/19	J		
102.					Buy (add'l)	09/04/19	J		

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(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		

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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	(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)
103.					Buy (add'l)	09/17/19	J		
104.					Buy (add'l)	10/08/19	J		
105.					Buy (add'l)	10/22/19	J		
106.					Buy (add'l)	11/05/19	J		
107.					Buy (add'l)	11/19/19	J		
108.					Buy (add'l)	12/03/19	J		
109.					Buy (add'l)	12/17/19	J		
110. --Vanguard Small Cap	A	Dividend	J	T					
111. --Verizon	A	Dividend	J	T					
112. --WAB Tech	A	Dividend	J	T	Spinoff (from line 55)	03/01/19	J		
113. Wells Fargo Small Cap World Fund	A	Dividend	L	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

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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/ Abdul K. Kallon

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