

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) Axon, Annemarie C.	2. Court or Organization U.S.District Court, Northern District of Alabama	3. Date of Report 04/26/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S.District Judge, Active	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 1729 5th Ave North Birmingham, Alabama 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Board Member	Mountain Brook City Schools Foundation
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 14

Name of Person Reporting

Axon, Annemarie C.

Date of Report

04/26/2021

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	Starnes Davis Florie, self-employed attorney
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. Antonin Scalia Law School- George Mason University	04/25/2019-4/26/2019	Washington DC	attend Scalia Forum Conference	Transportion, food, lodging
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 14

Name of Person Reporting

Axon, Annemarie C.

Date of Report

04/26/2021

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1. U.S. Department of Education	loan	J
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 14

Name of Person Reporting

Axon, Annemarie C.

Date of Report

04/26/2021

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. Aristotle Value Equity Fund		None			Sold	05/07/19	L		
2. AQR U.S. Defensive Equity Fund Cl N	A	Dividend	K	T	Buy	05/23/19	K		
3. Duke Energy Corp	A	Dividend			Sold	06/17/19	J	A	
4. Ashmore Emerging Markets Corporate Debt Fund Cl I	B	Dividend			Sold (part)	05/07/19	J	A	
5.					Sold	08/23/19	K	A	
6. Fidelity Capital & Income	A	Dividend	K	T	Buy	08/26/19	K		
7. Fidelity Cash Reserves	B	Dividend	J	T					
8. General Dynamics Corp	A	Dividend			Sold (part)	04/09/19	J		
9.					Sold	06/03/19	J		
10. Hasbro Inc Com	A	Dividend			Sold	04/09/19	J		
11. Fidelity International Small Cap		None			Sold	08/23/19	K		
12. Goldman Sachs Muni Income Inst'l	A	Int./Div.			Buy	01/10/19	K		
13.					Buy (add'l)	01/31/19	J		
14.					Buy (add'l)	02/28/19	J		
15.					Buy (add'l)	03/29/19	J		
16.					Buy (add'l)	04/30/19	J		
17.					Buy (add'l)	05/31/19	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 14

Name of Person Reporting

Axon, Annemarie C.

Date of Report

04/26/2021

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.					Sold	06/17/19	K	A	
19. Maingate MLP Fund Cl I	B	Dividend			Sold	05/07/19	K		
20. IShares Edge Msci Min Vol Emerging Markets ETF	A	Dividend	K	T	Buy	01/10/19	K		
21.					Buy (add'l)	05/07/19	J		
22.					Sold (part)	08/23/19	J		
23. IShares Tr Msci USA Minimum Volatility Index Fund	B	Dividend	M	T	Buy	02/15/19	K		
24.					Buy (add'l)	05/07/19	K		
25.					Sold (part)	07/30/19	J	A	
26.					Buy (add'l)	08/23/19	K		
27. JPMorgan Ultra-Short Income ETF	A	Dividend			Buy (add'l)	05/07/19	K		
28.					Sold	06/17/19	K	A	
29. JP Morgan Strategic Income Opportunities Fund Cl S		None	L	T	Buy	02/15/19	J		
30.					Buy (add'l)	05/07/19	L		
31. Lord Abbett Bond Debenture Cl A	A	Dividend	K	T	Buy	08/26/19	K		
32. Newmarket Corp	A	Dividend			Sold (part)	04/24/19	J		
33.					Sold (part)	07/30/19	J		
34.					Sold	08/12/19	J		

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)					

FINANCIAL DISCLOSURE REPORT

Page 6 of 14

Name of Person Reporting

Axon, Annemarie C.

Date of Report

04/26/2021

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. Polen Growth Fund Inst'l cl	A	Dividend	M	T	Sold (part)	07/18/19	J	B	
36. FDIC Bank Deposit Sweep Program	A	Int./Div.	K	T					
37. Undiscovered Managers Behavioral In	D	Dividend	M	T					
38. Vanguard Mid Cap	A	Dividend	L	T					
39. Vanguard REIT Index ETF		None	L	T	Sold (part)	01/14/19	J		
40.					Sold (part)	07/18/19	J	A	
41. WCM Focused Internatioal Growth Fund	A	Dividend	M	T	Sold (part)	07/18/19	J	A	
42. Altria Group Inc	A	Dividend	J	T					
43. Apple Inc	A	Dividend	J	T	Sold (part)	07/30/19	J	A	
44. Berkshire Hathaway Inc Del Cl B		None	J	T	Buy (add'l)	09/09/19	J		
45. Blackrock Inc	A	Dividend	J	T	Sold (part)	07/18/19	J	A	
46. Carnival Corp	A	Dividend	J	T	Sold (part)	07/30/19	J		
47. Chevron Corp	A	Dividend	J	T					
48. Cincinnati Financial Corp	A	Dividend	J	T	Buy (add'l)	06/17/19	J		
49.					Sold (part)	07/18/19	J	A	
50.					Sold (part)	12/09/19	J	A	
51. Cisco Systems Inc	A	Dividend	J	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 14

Name of Person Reporting

Axon, Annemarie C.

Date of Report

04/26/2021

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)
52. Coca Cola Co Com	A	Dividend	J	T					
53. Crown Castle Int'l Corp	A	Dividend	J	T					
54. Delta Airlines	A	Dividend	J	T	Buy	04/09/19	J		
55.					Sold (part)	07/30/19	J	A	
56. Diageo PLC	A	Dividend	J	T					
57. Dominion Resources Inc	A	Dividend	J	T	Buy (add'l)	06/17/19	J		
58.					Sold (part)	07/18/19	J		
59. Fastenal	A	Dividend	J	T	Sold (part)	07/30/19	J	A	
60. Fidelity Cash Reserves	B	Dividend	K	T					
61. Franklin Res Inc	A	Dividend	J	T					
62. Franklin Templeton Emerging Market Debt Opportunities Fund	A	Dividend	J	T					
63. GPB Holdings II LP Cl B			K	R					
64. Intel Corp Com	A	Dividend	J	T					
65. Johnson & Johnson Com	A	Dividend	J	T	Sold (part)	07/30/19	J	A	
66. Kinder Morgan Inc	A	Dividend	J	T					
67. Lowe's Co Inc	A	Dividend	J	T	Buy (add'l)	08/07/19	J		
68. Merck & Co Inc	A	Dividend	J	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 14

Name of Person Reporting

Axon, Annemarie C.

Date of Report

04/26/2021

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)
69. Microsoft	A	Dividend	J	T	Sold (part)	07/30/19	J	A	
70. Nestle S Reg ADR	A	Dividend	J	T					
71. Norfolk Southern Corp	A	Dividend	J	T	Sold (part)	07/18/19	J	A	
72. Paccar Inc	A	Dividend	J	T	Sold (part)	04/04/19	J	A	
73. Paychex Inc	A	Dividend	J	T					
74. Pfizer Inc	A	Dividend	J	T	Buy (add'l)	09/06/19	J		
75. Philip Morris Int'l Inc	A	Dividend	J	T					
76. American Beacon Sound Point Floating Rate Inc Fund Cl Y	A	Dividend			Sold	02/15/19	K		
77. Target Corp	A	Dividend	J	T					
78. Texas Instruments Inc	A	Dividend	J	T	Buy (add'l)	04/09/19	J		
79.					Sold (part)	07/30/19	J	A	
80. TIAA-CREF Core Impact Bond Fund Inst'l Cl	C	Dividend	L	T	Sold (part)	05/07/19	K		
81.					Sold (part)	07/30/19	J	A	
82. United Parcel Service Inc	A	Dividend	J	T					
83. Victory Portfolios I Shs		None			Sold	02/15/19	K		
84. Verizon Communications	A	Dividend	J	T	Buy (add'l)	06/17/19	J		
85.					Sold (part)	07/30/19	J	A	

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)					

FINANCIAL DISCLOSURE REPORT

Page 9 of 14

Name of Person Reporting

Axon, Annemarie C.

Date of Report

04/26/2021

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)
86. Wells Fargo Co	A	Dividend	J	T					
87. Mainstay Total Return Bond 529F		None	J	T	Buy (add'l)	01/08/19	J		
88.					Buy (add'l)	02/11/19	J		
89.					Buy (add'l)	03/11/19	J		
90.					Buy (add'l)	04/09/19	J		
91.					Buy (add'l)	05/07/19	J		
92.					Buy (add'l)	06/10/19	J		
93.					Buy (add'l)	07/09/19	J		
94.					Buy (add'l)	08/12/19	J		
95.					Buy (add'l)	09/09/19	J		
96.					Buy (add'l)	10/08/19	J		
97.					Buy (add'l)	11/11/19	J		
98.					Buy (add'l)	12/10/19	J		
99. Northern Funds Int'l Equity 529F		None	K	T	Buy (add'l)	01/08/19	J		
100.					Buy (add'l)	02/11/19	J		
101.					Buy (add'l)	03/11/19	J		
102.					Buy (add'l)	04/09/19	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	

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)
103.					Buy (add'l)	05/07/19	J		
104.					Buy (add'l)	06/10/19	J		
105.					Buy (add'l)	07/09/19	J		
106.					Buy (add'l)	08/12/19	J		
107.					Buy (add'l)	09/09/19	J		
108.					Buy (add'l)	10/08/19	J		
109.					Buy (add'l)	11/11/19	J		
110.					Buy (add'l)	12/10/19	J		
111. Northern Funds Stock Index 529F		None	K	T	Buy (add'l)	01/08/19	J		
112.					Buy (add'l)	02/11/19	J		
113.					Buy (add'l)	03/11/19	J		
114.					Buy (add'l)	04/09/19	J		
115.					Buy (add'l)	05/07/19	J		
116.					Buy (add'l)	06/10/19	J		
117.					Buy (add'l)	07/09/19	J		
118.					Buy (add'l)	08/12/19	J		
119.					Buy (add'l)	09/09/19	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.)

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)
120.					Buy (add'l)	10/08/19	J		
121.					Buy (add'l)	11/11/19	J		
122.					Buy (add'l)	12/10/19	J		
123. William Blair Small Cap Value 529F		None	J	T	Buy (add'l)	01/08/19	J		
124.					Buy (add'l)	02/11/19	J		
125.					Buy (add'l)	03/11/19	J		
126.					Buy (add'l)	04/09/19	J		
127.					Buy (add'l)	05/07/19	J		
128.					Buy (add'l)	06/10/19	J		
129.					Buy (add'l)	07/09/19	J		
130.					Buy (add'l)	08/12/19	J		
131.					Buy (add'l)	09/09/19	J		
132.					Buy (add'l)	10/08/19	J		
133.					Buy (add'l)	11/11/19	J		
134.					Buy (add'l)	12/10/19	J		
135. Alternative Investment Allocation 529F		None	J	T	Buy (add'l)	01/08/19	J		
136.					Buy (add'l)	02/11/19	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.)

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)
137.					Buy (add'l)	03/11/19	J		
138.					Buy (add'l)	04/09/19	J		
139.					Buy (add'l)	05/07/19	J		
140.					Buy (add'l)	06/10/19	J		
141.					Buy (add'l)	07/09/19	J		
142.					Buy (add'l)	08/12/19	J		
143.					Buy (add'l)	09/09/19	J		
144.					Buy (add'l)	10/08/19	J		
145.					Buy (add'l)	11/11/19	J		
146.					Buy (add'l)	12/10/19	J		
147.									
148.									
149.									
150.									
151.									
152.									
153.									

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	

FINANCIAL DISCLOSURE REPORT

Page 13 of 14

Name of Person Reporting

Axon, Annemarie C.

Date of Report

04/26/2021

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

GPB Holding purchased 02/15/2018 for \$50,000

FINANCIAL DISCLOSURE REPORT

Page 14 of 14

Name of Person Reporting

Axon, Annemarie C.

Date of Report

04/26/2021

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/ Annemarie C. Axon**

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