

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) Ott, John E.	2. Court or Organization U. S. District Court, NDAL	3. Date of Report 05/2/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) USMJ (Full-time)	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 Hugo L. Black Federal Crthse. 1729 5th Avenue 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	Birmingham Bar Foundation Board
2. Board Member	Horton Inn of Court - Birmingham, Alabama
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.	

Table with 2 columns: Name of Person Reporting, Date of Report. Row 1: Ott, John E., 05/2/2020

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.)

Table with 3 columns: DATE, SOURCE AND TYPE, INCOME (yours, not spouse's). Row 1: 1. 2019, Cumberland School of Law (Teaching Salary), \$1,645.00

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.)

[x] NONE (No reportable non-investment income.)

Table with 2 columns: DATE, SOURCE AND TYPE. Rows 1-4 are empty.

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.
(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)

[x] NONE (No reportable reimbursements.)

Table with 5 columns: SOURCE, DATES, LOCATION, PURPOSE, ITEMS PAID OR PROVIDED. Rows 1-5 are empty.

Name of Person Reporting	Date of Report
Ott, John E.	05/2/2020

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

Ott, John E.

Date of Report

05/2/2020

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. ENERGEN (Common)	A	Dividend			Sold	10/01/19	L	E	
2. AFLAC Stock (Common)	C	Dividend	N	T					
3. AFLAC Stock (Common) (Y)									
4. American Express (Common)	B	Dividend	K	T					
5. UNUM: Universal Life	A	Dividend	K	T					
6. UNUM: Universal Life	A	Dividend	K	T					
7. American Express (Bank Account)	A	Interest	K	T					
8. Florida West Coast Credit Union	B	Interest	M	T					
9. U.S. Savings Bonds	C	Int./Div.	L	T	Sold (part)	06/04/19	J	D	
10. American Fund Capital Income Builder-A (Y)									
11. Wells Fargo (Bank Account)	A	Interest	L	T					
12. Cigna 401(k) Plan (H)									
13. -Prudential Retirement Insurance and Annuity Company Fixed Income Fund	A	Interest			Sold	12/30/19	J		
14. -Prudential Large Cap Blend Fund	A	Int./Div.			Sold	12/30/19	J		
15. -Prudential Int. Stock Fund	A	Int./Div.			Sold	12/30/19	J		
16. -Prudential Mid Cap Blend Fund	A	Int./Div.			Sold	12/30/19	J		
17. -Prudential Small Cap Blend Fund	A	Int./Div.			Sold	12/30/19	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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Name of Person Reporting

Ott, John E.

Date of Report

05/2/2020

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18. -Prudential Mid Cap Value Fund	A	Int./Div.			Sold	12/30/19	J		
19. -Prudential Small Cap Growth Fund	A	Int./Div.			Sold	12/30/19	J		
20. Vanguard Windsor II Fund (IRA)	A	Int./Div.	K	T	Sold (part)	11/19/19	J	A	
21. Ascesion Health Plan (H)									
22. -TransAmerica Ptnrs Instl Hi Yld Bond	A	Int./Div.			Sold	12/19/19	J		
23. -Barid Aggregate Bond Inst	A	Int./Div.			Sold	12/19/19	J		
24. -Vanguard Money Mkt	A	Int./Div.			Sold	12/19/19	J		
25. -American Funds EuroPac Gr	A	Int./Div.			Sold	12/19/19	J		
26. -Dodge & Cox Stock	A	Int./Div.			Sold	12/19/19	J		
27. -Principal Large Cap Growty I	A	Int./Div.			Sold	12/19/19	J		
28. -Vanguard Inst. Index Instl	A	Int./Div.			Sold	12/19/19	J		
29. -TransAmerica Ptnrs Inst Mid Val	A	Int./Div.			Sold	12/19/19	J		
30. -Vanguard Small Cap Index	A	Int./Div.			Sold	12/19/19	J		
31. -Hartford Small Cap Growth	A	Int./Div.			Sold	12/19/19	J		
32. -DFAInt. Small Comp I	A	Int./Div.			Sold	12/19/19	J		
33. -DFA US Targeted Val I	A	Int./Div.			Sold	12/19/19	J		
34. BBVA Compass (Bank Account)	B	Interest	M	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	
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35. Vanguard Russell 1000 Growth Index	A	Int./Div.	K	T					
36. ISHARES Core MSCI EAFE(X)	A	Int./Div.	K	T					
37. Invesco Equity & Income CL C	A	Int./Div.	K	T					
38. American Century Mid Ca Val Cl 1	A	Dividend	J	T	Buy	12/20/19	J		
39. Blackrock High Yield Bond Instl. Cl	A	Dividend	J	T	Buy	12/20/19	J		
40. Blacrock Strategic Income OpportunityInstl Cl	A	Dividend	J	T	Buy	12/20/19	J		
41. Multi Manager Growth Strategies Cl Z	A	Dividend	J	T	Buy	12/20/19	J		
42. Multi Manager Small Cap Equity Strategies Cl Z	A	Dividend	J	T	Buy	12/20/19	J		
43. Multi Manager Total Return Bond Strategies Cl Z	B	Dividend	K	T	Buy	12/20/19	K		
44. Multi Manager Value Strategies Cl Z	A	Dividend	J	T	Buy	12/20/19	J		
45. Multi Manager Intl Equity Strategies Instl Cl	A	Dividend	J	T	Buy	12/20/19	J		
46. Delaware US Growth Instl Cl	A	Dividend	J	T	Buy	12/20/19	J		
47. MFS Vaule Cl I	A	Dividend	J	T	Buy	12/20/19	J		
48. Wells Fargo Energing Markets Equity Instl Cl	A	Dividend	J	T	Buy	12/20/19	J		

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

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Ott, John E.

Date of Report

05/2/2020

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/ **John E. Ott**

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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Washington, D.C. 20544