

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) Donald, Bernice B.	2. Court or Organization Court of Appeals, Sixth	3. Date of Report 04/30/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Court of Appeals, 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 Court of Appeals 167 N. Main Street, #1132 Clifford Davis/Odell Horton Federal Building Memphis, TN 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. Chair, Center for Human Rights	American Bar Association
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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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. 2019	Regents University (teaching income)	\$6,000.00
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.	
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.	Virginia CLE	1/5-7/19	Williamsburg, VA	CLE Speaker	Transportation, food, & lodging
2.	ABA	1/24-28/19	Las Vegas, NV	Mid-Year Meeting	Transportation, food, & lodging
3.	Dartmouth Alum	2/21-23/19	Big Sky, MT	CLE Speaker	Transportation, food, & lodging
4.	ABA	3/1-3/19	Albuquerque, NM	Meeting	Transportation, food, & lodging
5.	ABA	3/6-8/19	New Orleans, LA	Meeting	Transportation, food, & lodging
6.	ABA	3/27-29/19	Washington, DC	Meeting	Transportation, food, & lodging
7.	ABA	4/3-5/2019	Coral Gables, FL	Meeting	Transportation, food, & lodging

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8.	Case Western Law	4/5-6/19	Cleveland, OH	Moot Court Judge	Transportation, food, & lodging
9.	U. TN Law	4/17-18/19	Knoxville, TN	CLE Speaker	Transportation, food, & lodging
10.	ABA	5/2-4/19	Washington, DC	Meeting	Transportation, food, & lodging
11.	ACS	6/5-6/19	Washington, DC	Program	Transportation, food, & lodging
12.	ABA	6/13-15/19	Spokane, WA	Meeting	Transportation, food, & lodging
13.	ABA	7/6-13/19	Brisbane, Australia	Conference	Food & lodging
14.	ABA	8/7-13/19	San Francisco, CA	Meeting	Transportation, food, & lodging
15.	PREX	9/17-19/19	Chicago, IL	CLE Speaker	Transportation, food, & lodging
16.	IL Rotary	10/18-19/19	Bloomington, IL	Speaker	Transportation, food, & lodging
17.	Law & Econ Center	12/7-14/19	Honolulu, HI	Conference	Transportation, food, & lodging (5 nights)

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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.		
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) 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. IRA #1 (H)									
2. Morgan Stanley Private Bank NA (cash)	A	Interest	J	T					
3. AAM Bahl & Graynor Inc. GWC (AFYCX)	A	Dividend	K	T					
4. Allianzgi Income & Growth C (AZNCX)	A	Dividend	J	T					
5. American Balanced C (BALCX)	A	Dividend	J	T					
6. American Mutual C (AMCFX)	A	Dividend	J	T					
7. Blackrock Hi Yield Bd PTF C (BHYCX)	A	Dividend	J	T					
8. BROKERAGE #1 (H)									
9. Morgan Stanley Bank NA (cash)	A	Interest	J	T					
10. Columbia Emerging Mkts Cons (ECON)	A	Dividend	J	T					
11. Ishares S&P 500 Val ETF (IVE)	A	Dividend	J	T					
12. AB SMALL CAP GRW ADV (QUAYX)	A	Dividend	J	T					
13. Allanzgi NFG J Div Value (ADJPX)	B	Dividend	J	T					
14. American AMCAP (AMCFX)	A	Dividend	J	T					
15. AMERICAN GW FD OF AMERICA F2 (GFFFX)	A	Dividend	J	T					
16. American WA Mutual (WMFFX)	A	Dividend	J	T					
17. Brown Adv Sm Cp FNDMNTL (BIAUX)	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	

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Name of Person Reporting

Donald, Bernice B.

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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)
18. Cohen & Steers Pref Sec&Inc I (CPXIX)	A	Dividend	K	T					
19. Domini Int'l Social Equity Fund (DOMIX)	A	Dividend	J	T					
20. First Trust Preferred Sec & Inc I (FPEIX)	A	Dividend	K	T					
21. Guggenheim Tot Ret Bd I (GIBIX)	A	Dividend	K	T	Buy (add'l)	12/31/19	J		
22. Hartford Midcap I (HFMIX)	A	Dividend	J	T					
23. John Hancock Shr Dur Cr Opp (JMBIX)	A	Dividend	J	T					
24. LORD ABBETT INCOME F (LAUFEX)	A	Dividend	K	T	Buy (add'l)	12/31/19	J		
25. Nuance Mid Cap Value Instnl (NMVLX)	A	Dividend	J	T					
26. BROKERAGE #2 (H)									
27. Morgan Stanley Bank NA (cash)	A	Interest	J	T					
28. British American Tobacco (BTI)	A	Dividend	J	T					
29. Facebook (FB)		None	M	T					
30. First Horizon (FHN)	A	Dividend	J	T					
31. Ford Motor Co (F)	A	Dividend	J	T					
32. Proctor & Gamble (PG)	A	Dividend	K	T					
33. LINCOLN LNL-CHOICEPLUS ASSURANCE SERIES VARIABLE ANNUITY (H)									

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)
34. LVIP Blackrock Dividend Value		None	L	T					
35. LVIP Dimensional US Equity MNGD		None	L	T					
36. LVIP PIMCO Low Duration Bond		None	J	T					
37. LVIP Multi-Manager Global Equity		None	J	T					
38. LVIP JPM Select MID CAP Value MNGD		None	J	T					
39. LVIP Delaware VIP Diversified Income		None	K	T					
40. BROKERAGE #3 (H)									
41. Fidelity Blue Chip Growth (FBGRX)	B	Dividend	K	T					
42. Amazon.com Inc (AMZN)		None	J	T					
43. Microsoft Inc (MSFT)	A	Dividend	J	T					
44. Twitter Inc (TWTR)		None	J	T					
45. BROKERAGE #4 (H)									
46. Alteryx Inc (AYX)		None	J	T					
47. Microsoft Corp (MSFT)	A	Dividend	J	T					
48. Qualcomm Inc (QCOM)	A	Dividend	J	T					
49. Twitter (TWTR)		None	J	T					
50. Zoetis Inc (ZTS)	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

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.)

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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)
51. BROKERAGE #5 (H)									
52. MSBNA Preferred Savings-NM (cash) (X)	A	Interest	J	T					
53. Blackrock Liq Treasury TR Inst (TTTXX) (X)	A	Dividend			Sold	12/24/19	J		
54. Microsoft Corp (MSFT)		None	J	T	Buy	12/23/19	J		

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

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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/ **Bernice B. Donald**

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