

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) JOHNSON JR., HERMAN N.	2. Court or Organization UNITED STATES DISTRICT COURT NORTHERN DISTRICT OF ALABAMA	3. Date of Report 05/11/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) UNITED STATES MAGISTRATE JUDGE - 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 U.S. DISTRICT COURT 101 HOLMES AVENUE, N.E. HUNTSVILLE, AL 35801		
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.		
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. 2010-2019	Samford University 403(b) retirement plan, managed by Fidelity Investments
2. 2010-2019	Samford University defined benefit pension plan
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	Wilkinson, Walsh, & Eskovitz, LLP; 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.				
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.		
2.		
3.		
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. 403b (H)									
2. - FIDELITY: FID 500 INDEX PR	D	Dividend	N	T					
3. - DFA GLOBAL EQUITY PORTFOLIO INSTITUTIONAL CLASS	B	Dividend	L	T					
4. - FIDELITY: FID MID CAP IDX PR	B	Dividend	L	T					
5. - FIDELITY: SM CAP IDX PR	B	Dividend	L	T					
6. - FIDELITY: FID GBL XUS IDX PR	B	Dividend	K	T					
7. - T. ROWE PRICE: TRP INTL VALUE EQ					Sold	01/02/19	K	A	
8. - DFA INTL VALUE I	B	Dividend	K	T	Buy	01/02/19	K		
9. FIRST BANK OF TENNESSEE CASH ACCOUNT	A	Interest	J	T					
10. CITIBANK CASH ACCOUNT	A	Interest	O	T					
11. SYNOVUS CASH ACCOUNT		None	J	T					
12. WALT DISNEY CO COM	A	Dividend	J	T					
13. PEPSICO INC COM	A	Dividend	J	T					
14. UNITED PARCEL SERVICE CL B	A	Dividend	J	T					
15. HOME FEDERAL SAVINGS AND LOAN ASSOCIATION - CD #1	A	Interest			Closed	11/01/19	K		
16. CITIBANK CD	B	Interest	L	T					
17. HOME FEDERAL SAVINGS AND LOAN ASSOCIATION - CD #2	A	Interest	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	

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
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18. CITIBANK CD #2	A	Interest	K	T	Buy	08/29/19	K		
19. CITIBANK CD #3	A	Interest	L	T	Buy	06/20/19	K		
20. COLLEGECOUNTS ADVISOR 529 PLAN #1 (H)									
21. - PIMCO ST 529 PF A		None	J	T					
22. - AMER CENT EQU 529 PF A		None	J	T					
23. - TRP LG CAP 529 PF A		None	J	T					
24. - NORTH MID CAP INDEX 529 PF A		None	J	T					
25. - NORTH SM CAP INDEX 529 PF A		None	J	T					
26. - NEUB BER INTL SELECT 529 PF A		None	J	T					
27. - CRED SUI COMMOD RETURN STRAT 529 PF A		None	J	T					
28. - MAINSTAY MCKAY TOT RET BOND 529 PF A		None	J	T					
29. - VANG EMERG MKT SEL STOCK 529 PF A		None	J	T					
30. COLLEGECOUNTS ADVISOR 529 PLAN #2 (H)									
31. - PIMCO ST 529 PF A		None	J	T					
32. - AMER CENT EQU 529 PF A		None	J	T					
33. - TRP LG CAP 529 PF A		None	J	T					
34. - NORTH MID CAP INDEX 529 PF A		None	J	T					

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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.)

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35. - NORTH SM CAP INDEX 529 PF A		None	J	T					
36. - NEUB BER INTL SELECT 529 PF A		None	J	T					
37. - CRED SUI COMMOD RETURN STRAT 529 PF A		None	J	T					
38. - MAINSTAY MCKAY TOT RET BOND 529 PF A		None	J	T					
39. - VANG EMERG MKT SEL STOCK 529 PF A		None	J	T					
40. COLLEGECOUNTS DIRECT 529 PLAN - AGE BASED #1		None	K	T	Buy	06/10/19	J		
41. COLLEGECOUNTS DIRECT 529 PLAN - AGE BASED #2		None	K	T	Buy	06/10/19	J		
42.									
43.									
44.									
45.									
46.									
47.									
48.									
49.									
50.									
51.									

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

IN THE 2018 REPORT, I INADVERTENTLY FAILED TO DISCLOSE A SECOND HOME FEDERAL SAVINGS & LOAN ASSOCIATION CD AND TWO COLLEGECOUNTS 529 PLANS WE OPENED IN 2018. I HAVE INCLUDED THEM IN THIS REPORT IN PART VII. THE COLLEGECOUNTS 529 PLANS DO NOT GENERATE ANY INCOME.

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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/ **HERMAN N. JOHNSON JR.**

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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