

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) Royal, Charles A.	2. Court or Organization U.S. Middle District - Georgia	3. Date of Report 5/14/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Senior Status	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 U. S. Courthouse 475 Mulberry Street Macon, GA 31202		
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. Executor	Estate #1
2. Executor	Estate #2
3.	
4.	
5.	

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

Page 2 of 10

Name of Person Reporting

Royal, Charles A.

Date of Report

5/14/2020

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.)

DATE

SOURCE AND TYPE

INCOME

(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.)

DATE

SOURCE AND TYPE

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.)

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Royal, Charles A.	5/14/2020

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Royal, Charles A.

Date of Report

5/14/2020

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)	(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. Federated Prime Money Market/Obligation Fund	A	Interest			Sold	12/16/19	J	A	
2. MetaMorphix, Inc.		None	J	T					
3. Polywad, Inc.		None	J	T					
4. SunTrust Account #3		None	J	T					
5. SunTrust Account #4		None	J	T					
6. Estate #1		None	J	T					
7. Oxford Square Capital Corp.	A	Dividend			Sold	12/16/19	J	A	
8. Legacy RESVS		None			Sold	12/30/19	J	A	
9. AT & T Inc	C	Dividend			Sold	12/16/19	L	E	
10. Verizon Communications	D	Dividend			Sold	12/16/19	L	E	
11. Northwestern Corp	B	Dividend			Sold	12/16/19	L	E	
12. Southern Company	B	Dividend			Sold	12/16/19	L	E	
13. Brookfield Infrastruction Partners	C	Dividend			Sold	12/16/19	L	F	
14. Conagra Brands, Inc.	A	Dividend			Sold	12/16/19	K	D	
15. Estate #2		None	J	T					
16. Consolidated Edison, Inc.	C	Dividend			Sold	12/16/19	L	E	
17. Baron Small Cap Fund	A	Dividend	J	T	Sold (part)	10/21/19	J	A	

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 10

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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				
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18. Credit Suisse Comm Ret Strat		None			Sold	04/01/19	J	A	
19. Delaware Small Cap Value	A	Dividend	J	T					
20. Principal Midcap Fund	A	Dividend	J	T	Sold (part)	10/21/19	J	A	
21. American Investment Co of America	B	Dividend	L	T					
22. Morgan Stanley Glob Real Est	A	Dividend	J	T	Sold (part)	10/21/19	J	A	
23. TRP Equity Income I	A	Dividend	J	T	Sold (part)	10/21/19	J	A	
24. Dodge & Cox International Stock	A	Dividend	J	T					
25. Amer Int'l Growth & Income	A	Dividend	J	T					
26. MFS International Equity	A	Dividend	J	T					
27. American New World CL F3	B	Dividend	K	T	Sold (part)	10/21/19	J	A	
28. Bridge Builder Core Bond Fund	A	Dividend	K	T	Sold (part)	10/21/19	J	A	
29. Bridge Builder Large Growth	A	Dividend	J	T	Sold (part)	10/21/19	J	A	
30. Bridge Builder Large Value	A	Dividend	K	T					
31. Bridge Builder Int'l. Equity	A	Dividend	J	T					
32. Pgim High Yield R 6	A	Dividend	J	T	Sold (part)	10/21/19	J	A	
33. JP Morgan US Gov't MWF Capital	A	Dividend	J	T					
34. Eastern MI Univ Build Amer Bds	A	Interest			Sold	02/15/19	J	A	

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FINANCIAL DISCLOSURE REPORT

Page 6 of 10

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Royal, Charles A.

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35. American Balanced Fund CLA	B	Dividend	M	T					
36. Amern High Inc Muni Bd Fd A	A	Dividend	L	T					
37. American Capital Income Builder Fund CLA	C	Dividend	M	T					
38. American Capital World Grw & Inc Fund A	C	Dividend	M	T					
39. Eaton Vance SC Mun Incm Fd	A	Dividend	J	T					
40. American Europacific Growth Fund CLA	A	Dividend	J	T					
41. Franklin Adj US Govt Secs Fd A	A	Dividend	J	T					
42. Franklin Equity Income Fund A	A	Dividend	K	T					
43. Franklin Foundings Fd Alloc A	A	Dividend	K	T					
44. Franklin Growth Series Class A	A	Dividend	K	T					
45. Franklin Income Fund CLA	A	Dividend	J	T					
46. Franklin Mut Gbl Disc A	A	Dividend	J	T					
47. Franklin Mutual Shares Fund A	A	Dividend	K	T					
48. Franklin Small Cap Value Fd A	A	Dividend	J	T					
49. Franklin Total Return Fund A	A	Dividend	K	T					
50. Franklin US Government Secs A	A	Dividend	J	T					
51. American Growth Fund of America CLA	C	Dividend	L	T					

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FINANCIAL DISCLOSURE REPORT

Page 7 of 10

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Royal, Charles A.

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52. Hartford Mlt-Ast Inc & Growth CLA formerly Hartford Balanced Fund CLA	C	Dividend	K	T					
53. Hartford Cap Appreciation CLA	B	Dividend	K	T					
54. Hartford Core Equity CLA	A	Dividend	K	T					
55. Hartford Dividend & Growth A	B	Dividend	K	T					
56. Hartford Healthcare Fund CLA	B	Dividend	K	T					
57. Hartford Midcap Fund CLA	B	Dividend	K	T					
58. Hartford Quality Value CLA	A	Dividend	K	T					
59. American Income Fund of America Fund A	B	Dividend	L	T					
60. Invesco Global Growth Fd CLA	A	Dividend	J	T					
61. Invesco Technology Fund CLA	A	Dividend	J	T					
62. American Investment Co of America Fd A	C	Dividend	L	T					
63. American New Perspective Fund CLA	C	Dividend	M	T					
64. Templeton Growth Fund A	B	Dividend	J	T					
65. American Washington Mutual Invest A	C	Dividend	L	T					
66. Nvidia Corp.	B	Dividend	M	T	Sold (part)	12/16/19	M	F	
67. Lamb Weston Holding, Inc.	B	Dividend			Sold	12/16/19	K	E	
68. Abbvie Inc	B	Dividend			Sold	12/16/19	K	E	

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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FINANCIAL DISCLOSURE REPORT

Page 8 of 10

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Royal, Charles A.

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69. Crown Castle Int'l Corp	B	Dividend			Sold	12/16/19	L	E	
70. Bridge Builder Small/Mid Value	A	Dividend	J	T					
71. Bridge Builder Core Plus Bond	A	Dividend	K	T	Sold (part)	10/21/19	J	A	
72. Hartford World Bond CL F	A	Dividend	J	T	Sold (part)	10/21/19	J	A	
73. LSV Value Equity	A	Dividend	J	T					
74. Federated Trsy Obligs MM	B	Dividend			Sold	12/18/19	J	A	
75. Hartford International Equity	A	Dividend	J	T					
76. UBS Bank		None	O	T	Open	12/24/19	O		
77. Ashmore Emerging Markets Total Return Fund		None	J	T	Buy	12/31/19	J		
78. Baird Midcap Fund Institutional Class		None	J	T	Buy	12/31/19	J		
79. Lord Abbett High Yield Fund Class F		None	K	T	Buy	12/31/19	K		
80. Pimco Investment Grade Credit Bond Fund I-2		None	L	T	Buy	12/31/19	L		
81. John Hancock Disciplined Value Mid Cap Fund		None	J	T	Buy	12/31/19	J		
82. Pear Tree Polaris Foreign Fund Instl		None	K	T	Buy	12/31/19	K		
83. AQR U.S. Defensive Equity Fund Class I		None	K	T	Buy	12/31/19	K		
84. Chartwell Small Cap Value Fund Class I		None	J	T	Buy	12/31/19	J		
85. Harding Loevner International Equity		None	K	T	Buy	12/31/19	J		

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FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Royal, Charles A.

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5/14/2020

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

I. POSITIONS

Estate #1 - I have no beneficial interest in the estate. There are no assets owned by the estate. There have been no acquisitions, dispositions or capital gains. This response includes now and at all times during the reporting period.

Estate #2 - I have no beneficial interest in the estate. There are no assets owned by the estate. There have been no acquisitions, dispositions or capital gains. This response includes now and at all times during the reporting period.

Metamorphix, Inc. (#2) and Polywad (#3) have both been bankrupt for years with no income and no transactons for this reporting period or for a number of years past. They should be taken off. They have had a negative value for several years and will not be included in the future.

Adv Edgewood Gwth Fd Instl CL I (#21 from 2018 Financial Disclosure Report) was incorrectly reported as a partial sale but was actually all sold on 08/15/2018 and should not be included for 2019.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Royal, Charles A.

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5/14/2020

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/ Charles A. Royal**

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