

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) Debra, Poplin	2. Court or Organization District Court, Eastern Tennessee	3. Date of Report 04/14/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) 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 Howard H. Baker Jr. U.S. Courthouse 800 Market Street, Suite 130 Knoxville, TN 37902		
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. 1997	City of Knoxville Pension Fund; pension upon retirement age 62
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.		
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	Self-employed auto reconditioning
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. Suntrust (business checking)		None	L	T					
2. ROTH IRA Ameriprise Financial									
3. - Growth Fund of America (AGTHX)	A	Int./Div.	J	T					
4. Traditional IRA #1									
5. - Columbia Strategic Income (LSIZX)	A	Int./Div.	J	T					
6. - PIMCO Income Fund (PONPX)	A	Int./Div.	J	T					
7. - Columbia floating rate (CFRZX)	A	Int./Div.	J	T					
8.					Sold (part)	07/24/19	J	A	
9. - Delaware Small Cap (DCCIX)	A	Dividend	J	T					
10. - Lord Abbett Short Duration (LDLFX)	A	Int./Div.	K	T					
11. - Vanguard Mid Cap (VO)	A	Int./Div.	J	T	Buy	01/15/19	J		
12. - iShares MSCI EAFE (EFA)	A	Int./Div.	J	T	Buy	01/15/19	J		
13. - Vanguard Growth ETF (VUG)	A	Int./Div.	K	T	Buy	01/15/19	K		
14. - Vanguard Value ETF (VTV)	A	Int./Div.	K	T	Buy	01/15/19	K		
15. - Vanguard Small Cap (VB)	A	Int./Div.	J	T	Buy	01/15/19	J		
16. - PGIM Short Term Corporate Bond (PIFZX)	A	Int./Div.	J	T					
17. Traditional IRA #2									

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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☐ 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. - Columbia Strategic Income (LSIZX)	A	Int./Div.	J	T					
19. - PIMCO Income fund (PONPX)	A	Int./Div.	J	T					
20. - Columbia floating rate (CFRZX)	A	Int./Div.	J	T					
21.					Sold (part)	07/24/19	J	A	
22. - Delaware Small Cap (DCCIX)	A	Int./Div.	J	T					
23. - Lord Abbett Short Duration (LDLFX)	A	Int./Div.	J	T					
24. - Vanguard Mid Cap (VO)	A	Int./Div.	J	T	Buy	01/15/19	J		
25. - iShares MSCI EAFE (EFA)	A	Int./Div.	J	T	Buy	01/15/19	J		
26. - Vanguard Growth ETF (VUG)	A	Int./Div.	J	T	Buy	01/15/19	J		
27. - Vanguard Value ETF (VTV)	A	Int./Div.	K	T	Buy	01/15/19	K		
28. - Vanguard Small Cap (VB)	A	Int./Div.	J	T	Buy	01/15/19	J		
29. - PGIM Short Term Corporate Bond (PIFZX)	A	Int./Div.	J	T					
30. At Fund 529 Plan Ameriprise financial #1									
31. - Growth Fund of america (CGFAX)	A	Int./Div.	K	T					
32. - Washington Mutual Invest 529 A (CWMAX)	A	Int./Div.	K	T					
33. At Fund 529 Plan Ameriprie Financial #2									
34. - Capital World Growth Income (CWIAX)	A	Int./Div.	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	

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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 NONE (No reportable income, assets, or transactions.)

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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)
35. SPS NQ account (X)									
36. - Columbia Balanced fund (CBLAX)	A	Int./Div.	J	T					
37.					Buy	01/10/19	J		
38.					Buy	02/11/19	J		
39.					Buy	03/11/19	J		
40.					Buy	04/10/19	J		
41.					Buy	05/10/19	J		
42.					Buy	06/10/19	J		
43.					Buy	07/10/19	J		
44.					Buy	08/12/19	J		
45.					Buy	09/10/19	J		
46.					Buy	10/10/19	J		
47.					Buy	11/11/19	J		
48.					Buy	12/10/19	J		

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

- PONPX PIMCO Income Fund was shown on 2018 report as PONAX. During 2019, the fund company had a share class conversion changing this to an institutional share as PONPX.
- SPS NQ account was not reported in the 2018 report.

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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/ **Poplin Debra**

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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