

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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) Newbern, Alistair E.	2. Court or Organization U.S. District Court for the Middle District of Tennessee	3. Date of Report 05/05/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge (FT)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address Chambers of Magistrate Judge Alistair Newbern U.S. Courthouse 801 Broadway Nashville, TN 37203		
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. Executive Committee Member	Harry Phillips American Inn of Court
2. Fellow	Tennessee Bar Foundation
3. Fellow	Nashville Bar Foundation
4. Board Member	W.O. Smith Music School
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.	

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Name of Person Reporting

Newbern, Alistair E.

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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.)

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.

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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.		

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. Individual Assets (H)									
2. Bank of America (cash)		None	J	T					
3. Account #1 (H)									
4. First Eagle Global Fd Cl A (SGENX)	A	Dividend	K	T					
5. ISHARES CORE S&P 500 ETF (IVV)	A	Dividend	K	T					
6. Account #2 (H)									
7. AAM Bahl & Gaynor Income Growth Fund Class I (AFNIX)	A	Dividend	J	T	Buy	04/21/20	J		
8. Columbia Dividend Income Fund Cl Instl (GSFTX)	A	Dividend	J	T	Buy	04/21/20	J		
9.					Buy (add'l)	04/22/20	J		
10. MFS Growth Fund Cl I (MFEIX)	A	Dividend	J	T	Buy	04/21/20	J		
11. PIMCO Income Fund Cl I2 (PONPX) (X)	A	Dividend	J	T					
12. Putnam Income Fund Cl Y (PNCYX)	A	Dividend	J	T	Buy	04/21/20	J		
13. IShares Russell 1000 Growth (IWF)	A	Dividend			Sold	04/21/20	J		
14. IShares Russell 1000 Value (IWD)	A	Dividend			Sold	04/21/20	J		
15. Account #3 (H)									
16. Hrdg Lvnr Intl Eq Is (HLMIX)	A	Dividend	J	T					
17. Jackson Square Smid Cpgr IS (DCGTX)	B	Dividend	K	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

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18. Vang Div Growth Inv (VDIGX)	B	Dividend	K	T					
19. Vanguard Inst Index Plus (VIXX)	A	Dividend	K	T					
20. Loomis Core Pl Bd Y (NERYX)	B	Dividend	K	T					
21. Account #4 (H)									
22. AF Europac Grth R4 (REREX)	A	Dividend	J	T					
23. MM Sel Midcap Gr I (MEFZX)	A	Dividend	J	T					
24. Vang Ftse Soc Idx Is (VFTSX)	A	Dividend	J	T					
25. Metwest Tot Rtn Bd P (MWTRX)	A	Dividend	J	T					
26. Vanguard Target 2040 (VFORX)		None	K	T					
27. Account #5 (H)									
28. Vanderbilt TIAA Traditional	C	Interest	L	T					
29. Account #6 (H)									
30. UNC TIAA Traditional	A	Interest	K	T					
31. Account #7 (H)									
32. Accenture PLC Shs (ACN) (X)		None	J	T					
33. Apple Inc (AAPL)	A	Dividend	J	T	Buy	04/21/20	J		
34. Broadcom Ltd (AVGO) (X)	A	Dividend	J	T					

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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35. Chevron Corp (CVX)	A	Dividend	J	T	Buy	04/21/20	J		
36. Chubb Ltd (CB) (X)		None	J	T					
37. Cisco Systems Inc Com (CSCO)	A	Dividend	J	T	Buy	04/21/20	J		
38. Comcast Corp New Cl A (CMCSA)	A	Dividend	J	T	Buy	04/21/20	J		
39. Eli Lilly (LLY) (X)	A	Dividend	J	T					
40. Home Depot Inc (HD)	A	Dividend	J	T	Buy	04/21/20	J		
41. Honeywell Intl Inc DEL (HON) (X)	A	Dividend	J	T					
42. Intl Business Machines (IBM)	A	Dividend	J	T	Buy	04/21/20	J		
43. Johnson & Johnson Com (JNJ)	A	Dividend	J	T	Buy	04/21/20	J		
44. JPMorgan Chase & Co (JPM)	A	Dividend	J	T	Buy	04/21/20	J		
45. KLA Corp (KLAC) (X)	A	Dividend	J	T					
46. LAM Research Corp Com (LRCX) (X)	A	Dividend	J	T					
47. Lockheed Martin Corp (LMT)	A	Dividend	J	T	Buy	04/21/20	J		
48. Marsh & McLennan Cos Inc (MMC) (X)	A	Dividend	J	T					
49. Merck and Co Inc Shs (MRK)	A	Dividend	J	T	Buy	04/21/20	J		
50. Microsoft Corp (MSFT)	A	Dividend	J	T	Buy	04/21/20	J		
51. PNC Fincl Services Group (PNC) (X)	A	Dividend	J	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	
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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52. Procter & Gamble (PG)	A	Dividend	J	T	Buy	04/21/20	J		
53. Target Corp Com (TGT) (X)	A	Dividend	J	T					
54. Texas Instruments (TXN) (X)	A	Dividend	J	T					
55. Trane Technologies (TT) (X)	A	Dividend	J	T					
56. Union Pacific Corp (UNP)	A	Dividend	J	T	Buy	04/21/20	J		
57. UnitedHealth Group Inc (UNH) (X)	A	Dividend	J	T					
58. US Bancorp (USB) (X)		None	J	T					
59. Putnam Income Fund Cl Y (PNCYX)	A	Dividend	J	T	Buy	04/21/20	J		
60.					Buy (add'l)	04/22/20	J		
61. Blackrock Liquidity Fund T Fund Instl. Cl. (TSTXX) (cash eq.)	A	Dividend			Sold	04/21/20	J		
62. Comm Services Select Sector (XLC)	A	Dividend			Sold	04/21/20	J		
63. Consumer Discretionary SPDR (XLY)	A	Dividend			Sold	04/21/20	J		
64. First Trust Dow Jones Internet Index Fund (FDN)		None			Sold	04/21/20	J		
65. Health Care SPDR (XLV)	A	Dividend			Sold	04/21/20	J	A	
66. IShares NASDAQ Biotech ETF (IBB)	A	Dividend			Sold	04/21/20	J	A	
67. IShares MBS ETF (MBB)		None			Sold	01/14/20	J	A	
68. IShares Inc Core MSCI Emerg Mkts (IEMG)		None			Sold (part)	01/14/20	J	A	

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69.					Sold (part)	04/14/20	J		
70.					Sold	04/21/20	J		
71. IShares Tr Core MSCI EAF (IEFA)		None			Sold	04/21/20	J		
72. Real Estate Select Sector SPDR Fd. Shs (XLRE)	A	Dividend			Sold	04/21/20	J		
73. SPDR US Financial Sector (XLF)	A	Dividend			Sold	04/21/20	J		
74. Vanguard Small Cap (VB)	A	Dividend			Buy	01/14/20	J		
75.					Buy (add'l)	01/15/20	J		
76.					Sold	04/21/20	J		
77. Vanguard Consumer Staples (VDC)	A	Dividend			Sold	04/21/20	J		
78. Vanguard Information Tech (VGT)	A	Dividend			Sold	04/21/20	J		
79. Vanguard Industrial (VIS)	A	Dividend			Sold	04/21/20	J		
80. Account #8 (H)									
81. ML Bank Deposit Program (cash)	A	Interest	K	T					
82. ISA People's United (cash)	A	Interest	J	T					
83. American Beacon The London Co Inc Eq Fd CI A (ABCAX)	A	Dividend	K	T					

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2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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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/ Alistair E. Newbern

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