

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) Pate, Kelly F.	2. Court or Organization District Court for the Middle District of Alabama	3. Date of Report 05/17/2021
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 01/01/2020 to 12/31/2020
7. Chambers or Office Address One Church Street Suite A-501 Montgomery, AL 36104-4018		
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. Board of Directors, President	Family Sunshine Center
2. Board of Directors, member	Britton YMCA
3. Board of Directors, member	Federal Defenders Middle District of Alabama
4. partner	Balch & Bingham LLP
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. 01/01/19	Partnership Agreement with Balch & Bingham LLP providing for equity payout of 80% within 45 days of separating; remaining 20% after tax preparation
2. 2010	Money Purchase Pension Plan through fmr law firm Balch & Bingham LLP frozen and rolled into 401(k) maintained through Balch & Bingham LLP managed by Mass Mutual
3. Began 2005	401(k) through former law firm Balch & Bingham managed by Mass Mutual

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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. 2020	Balch & Bingham LLP - equity partner income	\$184,203.44
2. 2020	Balch & Bingham LLP - equity payout due to separation from partnership	\$22,998.00
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. 2020	travel agent; self-employed
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.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1. Montgomery Academy	tuition	J
2. Navient	(law shool) Student Loan	K
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. Vanguard (H)									
2. -Vanguard Cash Reserves Federal Money Marked Fund	A	Dividend	J	T					
3. FederaFranklin Templeton (H)									
4. -Franklin LifeSmart 2045 Retirement Target Fund Class C	A	Dividend	J	T					
5. -Franklin Growth Allocation Fund Class C	A	Dividend	J	T					
6. Alabama 529 Moderate Age Based Fund		None	J	T					
7. Alabama 529 Moderate Age Based Fund		None	J	T					
8. Alabama 529 Agressive Age Based Fund		None	J	T					
9. Mass Mutual 401k (H)									
10. -American Funds EuroPacific Growth Fund		None	L	T	Sold (part)	12/04/20	L		
11. -BlackRock Health Sciences Opportunitess Fund		None	M	T	Sold (part)	12/04/20	L		
12. -Fidelity Contrafund		None	M	T	Sold (part)	12/04/20	L		
13. -Sel TRP/LS Blue Chip Growth Fd		None	M	T	Sold (part)	12/04/20	L		
14. -Moderate Managed Account Portfolio CIT		None	L	T					
15. -T. Rowe Price Retirement 2040 Fund		None	L	T					
16. Regions Bank Cash Account		None	J	T					
17. Synovus Bank Cash Account		None	M	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII, Lines 6-8 - 529 Plan accounts only report unit value. No income or transaction information is provided.

Part VII, Lines 9-15 - 401k Plan account does not report income or transaction information.

Part VII, Line 13 - MassMutual Select T. Rowe Price Loomis Sayles on initial report is renamed to Sel TRP/LS Blue Chip Growth Fd on this report filing.

Part VII, Lines 10-13 - Majority of employer profit sharing portion of 401k plan was paid out upon termination. Account statement only discloses withdrawal amounts. No gain or loss information is provided.

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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/ Kelly F. Pate

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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