

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Coogler, Lawrence S.	2. Court or Organization Northern District of Alabama	3. Date of Report 05/14/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2018 to 12/31/2018
	5b. ☐ Amended Report	
7. Chambers or Office Address Tuscaloosa Federal Building 2005 University Blvd. Tuscaloosa, AL 35401		
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.		
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. 2018	University of Alabama - School of Law, Salary for teaching	\$10,000.00
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. 2018	Mitzi H. Coogler, CPA, Income from accounting practice.
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.	Jose R. Rivas	Glock 9 mm Pistol	\$625.00
2.	Jose R. Rivas	Fishing Accomodations in Alaska	\$2,500.00
3.	Larry Morris	Quail and Pheasant Hunting at Lodge	\$1,500.00
4.	Larry Morris	Alabama Football tickets	\$600.00
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.	BBVA Compass Bank	Real Estate Mortgage (Greystone)	M
2.	Renasant Mortgage	Real Estate Mortgage (H. Drive)	M
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) 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. Rental Property No. 2, Tuscaloosa, AL () HH	D	Rent	M	W					
2. Rental Property No. 3, Tuscaloosa, AL () Cap	D	Rent	M	W					
3. Coogler & Copeland, Jnt. Vnt. (33 ave Tuscaloosa,AL) 50% Int	D	Rent	L	W					
4. Checking Account #1 Bank of Tuscaloosa		None	J	T					
5. Checking Account #2 Bank of Tuscaloosa		None	K	T					
6. Savings Account - Compass Bank (LSC - MC)	A	Interest	J	T					
7. Money Market Account #1 - Bank of Tuscaloosa	A	Interest	J	T					
8. TD Waterhouse Bank Money Market Account ()	A	Interest	J	T					
9. Checking Account- Life Insurance Trust - Bank of Tuscaloosa		None	J	T					
10. Real Estate Rental, Sherwood East, Ltd. 1/12		None	J	U					
11. Prepaid College Tuition Plan, State of Alabama (HCC)		None	J	W					
12. Prepaid College Tuition Plan, State of Alabama (ADC)	D	Distribution	J	W					
13. Money Market Account #4, Bank of Tuscaloosa (HCC)	A	Interest	J	T					
14. Money Market Account #5, Bank of Tuscaloosa (ADC)	A	Interest	K	T					
15. Retirement Systems - State of Alabama	C	Interest	L	T					
16. Rental Property No. 4 -Tuscaloosa, AL (CC)	D	Rent	M	W					
17. Checking Account Compass Bank (ADC)		None	J	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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☐ 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)
18. Rental Property No. 5 (C. Creek) - Tuscaloosa, AL	D	Rent	M	W					
19. Checking Account Compass Bank (HCC)		None	J	T					
20. Rental Property No.6 (Greystone) Northport, AL	D	Rent	M	W					
21. Business Checking Account - SmartBank (prev Capstone Bank) (Mitzi CPA)		None	J	T					
22. Business Savings Account-SmartBank (prev Capstone Bank) (Mitzi CPA)	A	Interest	L	T					
23. Rental Property No. 7 (Greystone #2) Northport, AL	D	Rent	M	W					
24. Rental Property No 8 (H. Drive No. 2) Tuscaloosa, AL	C	Rent	M	W	Buy	08/10/18	M		Margaret Walker Raburn
25. Rental Property No 9 (Vestavia No. 3) Northport, AL		None	M	W	Buy	09/28/18	M		Robby A. Miller
26. Stifel Money Market (LSC-MHC)	A	Interest	K	T					
27. Stifel Money Market (HCC)	A	Interest	J	T					
28. Ishares Core Growth Allocation ETF (HCC)	A	Dividend	J	T					
29. Stifel Money Market (ADC)	A	Interest	J	T					
30. Ishares Core Growth Allocation ETF (ADC)	A	Dividend	J	T					
31. Checking Account - Compass Bank (ADC Rental)		None	J	T					
32. Pioneer Bond Fund C (MC)	A	Dividend	K	T	Buy	10/12/18	J		
33. Pioneer Bond Fund C (MC)					Buy (add'l)	12/26/18	J		
34. Pioneer Classic Balanced Fund C (MC)	A	Dividend	K	T	Buy	10/12/18	J		

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	
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35. Pioneer Classic Balanced Fund C (MC)					Buy (add'l)	11/29/18	J		
36. Pioneer Classic Balanced Fund C (MC)					Buy (add'l)	11/29/18	J		
37. Pioneer Classic Balanced Fund C (MC)					Buy (add'l)	12/26/18	J		
38. Pioneer Equity Income Fund C (MC)	B	Dividend	K	T	Buy	10/12/18	J		
39. Pioneer Equity Income Fund C (MC)					Buy (add'l)	12/26/18	J		
40. Pioneer Fundamental Growth Fund C (MC)	B	Dividend	K	T	Buy	10/12/18	J		
41. Pioneer Fundamental Growth Fund C (MC)					Buy (add'l)	12/26/18	J		
42. Pioneer Real Estate Shares C (MC)	A	Dividend	J	T	Buy	10/12/18	J		
43. Pioneer Real Estate Shares C (MC)					Buy (add'l)	11/29/18	J		
44. Pioneer Real Estate Shares C (MC)					Buy (add'l)	11/29/18	J		
45. Pioneer Real Estate Shares C (MC)					Buy (add'l)	11/29/18	J		
46. Pioneer Real Estate Shares C (MC)					Buy (add'l)	12/26/18	J		
47. Pioneer Strategic Income Fund C (MC)	A	Dividend	K	T	Buy	10/12/18	J		
48. Pioneer Strategic Income Fund C (MC)					Buy (add'l)	12/26/18	J		
49. STIFEL BANK PROGRAM FDC INS BK DEP PG (MC)	A	Interest	J	T					
50. IS SHARES IBOX \$INVESTMENT GRADE CORP BOND ETF (MC)	A	Dividend	J	T					
51. ISHARES MBS ETF (MC)	A	Dividend	K	T	Sold (part)	12/18/18	J		

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52. VANGUARD INTERMEDIATE TERM BOND ETF (MC)	A	Dividend	K	T					
53. SECTOR MATERIALS SELECT SECTOR SPDR ETF (MC)	A	Dividend			Sold	12/18/18	J		
54. SECTOR HEALTHCARE SELECT SECTOR SPDR ETF (MC)	A	Dividend	K	T					
55. SECTOR CONSUMER STAPLES SELECT SECTOR SPDR ETF (MC)	A	Dividend	K	T					
56. CONSUMER DISCRETIONARY SELECT SECTOR SPDR ETF (MC)	A	Dividend	K	T					
57. SECTOR ENERGY SELECT SECTOR SPDR ETF (MC)	A	Dividend	K	T					
58. SECTOR INDUSTRIAL SELECT SECTOR SPDR ETF (MC)	B	Dividend	L	T					
59. SELECT UTILITIES SELECT SECTOR SPDR ETF (MC)	A	Dividend	K	T					
60. VANGUARD VALUE ETF (MC)	B	Dividend	L	T	Buy	01/08/18	J		
61. VANGUARD GROWTH ETF (MC)	A	Dividend	K	T					
62. ISHARES GOLD TRUST (MC)					Sold	01/08/18	J		
63. VANGUARD FINANCIALS ETF (MC)	B	Dividend	K	T					
64. VANGUARD INFORMATION (MC) TECHNOLOGY ETF	A	Dividend	L	T					
65. VANGUARD COMMUNICATION SERVICES ETF (prev TELECOM SERVICES ETF) (MC)	A	Dividend	J	T					
66. VICTORY SHARES US EQ INCOME ENH VOLATILITY WTD ETF (MC)	A	Dividend	J	T					
67. VICTORY SHARES US LARGE CAP HIGH DIV VOLATILITY (MC)	A	Dividend	J	T					

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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.)

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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)
68. VICTORY SHARES US 500 ENHANCED (MC)	A	Dividend	K	T					
69. FIRST TRUST EXCHANGE TRADED FUND VI RISING DIV ACHIEVERS ETF (MC)	A	Dividend	J	T	Buy	12/18/18	J		
70. VANGUARD INTERMEDIATE TERM CORP BOND ETF (LSC)	A	Dividend	J	T					
71. VANGUARD FTSE DEVEL MKTS ETF (LSC)	A	Dividend	J	T	Sold (part)	12/18/18	J		
72. VANGUARD FTSE EMERG MKTS ETF (LSC)	A	Dividend	J	T					
73. VANGUARD GROWTH ETF (LSC)	A	Dividend	K	T	Buy	12/18/18	J		
74. VANGUARD VALUE ETF (LSC)	A	Dividend	K	T	Buy	12/18/18	J		
75. VANGUARD SMALL CAP ETF (LSC)	A	Dividend	J	T					
76. VANGUARD MID CAP ETF (LSC)	A	Dividend	J	T	Buy	12/18/18	J		
77. STIFEL BANK PROGRAM FDIC INS BK DEP PG (LSC)	A	Interest	J	T					
78. VANGUARD INTERMEDIATE TERM BOND ETF (LSC)	A	Dividend	J	T	Sold (part)	12/18/18	J		
79.									
80.									
81.									
82.									
83.									

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.)*

Note:

The prepaid tuition plans are state plans that I have no control over. They are valued at their cost.

The incomes listed for the LLC's and the Ltd are K-1 incomes. The values for these assets are stated at my ownership percentage.

The retirement account listed on line 16 in Part VII constitutes the funds that are available to me due to my payments into my State of Alabama Retirement. When I resigned from the State of Alabama, those funds became availale to me. I have chosen to leave those funds with the State of Alabama Retirement Systems to draw interest on those funds. Before I resigned, the retirement account was an obligation of the State of Alabama Retirement Systems to pay a percentage of my salary once I reached retirement age.

The amounts listed in Part V as gifts are estimated becuase the person providing them is a friend who would not disclose the value of such gifts.

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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/ **Lawrence S. Coogler**

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