

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) Axon, Annemarie	2. Court or Organization United States District Court, Northern District of Alabama	3. Date of Report 01/19/2022
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge, Active	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 Hugo L. Black United States Courthouse 1729 5th Avenue North Birmingham, Alabama 35203		
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. Director	Mountain Brook City Schools Foundation
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.		
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. 2020	self-employed attorney
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.	Joe Perkins	Hunt Fee	\$595.00
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.	U.S. Department of Justice	loan	J
2.	Synovus Bank	personal line of credit	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. Apple Inc	A	Dividend	J	T	Sold (part)	07/24/20	J	B	
2.					Sold (part)	09/20/20	J	C	
3.					Sold (part)	10/06/20	J	A	
4. Air Prods & Chems Inc com	A	Dividend	J	T	Buy	02/24/20	J		
5. ARK Genomic Revolution ETF	A	Distribution	L	T	Buy	10/29/20	K		
6. AQR U.S. Defensive Equity Fund Class I	A	Dividend	K	T	Buy	04/13/20	K		
7. Franklin Res Inc	A	Dividend	J	T					
8. Blackrock Inc	A	Dividend	J	T	Buy (add'l)	10/06/20	J		
9. Berkshire Hathaway Inc Del Cl B New		None	J	T	Buy (add'l)	07/24/20	J		
10. Crown Castle Intl Corp	A	Dividend	J	T	Buy (add'l)	03/17/20	J		
11. Carnival Corp	A	Dividend			Sold	03/17/20	J		
12. Cincinnati Financial Corp Com	A	Dividend	J	T					
13. Comcast Corp New Cl A		None	J	T	Buy	12/16/20	J		
14. Cisco Sys Inc	A	Dividend	J	T	Buy (add'l)	07/24/20	J		
15. Chevron Corp New Com	A	Dividend			Buy (add'l)	05/01/20	J		
16.					Sold	10/30/20	J		
17. Dominion Resources	A	Dividend			Buy (add'l)	03/17/20	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	
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.)

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.					Sold	10/30/20	J	A	
19. Delta Airlines Inc	A	Dividend			Sold	05/01/20	J		
20. Diageo PLC	A	Dividend	J	T	Buy (add'l)	10/06/20	J		
21. IShares MSCI Emerging Markets Min Volatility Factor ETF	A	Dividend	K	T					
22. Vanguard ESG U.S. Stock ETF	A	Dividend	K	T	Buy	10/29/20	K		
23. Fidelity Capital & Income Fund	B	Dividend	K	T					
24. Fastenal Co	A	Dividend	J	T	Buy (add'l)	03/17/20	J		
25.					Sold (part)	09/09/20	J	B	
26. Fidelity Cash Reserves	A	Int./Div.	K	T					
27. Franklin Templeton Emerging Market Debt Opportunities Fund		None	K	T	Buy (add'l)	01/09/20	J		
28.					Buy (add'l)	10/30/20	J		
29. Intel Corp	A	Dividend	J	T					
30. Johnson & Johnson	A	Dividend			Buy (add'l)	07/24/20	J		
31.					Sold	09/03/20	J	B	
32. JP Morgan Strategic Income Opportunities Fund Cl S	B	Dividend	L	T	Buy (add'l)	01/09/20	J		
33.					Buy (add'l)	09/09/20	J		
34.					Buy (add'l)	10/30/20	J		

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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	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. Kinder Morgan Inc	A	Dividend			Sold	05/01/20	J		
36. Coca Cola	A	Dividend	J	T					
37. Lord Abbett Bond Debenture CI I	A	Dividend	K	T	Buy	04/13/20	K		
38. Lowes Cos Inc	A	Dividend	J	T					
39. Altria Group Inc	A	Dividend	J	T	Buy (add'l)	03/17/20	J		
40. Merck & Co Inc	A	Dividend	J	T	Buy (add'l)	03/17/20	J		
41. Microsoft	A	Dividend	J	T					
42. Norfolk Southern Corp	A	Dividend	J	T	Buy (add'l)	10/06/20	J		
43. Nestle	A	Dividend	J	T	Buy (add'l)	03/17/20	J		
44. Nintendo Co	A	Dividend	J	T	Buy	09/03/20	J		
45. PayChex Inc	A	Dividend	J	T					
46. Paccar Inc Com	A	Dividend			Sold	02/24/20	J	A	
47. Pfizer Inc Com	A	Dividend	J	T					
48. Philip Morris Int'l Inc	A	Dividend	J	T	Buy (add'l)	05/01/20	J		
49. Polen Growth Fund Institutional Class	C	Distribution	N	T					
50. Bank Deposit Sweep Program	A	Interest	L	T					
51. Target Corp	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	
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52. TIAA CREF Core Impact Bond Fund Institutional Class	C	Dividend	L	T	Buy (add'l)	01/09/20	J		
53.					Buy (add'l)	10/30/20	J		
54. Texas Instruments Inc	A	Dividend	J	T	Buy (add'l)	03/17/20	J		
55.					Buy (add'l)	10/06/20	J		
56. Undiscovered Managers Behavioral Fund	B	Dividend	M	T	Buy (add'l)	01/09/20	K		
57.					Buy (add'l)	09/09/20	K		
58. United Parcel Service Inc	A	Dividend	J	T					
59. IShares Tr MSCI USA Minimum Volatility Index Fund	B	Dividend	K	T	Sold (part)	10/27/20	K	C	
60.					Sold (part)	10/29/20	K	B	
61. Vanguard REIT Index ETF	C	Dividend	L	T	Buy (add'l)	09/09/20	J		
62.					Buy (add'l)	10/30/20	J		
63. Vanguard Mid Cap	A	Dividend	L	T	Buy (add'l)	01/09/20	J		
64.					Buy (add'l)	09/09/20	J		
65.					Buy (add'l)	10/30/20	J		
66. Viatris Inc Com		None	J	T	Spinoff (from line 47)	11/17/20	J		
67.					Sold	12/15/20	J	A	
68. Verizon Communications	A	Dividend	J	T	Buy	07/24/20	J		

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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	

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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69. WCM Focused International Growth Fund	C	Dividend	N	T					
70. Wells Fargo	A	Dividend			Sold	10/06/20	J		
71. DFA US Large Cap Value 529F		None	K	T	Buy (add'l)	01/07/20	J		
72.					Buy (add'l)	02/10/20	J		
73.					Buy (add'l)	03/10/20	J		
74.					Buy (add'l)	04/07/20	J		
75.					Buy (add'l)	05/11/20	J		
76.					Buy (add'l)	06/09/20	J		
77.					Buy (add'l)	07/06/20	J		
78.					Buy (add'l)	08/10/20	J		
79.					Buy (add'l)	09/09/20	J		
80.					Buy (add'l)	10/09/20	J		
81.					Buy (add'l)	11/09/20	J		
82.					Buy (add'l)	12/18/20	J		
83. Northern Funds International Equity Index 529F		None	K	T	Buy (add'l)	01/07/20	J		
84.					Buy (add'l)	02/10/20	J		
85.					Buy (add'l)	03/10/20	J		

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

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86.					Buy (add'l)	04/07/20	J		
87.					Buy (add'l)	05/11/20	J		
88.					Buy (add'l)	06/09/20	J		
89.					Buy (add'l)	07/06/20	J		
90.					Buy (add'l)	08/10/20	J		
91.					Buy (add'l)	09/09/20	J		
92.					Buy (add'l)	10/09/20	J		
93.					Buy (add'l)	11/09/20	J		
94.					Buy (add'l)	12/18/20	J		
95. Northern Funds Stock Index 529F		None	K	T	Buy (add'l)	01/07/20	J		
96.					Buy (add'l)	02/10/20	J		
97.					Buy (add'l)	03/10/20	J		
98.					Buy (add'l)	04/07/20	J		
99.					Buy (add'l)	05/11/20	J		
100.					Buy (add'l)	06/09/20	J		
101.					Buy (add'l)	07/06/20	J		
102.					Buy (add'l)	08/10/20	J		

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

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103.					Buy (add'l)	09/09/20	J		
104.					Buy (add'l)	10/09/20	J		
105.					Buy (add'l)	11/09/20	J		
106.					Buy (add'l)	12/18/20	J		
107. Mainstay Total Return Bond 529F		None			Buy (add'l)	01/07/20	J		
108.					Buy (add'l)	02/10/20	J		
109.					Buy (add'l)	03/10/20	J		
110.					Buy (add'l)	04/07/20	J		
111.					Sold	04/28/20	K	D	
112. PGIM Total Return Bond 529F		None	K	T	Buy	04/28/20	K		
113.					Buy (add'l)	05/11/20	J		
114.					Buy (add'l)	06/09/20	J		
115.					Buy (add'l)	07/06/20	J		
116.					Buy (add'l)	08/10/20	J		
117.					Buy (add'l)	09/09/20	J		
118.					Buy (add'l)	10/09/20	J		
119.					Buy (add'l)	11/09/20	J		

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

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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

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)
120.					Buy (add'l)	12/18/20	J		
121. William Blair Small Cap Value 529F		None	K	T	Buy (add'l)	01/07/20	J		
122.					Buy (add'l)	02/10/20	J		
123.					Buy (add'l)	03/10/20	J		
124.					Buy (add'l)	04/07/20	J		
125.					Buy (add'l)	05/11/20	J		
126.					Buy (add'l)	06/09/20	J		
127.					Buy (add'l)	07/06/20	J		
128.					Buy (add'l)	08/10/20	J		
129.					Buy (add'l)	09/09/20	J		
130.					Buy (add'l)	10/09/20	J		
131.					Buy (add'l)	11/09/20	J		
132.					Buy (add'l)	12/18/20	J		
133. GPB Holdings II LP		None	K	V					

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Axon, Annemarie

Date of Report

01/19/2022

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

The asset listed at Section VII, line 133 is a limited partnership. Its value was determined through the third-party appraisal of the limited partnership's underlying assets.

The asset listed Section VII, line 66 is a spinoff of the asset listed in Section VII, line 47. No income was reported from the time the spinoff occurred and 12/31/2020.

Assets listed in Section VII 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 are instead credited only to unit value, per page 42 of the filing instructions.

FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

Axon, Annemarie

Date of Report

01/19/2022

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/ Annemarie Axon**

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
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