

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) Brown, Michael L.	2. Court or Organization United States District Court Northern District of Georgia	3. Date of Report 05/05/2021
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 United States District Court 75 Ted Turner Drive NW Atlanta, GA 30303		
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.		
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.)*

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) 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. Sun Trust (cash)	B	Interest	O	T					
3. ExxonMobil Common Stock (XOM)	D	Dividend	M	T					
4. Freddie Mac Common Stock (FMCC)		None	J	T					
5. Northwestern Mutual Insurance Estate Comp Life (Whole Life Policy #1)	D	Dividend	L	T					
6. Northwestern Mutual Insurance Estate Comp Life (Whole Life Policy #2)	C	Dividend	L	T					
7. Northwestern Mutual Insurance 65 Life (Whole Life Policy)	D	Distribution	L	T					
8. Account #1 (H)									
9. Fidelity Advisor Financial Svcs Cl I (FFSIX)	A	Dividend	J	T					
10. Fidelity Advisor Materials Cl I (FMFEX)		None			Sold	01/14/20	J		
11. Cullen Emerging Mrkt High Dividend Cl I (CEMF)	A	Dividend	J	T					
12. Polen Growth Fund Instl Shares (POLIX)	A	Dividend	K	T	Buy (add'l)	06/11/20	J		
13. JPMorgan Large Cap Growth Class I (SEEGX)	D	Dividend	M	T					
14. Putnam Equity Income Fund Cl Y (PEIYX)	C	Dividend	L	T					
15. Account #2 (H)									
16. Fidelity Advisor Financial Svcs Cl I (FFSIX)	A	Dividend	J	T					
17. Fidelity Advisor Materials Cl I (FMFEX)		None			Sold	01/14/20	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	

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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)
18. Cullen Emerging Mrkt High Dividend Cl I (CEMFx)	A	Dividend	J	T					
19. Polen Growth Fund Instl Shares (POLIX)	A	Dividend	K	T	Buy (add'l)	06/11/20	J		
20. JPMorgan Large Cap Growth Class I (SEEGX)	D	Dividend	M	T					
21. Putnam Equity Income Fund Cl Y (PEIYX)	C	Dividend	L	T					
22. Account #3 (H)									
23. Alston & Bird Enhanced Partner Cash Balance Plan (cash)	E	Interest	N	T					
24. Franklin Growth Advantage (FCGAX)	C	Dividend	P1	T	Buy (add'l)	12/01/20	L		
25. Wells Fargo Enhanced Stock Market Fd (ESMKTN)		None	P1	T					
26. Account #4 (H)									
27. Alston & Bird Enhanced Partner Cash Balance Plan (cash)	E	Interest	O	T					
28. Franklin Growth Advantage (FCGAX)	C	Dividend	P1	T					
29. Wells Fargo Enhanced Stock Market Fd (ESMKTN)		None	P1	T					
30. Account #5 (H)									
31. Fidelity Govt Cash Reserves (FDRXX)	A	Interest	K	T					
32. Fidelity Advisor Equity Income Cl I (EQPIX)	A	Dividend	K	T					
33. Fidelity Advisor Utilities Fund Cl I (FUGIX)	B	Dividend	L	T					
34. Fidelity Advisor Technology Cl I (FATIX)	C	Dividend	K	T	Buy	05/29/20	K		

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2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$250,000,001 - \$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)
35. Fidelity Advisor Financial Svcs Cl I (FFSIX)	B	Dividend	L	T	Buy (add'l)	05/29/20	K		
36. Fidelity Advisor Health Care Cl I (FHCIX)	C	Dividend	L	T	Buy (add'l)	05/29/20	K		
37. Fidelity Advisor Materials Cl I (FMFEX)		None			Sold	05/29/20	K		
38. Kopernik International I (KGIIX)	B	Dividend	K	T					
39. American Capital Income Builder F3 (CFIHx)	B	Dividend	L	T					
40. Cullen Emerging Mrkt High Dividend Cl I (CEMFx)	A	Dividend			Sold	05/29/20	K		
41. Federated Strategic Value Dividend IS (SVAIX)	C	Dividend	L	T					
42. Federated Capital Income Fund Cl IS (CAPSX)	D	Dividend	M	T					
43. Polen Growth Fund Instl Shares (POLIX)	C	Dividend	N	T	Buy (add'l)	05/29/20	M		
44. The Growth Fund of America F3 (GAFFx)	B	Dividend	K	T					
45. Hartford Growth Oppt Fund Cl Y (HGOYx)	D	Dividend	L	T					
46. JPMorgan Income Builder Fund Class I (JNBSx)	B	Dividend	L	T					
47. JPMorgan Equity Income Class 1 (HLIEX)	B	Dividend	L	T					
48. MFS International Diversification Fd A (MDIDx)	A	Dividend	K	T					
49. MFS Growth Fund Class I (MFEIX)	C	Dividend	M	T					
50. Mainstay Mackay Intl Opportunities Fund I (MYIIX)		None			Sold	05/29/20	K		
51. Putnam Equity Income Fund Cl Y (PEIYx)	D	Dividend	M	T					

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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)
52. Victory RS Small Cap Growth Cl Y (RSYEX)	D	Dividend	L	T					
53. Fidelity Advisor Strategic Inc Cl I (FSRIX)	A	Dividend	J	T	Sold (part)	01/14/20	J		
54. Blackrock Multi-Asset Income Instl (BIICX)	C	Dividend	L	T					
55. JPMorgan Core Bond Class I (WOBDX)	A	Dividend	J	T					
56. Invesco QQQ Tr Unit Ser 1 (QQQ)	A	Dividend	K	T	Buy	05/28/20	K		
57. Ishares Core S&P 500 ETF (IVV)	A	Dividend	K	T					
58. Ishares Core S&P Mid-Cap ETF (IJH)	A	Dividend	K	T					
59. Ishares Core S&P US Value ETF (IUSV)	A	Dividend	K	T					
60. Ishares Trust Ishares Core High (HDV)	B	Dividend	K	T					
61. SPDR Ser Tr S&P Biotech (XBI)	A	Dividend	L	T	Buy	05/28/20	K		
62.					Buy (add'l)	06/12/20	K		
63. SPDR S&P Midcap 400 ETF Tr UT Ser 1 (MDY)	A	Dividend	K	T					
64. Select Sector SPDR TR Health Care (XLV)	A	Dividend	L	T	Buy	05/28/20	K		
65.					Buy (add'l)	06/12/20	K		
66. Vanguard Intl Equity Index Fund Inc FTSE (VWO)	A	Dividend			Sold	05/28/20	K		
67. Account #6 (H)									
68. 529 Plan NY Saves Moderate Age Based Option: Conservative Port		None			Buy (add'l)	02/25/20	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

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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)
69.					Sold	07/06/20	L		
70. 529 Plan NY Saves Moderate Age Based Option: Income Port		None	L	T	Buy	07/06/20	L		
71. 529 Plan NY Saves Conservative Age Based Option: Balanced Income Port		None			Buy (add'l)	02/25/20	J		
72.					Sold	07/06/20	K		
73. 529 Plan NY Saves Conservative Age Based Option: Conserv. Income Port		None	K	T	Buy	07/06/20	K		
74. Account #7 (H)									
75. 529 Plan NY Saves Moderate Age Based Option: Conserv Growth Port		None	L	T	Buy (add'l)	02/25/20	J		
76. 529 Plan NY Saves Conservative Age Based Option: Income Port		None	K	T	Buy (add'l)	02/25/20	J		
77. Account #8 (H)									
78. 529 Plan NY Saves Moderate Age Based Option: Disc Growth Port		None	M	T	Buy (add'l)	02/25/20	K		

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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/ **Michael L. Brown**

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