

FINANCIAL DISCLOSURE REPORT

FINAL FILING

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) Emerson, George W.	2. Court or Organization U.S. Bankruptcy Court, Western District of Tennessee	3. Date of Report 07/24/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☐ Annual ☒ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2020 to 06/30/2020
7. Chambers or Office Address Suite 675, One Memphis Place 200 Jefferson Avenue Memphis, Tennessee 38103		
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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Emerson, George W.

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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	The Costa Company, LLC
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.				

Name of Person Reporting	Date of Report
Emerson, George W.	07/24/2020

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)	(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. Investment Acct #1 (Charles Schwab & Co. Inc. - SEP-IRA) (H)									
2. Berkshire Hathaway Inc Del Cl B New (BRKB)		None	K	T					
3. PGIM Short Term Corp Bond (PIFZX)	A	Dividend	J	T	Sold (part)	03/27/20	J		
4. Vanguard Index FDS Vanguard Growth ETF (VUG)	A	Dividend	M	T	Sold (part)	03/27/20	J		
5.					Sold (part)	06/11/20	J	C	
6. Schwab Govt Money Fund (SWGXX)	A	Dividend	J	T					
7. Oakmark Intl FD Class I (OAKIX)		None	L	T					
8. Eaton Vance Global Macro Abs Ret I (EIGMX)	A	Dividend	J	T					
9. Baron Emrg Mkts FD Inst (BEXIX)		None	K	T					
10. IShares Core S&P Small-Cap ETF (IJR)	A	Dividend	L	T	Buy (add'l)	03/27/20	J		
11. Lord Abbett Floating (LFRIX)	A	Dividend	J	T					
12. Schwab Short-Term Bond Index Fund (SWSBX)	A	Dividend	J	T	Sold (part)	03/27/20	J	A	
13.					Sold (part)	06/11/20	J	A	
14. Royce Intl Premier FD (RIPNX)		None	K	T					
15. PIMCO INCM INST CL (PIMIX)	A	Dividend	J	T					
16. Carillon Scout Mid Cap (UMBMX)		None	K	T	Buy (add'l)	03/27/20	J		
17.					Sold (part)	06/11/20	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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Name of Person Reporting

Emerson, George W.

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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)
18. Goldman Sachs ACTVBT Intereqy ETF (GSIE)	A	Dividend	K	T	Buy (add'l)	03/27/20	K		
19. Goldman Sachs ACTVBETA US Lrg ETF (GSLC)	A	Dividend	L	T	Buy (add'l)	03/27/20	J		
20. Lord Abbett Short Dur Income FD CL I (LLDYX)	A	Dividend	J	T					
21. VanEck Vectors Morningstar Wide Moat ETF (MOAT)		None	L	T	Sold (part)	06/11/20	J		
22. Nuance Concentrated Value Long Short Inst (NCLSX)		None	K	T	Sold (part)	03/27/20	J	A	
23. Schwab Short Term US Treasury ETF (SCHO)	A	Dividend			Sold	03/27/20	K	A	
24. TransAmerica Emrg Mkts Debt FD CL I (EMTIX)	A	Dividend	J	T	Sold (part)	06/11/20	J		
25. Schwab Funda Emg Mkts Large Com ETF (FNDE)	A	Dividend	K	T	Buy (add'l)	03/27/20	J		
26. Schwab Fundamental US Large Co ETF (FNDX)	B	Dividend	L	T	Buy (add'l)	03/27/20	J		
27. PIMCO Active Bond ETF (BOND)		None	K	T	Buy	06/11/20	K		
28. Palmer Square Incm Plus FD I (PSYPX)	A	Dividend	J	T	Buy	06/11/20	J		
29. PGIM Total Return BD Z (PDBZX)	A	Dividend	J	T	Buy	06/11/20	J		
30. Paragon Affinity Money Mkt Savings	A	Interest	L	T					
31. Investment Acct #2 (Charles Schwab & Co. Inc. - IRA Contributory) (H)									
32. Templeton Global Bond Fund Class A (TPINX)	A	Dividend	J	T	Sold (part)	03/27/20	J		
33.					Sold (part)	06/11/20	J		
34. Schwab Govt Money Fund (SWGXX)	A	Dividend	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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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)
35. Lord Abnett Short Dur Income FD CL A (LALDX)	A	Dividend	J	T	Sold (part)	03/27/20	J		
36.					Sold (part)	06/11/20	J		
37. Carillon Scout Mid Cap FD I (UMBMX)		None	J	T	Buy (add'l)	03/27/20	J		
38.					Sold (part)	06/11/20	J		
39. Lord Abnett Floating (LFRAX)	A	Dividend	J	T	Buy (add'l)	06/11/20	J		
40. Schwab Fundamental US Large ETF IV (FNDX)	A	Dividend	K	T	Buy (add'l)	03/27/20	J		
41.					Sold (part)	06/11/20	J		
42. Schwab US Large Cap Growth ETF (SCHG)	A	Dividend	K	T	Sold (part)	03/27/20	J	A	
43.					Sold (part)	06/11/20	J	A	
44. Baron Emrg Mkts FD (BEXFX)	A	Dividend	J	T					
45. Schwab Short Term Bond Index Fund (SWSBX)	A	Dividend	J	T	Sold (part)	03/27/20	J	A	
46.					Sold (part)	06/11/20	J	A	
47. Oakmark Intl Fund Ind (OAKIX)		None	J	T					
48. Eaton Vance Global Macro Abs Ret A (EAGMX)	A	Dividend	J	T					
49. Schwab Fundamental Intl Small Com ETF (FNDC)	A	Dividend	J	T	Buy (add'l)	03/27/20	J		
50. PGIM Short Term Corp BD FD CL Z (PIFZX)	A	Dividend	J	T	Sold (part)	03/27/20	J		
51.					Sold (part)	06/11/20	J	A	

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)
52. Nuance Concentrated Value Long Short Inv (NCLIX)		None	J	T	Sold (part)	03/27/20	J	A	
53.					Buy (add'l)	06/11/20	J		
54. Schwab Short Term US Treasury ETF (SCHO)	A	Dividend			Sold	03/27/20	J	A	
55. Schwab Funda Emg Mkts Large Com ETF (FNDE)	A	Dividend	J	T	Buy (add'l)	06/11/20	J		
56. iShares Core S&P Small Cap ETF (IJR)	A	Dividend	J	T	Buy (add'l)	03/27/20	J		
57. VanEck Vectors Morningstar Wide Moat ETF (MOAT)		None	J	T	Buy (add'l)	03/27/20	J		
58.					Sold (part)	06/11/20	J		
59. Goldman Sachs ACTVBT Intereqy ETF (GSIE)	A	Dividend	J	T	Buy (add'l)	03/27/20	J		
60. Goldman Sachs ACTVBETA US Lrg ETF (GSLC)	A	Dividend	J	T	Buy (add'l)	03/27/20	J		
61.					Sold (part)	06/11/20	J		
62. PIMCO Active Bond ETF (BOND)		None	J	T	Buy	06/11/20	J		
63. PIMCO Incm CL A (PONAX)	A	Dividend	J	T	Buy	06/11/20	J		
64. PGIM Total Return BD Z (PDBZX)	A	Dividend	J	T	Buy	06/11/20	J		
65. Mass Mutual (401K) - MFS Lifetime 2040 R2		None	M	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

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

Part VII. Investments and Trusts

- The individual assets of "Investment Acct #1 (Charles Schwab & Co. Inc. - SEP-IRA) (H)" are listed at lines 2 - 29. The assets in this account are separate from the assets listed under "Investment Acct #2 (Charles Schwab & Co. Inc.- IRA Contributory) (H)."

- Paragon Affinity Money Mkt Savings was listed at line number 69 on last year's report. Because this asset is a separate account and not an individual asset within Investment Acct #1, it is now listed at line number 30, following the assets listed for Investment Acct #1.

- The individual assets of "Investment Acct #2 (Charles Schwab & Co. Inc. - IRA Contributory) (H)" are listed at lines 32 - 64.

- Mass Mutual (401K) - MFS Lifetime 2040 R2 was listed at line number 97 on last year's report. Because this asset is a separate account and not an individual asset within Investment Acct #2, it is now listed at line number 65, following the assets listed for Investment Acct #2.

Part VII. Investments and Trusts

The following assets did not generate income during the reporting period:

- Line 2: Berkshire Hathaway Inc Del Cl B New (BRKB)
- Line 7: Oakmark Intl FD Class I (OAKIX)
- Line 9: Baron Emrg Mkts FD Inst (BEXIX)
- Line 14: Royce Intl Premier FD (RIPNX)
- Line 16: Carillon Scout Mid Cap (UMBMX)
- Line 21: VanEck Vectors Morningstar Wide Moat ETF (MOAT)
- Line 22: Nuance Concentrated Value Long Short Ints (NCLSX)
- Line 27: PIMCO Active Bond ETF (BOND)
- Line 37: Carillon Scout Mid Cap FD I (UMBMX)
- Line 47: Oakmark Intl Fund Ind (OAKIX)
- Line 52: Nuance Concentrated Value Long Short Inv (NCLSX)
- Line 57: VanEck Vectors Morningstar Wide Moat ETF (MOAT)
- Line 62: PIMCO Active Bond ETF (BOND)
- Line 65: Mass Mutual (401K) - MFS Lifetime 2040 R2

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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/ **George W. Emerson**

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