

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) Grimberg, Steven D.	2. Court or Organization U.S. District Court, Northern District of Georgia	3. Date of Report 05/14/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III - Active Status	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 1767 United States Courthouse 75 Ted Turner Drive, SW Atlanta, GA 30303-3309		
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. Member, Board of Trustees	American Inns of Court
2. Team Leader	Emory University School of Law, Kessler Eidson Trial Techniques Program
3. Member, Executive Committee	Clarence Cooper (formerly Lamar) Inn of Court
4.	
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.	
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. 2020	Emory University School of Law - wages	\$3,500.00
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. 2020	Booz Allen Hamilton, Inc. - wages
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. First Citizens Bank	Co-signer on line of credit secured by real property (not primary residence)	K
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. First Citizen Bank cash accounts	A	Interest	L	T					
2. 401K #1 (H)									
3. Voya Target Solution 2060	A	Int./Div.			Closed	02/04/20	L	A	
4. IRA #1 (H)									
5. Fidelity Government Cash Reserves	A	Dividend			Merged (with line 36)	01/07/20	J		
6. Baird Aggregate Bond Fund Instl	A	Dividend			Sold	02/07/20	J	A	
7. Credit Suisse Commnd Rtrn Strtgy Instl Sh		None			Sold	02/07/20	J		
8. Janus Henderson Flexible Bond I	A	Dividend			Sold	02/07/20	J	A	
9. John Hancock Disciplined Value I	A	Dividend	K	T					
10. Longleaf Partners		None			Sold	02/07/20	J		
11. Amg Managers Montag & Caldwell Growth I		None			Sold	02/07/20	J		
12. Northern Small Cap Value		None			Sold	02/07/20	J		
13. Oakmark Intl Advisor Fund		None			Sold	02/07/20	J		
14. Primecap Odyssey Growth Fund		None			Sold	02/07/20	J		
15. T Rowe Price Emerg Markets Stock Fund I		None			Sold	02/07/20	J		
16. Pimpc Total Return Instl	A	Dividend			Sold	02/07/20	J	A	
17. WCM Focused Intl Growth Fund Instl		None			Sold	02/07/20	K		

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.)

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	(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. Madison Small Cap Fund Cl Y		None			Sold	02/07/20	J		
19. AQR Managed Futures Strategy Fund Class I N/L	A	Dividend	J	T					
20. Baillie Gifford Emerging Markets Equities Inst CL N/L	A	Dividend	J	T					
21. Brown Advisory Growth Equity Fund Institutional Shares N/L	A	Dividend	K	T					
22. Causeway International Value Fund Institutional Class N/L	A	Dividend	J	T					
23. Columbia Contrarian Core Fund Inst CL N/L	B	Dividend	K	T					
24. Columbia Dividend Income Fund Inst CL N/L	A	Dividend	K	T					
25. EuroPacific Growth Fund Class F2 - American Funds N/L		None			Sold	06/09/20	J		
26. Fuller & Thaler Behavioral Small Cap EQ FD INST CLS N/L	A	Dividend	J	T					
27. Hartford Midcap Fund Class I N/L	B	Dividend	J	T					
28. MFS International Growth Fund Class I N/L	A	Dividend	J	T					
29. MFS Research Fund Class I N/L	A	Dividend	K	T					
30. SEI U.S. Managed Volatility Fund Class Y N/L	A	Dividend	J	T					
31. T. Rowe Price U.S. Equity Research FD Inv CLS N/L	A	Dividend	J	T					
32. Victory Integrity Small Cap Value Fund Class Y N/L		None			Sold	06/09/20	J		
33. Victory Trivalent Intl Small-Cap Fund Class Y N/L	A	Dividend	J	T					
34. Wasatch Core Growth Fund Inst Class N/L	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	
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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)
35. Wells Fargo Special Mid Cap Value FD Class I N/L	A	Dividend	J	T					
36. Cash	A	Interest	J	T					
37. 401K #2 (H)									
38. Voya: Bond Fund	A	Interest	J	T					
39. Voya: State Street S&P 500 Index Fund	A	Dividend	L	T					
40. Voya: US Structured Research Strat	A	Dividend	K	T					
41. Russell Large Cap Value Index	A	Dividend	K	T					
42. Russell Large Cap Growth Index	A	Dividend	L	T					
43. Russell Small Cap Index	A	Dividend	L	T					
44. Voya: Euro Pacific Growth Fund	A	Dividend	K	T					
45. Voya EAFE Stock Index	A	Dividend	J	T					
46. IRA #2 (H)									
47. Fidelity Government Cash Reserves	A	Dividend			Merged (with line 78)	01/17/20	J		
48. Baird Aggregate Bond Fund Instl	A	Dividend			Sold	02/06/20	J	A	
49. Credit Suisse Commnd Rtrn Strtgy Instl Sh		None			Sold	02/06/20	J		
50. Harbor Cap App Inst		None			Sold	02/06/20	J	A	
51. Janus Henderson Flexible Bond I	A	Dividend			Sold	02/06/20	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	
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52. John Hancock Disciplined Value I	A	Dividend	J	T					
53. Longleaf Partners		None			Sold	02/06/20	J		
54. Northern Small Cap Value		None			Sold	02/06/20	J		
55. Oakmark Intl Advisor Fund		None			Sold	02/06/20	J		
56. Primecap Odyssey Growth Fund		None			Sold	02/06/20	J		
57. T Rowe Price Emerg Markets Stock Fund I		None			Sold	02/06/20	J		
58. Pimpco Total Return Instl	A	Dividend			Sold	02/06/20	J	A	
59. WCM Focused Intl Growth Fund Instl		None			Sold	02/06/20	J		
60. Madison Small Cap Fund CL Y		None			Sold	02/06/20	J		
61. AQR Managed Futures Strategy Fund Class I N/L	A	Dividend	J	T					
62. Baillie Gifford Emerging Markets Equities Inst CL N/L	A	Dividend	J	T					
63. Brown Advisory Growth Equity Fund Institutional Shares N/L	A	Dividend	J	T					
64. Causeway International Value Fund Institutional Class N/L	A	Dividend	J	T					
65. Columbia Contrarian Core Fund Inst CL N/ L	A	Dividend	J	T					
66. Columbia Dividend Income Fund Inst CL N/ L	A	Dividend	J	T					
67. EuroPacific Growth Fund Class F2 - American Funds N/L		None			Sold	06/09/20	J		
68. Fuller & Thaler Behavioral Small Cap EQ FD Inst CLS N/L	A	Dividend	J	T					

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69. Hartford Midcap Fund Class I N/L	A	Dividend	J	T					
70. MFS International Growth Fund Class I N/L	A	Dividend	J	T					
71. MFS Research Fund Class I N/L	A	Dividend	J	T					
72. SEI U.S. Managed Volatility Fund Class Y N/L	A	Dividend	J	T					
73. T. Rowe Price U.S. Equity Research FD Inv CLS N/L	A	Dividend	J	T					
74. Victory Integrity Small Cap Value Fund Class Y N/L		None			Sold	06/09/20	J		
75. Victory Trivalent Intl Small-Cap Fund Class Y N/L	A	Dividend	J	T					
76. Wasatch Core Growth Fund Inst Class N/L	A	Dividend	J	T					
77. Wells Fargo Special Mid Cap Value FD Class I N/L	A	Dividend	J	T					
78. Cash	A	Interest	J	T					
79. IRA/SEP (H)									
80. American Funds: American High-Income Trust Fund	A	Dividend			Sold	02/06/20	J	A	
81. American Funds: EuroPacific Growth Fund		None			Sold	02/07/20	J		
82. American Funds: The Growth Fund of America		None			Sold	02/06/20	J	A	
83. American Funds: Smallcap World Fund		None			Sold	02/06/20	J	A	
84. Georgia Path2College 529 Plan #1: Aggressive Managed Alloc Option 9-10		None			Merged (with line 86)	05/08/20	K		
85. Georgia Path2College 529 #2: Aggressive Managed Alloc Option 5-8		None			Merged (with line 87)	05/08/20	J		

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86. Georgia Path2College 529 Plan #1: 2026/2027 Aggressive Enrollment Port		None	K	T					
87. Georgia Path2College 529 Plan #2: 2030/2031 Aggressive Enrollment Port		None	J	T					

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

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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/ Steven D. Grimberg**

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