

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) Haikala, Madeline H.	2. Court or Organization United States District Court, Northern District of Alabama	3. Date of Report 05/04/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) 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 Hugo L. Black United States Courthouse 1729 Fifth Avenue North Birmingham, AL 35203-2000		
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. Board Member	Birmingham Bar Association Women's Section
2. Board Member	Norma Livingston Ovarian Cancer Foundation
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1. 1990	Lightfoot, Franklin, & White LLC 401 K plan with former law firm, no control, no income from firm; asset selection by independent 401k (Continued on line 2)
2. 1990	management service (I can choose only category of risk).
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.)*

DATE

SOURCE AND TYPE

INCOME
(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.)*

DATE

SOURCE AND TYPE

1.		
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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

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. University of Mississippi	college tuition	None
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)	(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. 401K (H)									
2. - DoubleLine Low Dur Emerg Mkts fxd Inc I	A	Dividend	J	T	Sold (part)	03/23/20	J	A	
3.					Buy (add'l)	07/21/20	J		
4. -DoubleLine Total Return Bond I	A	Dividend	L	T	Buy (add'l)	11/16/20	L		
5.					Buy (add'l)	11/17/20	J		
6. - DoubleLine Total Return Bond N	B	Dividend			Sold (part)	02/03/20	J	A	
7.					Buy (add'l)	03/23/20	J		
8.					Buy (add'l)	03/24/20	J		
9.					Buy (add'l)	05/04/20	J		
10.					Sold	11/16/20	L	C	
11. - Driehaus Event Driven	A	Dividend	J	T	Buy (add'l)	05/05/20	J		
12. - Driehaus Small Cap Growth Institutional	B	Dividend	K	T	Buy (add'l)	12/17/20	J		
13. - iShares Core 1-5 Year USD Bond	A	Dividend	J	T	Sold (part)	02/03/20	J	A	
14. - iShares Core MSCI Emerging Markets	A	Dividend	J	T					
15. - iShares Core MSCI Total Intl Stk	B	Dividend	L	T	Buy (add'l)	02/04/20	J		
16.					Sold (part)	07/20/20	J	A	
17. - iShares Core US Aggregate Bond	B	Dividend	L	T	Buy (add'l)	02/10/20	J		

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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18.					Buy (add'l)	03/24/20	J		
19.					Buy (add'l)	05/05/20	J		
20.					Buy (add'l)	07/21/20	J		
21. -iShares Nasdaq Biotechnology	A	Dividend	J	T	Buy	01/21/20	J		
22. - JPMorgan Strategic Income Opports R5	A	Dividend	J	T	Sold (part)	05/04/20	J	A	
23. - JPMorgan Chase Bank Retirement Cash Account	A	Interest	J	T	Sold (part)	01/03/20	J	A	
24.					Sold (part)	03/23/20	J	A	
25.					Buy (add'l)	05/05/20	J		
26.					Sold (part)	11/16/20	J		
27. - RiverPark Strategic Income Inst	B	Dividend	K	T					
28. - Vanguard Total Stock Market ETF	C	Dividend	M	T	Buy (add'l)	02/04/20	J		
29.					Sold (part)	03/23/20	J	A	
30.					Sold (part)	05/04/20	J	A	
31.					Sold (part)	07/20/20	J	A	
32.					Sold (part)	11/16/20	J	A	
33. - Wasatch International Opps Instl	A	Dividend	K	T					
34.									

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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	

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35. Franklin Templeton Uniform Transfer to Minor Accounts (H)									
36. - Franklin Mutual Quest Fund Class A (Y)									
37. Invesco Funds Uni. Transf. to Minor Accounts (H)									
38. - Global Fund A (Y)									
39. - Main Street All Cap Fund A (Y)									
40. - Main Street Mid Cap Fund A (Y)									
41. MetLife Policyholder Trust	A	Dividend	J	T					
42. PNC Bank CDs	A	Interest	J	T					
43. Wells Fargo Cash Accounts	A	Interest	L	T					
44.									
45.									
46.									
47.									
48.									
49.									

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

Part VII. Investments and Trusts.

- There are no income and value amounts for the assets listed under Invesco Funds UTMA and Franklin Templeton UTMA. The [REDACTED] related to these accounts was emancipated in 2020.

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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/ Madeline H. Haikala**

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
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