

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) Mattice, Harry S.	2. Court or Organization U.S. District Court - EDTN	3. Date of Report 05/10/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. District Judge - Senior Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☐ Annual ☒ Final	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address Joel W. Solomon Federal Bldg. 900 Georgia Avenue, Room 257 Chattanooga, TN 37402		
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. Trustee	Trust # 1
2. Member	The Mattice Group, LLC
3.	
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Mattice, Harry S.

Date of Report

05/10/2021

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.				

Name of Person Reporting	Date of Report
Mattice, Harry S.	05/10/2021

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Mattice, Harry S.

Date of Report

05/10/2021

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. MORGAN STANLEY BANK N. A.	A	Interest	M	T	Buy	05/21/20	M		
2. SUNTRUST BANK (X)	A	Interest	N	T					
3. Mass Mutual Life Insurance Whole Life (2)	C	Interest	M	T					
4. Northwestern Mutual Life Variable Comp Life	E	Dividend	N	T					
5. MS U.S. GOVERNMENT SEC TR 1 (USGDX)	A	Dividend	K	T					
6. BLACKROCK LOW DUR BD INV SVC (CMGBX) & INST (BFMSX)	A	Dividend	K	T					
7. INVESCO PREMIER INST (IPPXX)	A	Interest	J	T					
8. United States Treasury Bill - Mat. 02/20/20	A	Interest			Matured	02/20/20	M		
9. United States Treasury Bill - Mat. 05/21/20	A	Interest			Buy	02/20/20	M		
10.					Matured	05/21/20	M		
11. CVS Health Corp Com (CVS) (X)	A	Dividend	J	T					
12. Home Depot Inc. (HD) (X)	A	Dividend	K	T					
13. General Motors Financial Co Inc. Bond (7/13/2020) (X)	A	Interest			Matured	07/13/20	J		
14. Mylan NV Bond (12/15/2020) (X)	A	Interest			Matured	12/15/20	J		
15. Discover Financial Services Bond (2/15/2021) (X)	A	Interest	J	T					
16. Kinross Gold Corp Bond (9/01/2021) (X)	A	Interest	J	T					
17. Coca-Cola Refreshments USA Inc Bond (2/1/2022) (X)	A	Interest	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	

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. Edison International Bond (3/15/2023) (X)	A	Interest	K	T					
19. Delta Airlines Inc. Bond (10/28/2024) (X)	A	Interest	J	T					
20. Weyerhaeuser Co. Bond (3/15/2025) (X)	A	Interest	J	T					
21. Weyerhaeuser Co. Bond (10/1/2027) (X)	A	Interest	J	T					
22. VANGUARD DVD APPREC INDX-ADM (VDADX) (X)	A	Dividend	J	T					
23. VANGUARD TOTAL STK MKT IDX ADM (VTSAX) (X)	A	Dividend	K	T					
24. (H) Trust #1:									
25. Federated Tax-Free Obligs Funds	A	Interest			Sold	06/30/20	K		
26. Virtus Ceredex L/C Val Eq R6 (formerlyRidgeWorth Large Cap Value Eq)	A	Dividend			Sold	06/25/20	J	B	
27. T Rowe Price Institutional Large Cap Growth Fund-I	A	Dividend			Sold	06/25/20	L	F	
28. Hartford Dividend & Growth - Y	A	Dividend			Sold	06/25/20	K	C	
29. Eaton Vance Atlanta Capital SMID Cap Fund	A	Dividend			Sold	06/25/20	K	D	
30. Doubleline Total Return Bond Fund	A	Interest			Sold	06/25/20	L	B	
31. Pimco Income Fund	A	Interest			Sold	06/25/20	K		
32. Invesco Oppenheimer Developing Markets - R6	A	Dividend			Sold	06/25/20	J		
33. Edgewood Growth Fund - INS	A	Dividend			Sold	06/25/20	K	C	
34. Cambiar Int'l Equity Fund - INS	A	Dividend			Sold	05/07/20	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

FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Mattice, Harry S.

Date of Report

05/10/2021

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
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35. JOHCM International Select Fund - I	A	Dividend			Sold	06/25/20	K	B	
36. Blackstone Alternative Multi-Strategy - I	A	Dividend			Sold	06/25/20	J		
37. AAM/BAHL & Gaynor Income GR-I	A	Int./Div.			Sold	06/25/20	J		
38. John Hancock III - Disciplined Value Fund V-I	A	Dividend			Sold	06/25/20	J		
39. Neuberger Berman igh Income Bond Fund	A	Interest			Sold	06/25/20	J		
40. Nuveen Small Cap Value - I	A	Dividend			Sold	06/25/20	J		
41. Pimco Investment Grade Corporate Bond Fund	A	Interest			Sold	06/25/20	K		
42. T Rowe Price QM US S/C GR EQ - I	A	Dividend			Sold	06/25/20	J		
43. Vanguard M/B Sec Indx - ADM	A	Int./Div.			Sold	06/25/20	K	A	
44. iShares Core S&P 500 ETF	A	Dividend			Sold	06/25/20	K	A	
45. iShares US Treasury Bond ETF	A	Interest			Sold	06/25/20	L	C	
46. (H) IRA #1									
47. VIRTUS MULTI SECT SHT TRM BD A (NARAX)	A	Interest	J	T					
48. Morgan Stanley Private Bank NA	A	Interest	K	T					
49.									

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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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Mattice, Harry S.

Date of Report

05/10/2021

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

Box 5a. Report Type. As to the reason that this Report, for the period from January 1, 2020 through December 31, 2020 is marked as "Final," see letter from Person Reporting to the Committee on Financial Disclosure, dated May 10, 2021, being filed concurrently herewith.

Part I. Positions. The Trust #1 listed as number 1 dissolved by its terms on April 27, 2020, upon the death of thr lifetime beneficiary. The limited liabilty company listed as number 2 is a shell entity created to accomodate post-judicial employment. It was organized on October 2, 2020, and conducted no activity during calendar year 2020. Accordingly, there are no assets or transactions to report in Part VII with respect to such entity.

Part III. A. Non-Investment Income. All income earned during reporting period was salary as employee of U.S. Government.

Part VII. Investments and Trusts. Trust Assets listed as numbers 23 through 43 were part of an Irrevocable Insurance Trust created by deceased family member, listed as Trust #1 in Part I of this Report. The Trust dissolved by its terms on April 27, 2020, upon the death of the lifetime beneficiary. All assets of the Trust were liquidated and/or distriibted to the residual beneficiaries during calendar year 2020.

Part VII. Investments and Trusts. Assets listed as numbers 2 and 9 through 21 (marked with an (X) in column A) were inherited from a deceased family member. The family member died on April 27, 2020.

Part VII. Investment and Trusts. IRA Assets listed as numbers 45 through 46 are part of an IRA inherited from a deceased relative.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Mattice, Harry S.

Date of Report

05/10/2021

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/ **Harry S. Mattice**

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