

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) JOHNSON JR., HERMAN N.	2. Court or Organization UNITED STATES DISTRICT COURT NORTHERN DISTRICT OF ALABAMA	3. Date of Report 05/13/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) UNITED STATES MAGISTRATE JUDGE - FULL TIME	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 U.S. DISTRICT COURT 101 HOLMES AVENUE, N.E. HUNTSVILLE, AL 35801		
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. ADJUNCT PROFESSOR (JANUARY 11, 2021 - APRIL 20, 2021)

SAMFORD UNIVERSITY - CUMBERLUND SCHOOL OF LAW

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. 2010-2020

Samford University 403(b) retirement plan, managed by Fidelity Investments

2. 2010-2020

Samford University defined benefit pension plan

3. 11/19/20

Samford University Cumberland School of Law: Adjunct Professor (January 11, 2021 - April 20, 2021)

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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	Wilkinson, Walsh, LLP; Salary
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)	(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. 403b (H)									
2. - FIDELITY: FID 500 INDEX PR	D	Dividend	N	T					
3. - DFA GLOBAL EQUITY PORTFOLIO INSTITUTIONAL CLASS	B	Dividend	L	T					
4. - FIDELITY: FID MID CAP IDX PR	B	Dividend	M	T					
5. - FIDELITY: SM CAP IDX PR	A	Dividend	L	T					
6. - FIDELITY: FID GBL XUS IDX PR	A	Dividend	L	T					
7. - DFA INTL VALUE I	A	Dividend	K	T					
8. FIRST BANK OF TENNESSEE CASH ACCOUNT	A	Interest	K	T					
9. CITIBANK CASH ACCOUNTS	A	Interest	O	T					
10. SYNOVUS CASH ACCOUNT		None	J	T					
11. WALT DISNEY CO COM	A	Dividend	J	T					
12. PEPSICO INC COM	A	Dividend	J	T					
13. UNITED PARCEL SERVICE CL B	A	Dividend	J	T					
14. CITIBANK CD	A	Interest			Closed	03/23/20	L		
15. HOME FEDERAL SAVINGS AND LOAN ASSOCIATION - CD #2	A	Interest			Closed	01/23/20	L		
16. CITIBANK CD #2	A	Interest			Closed	02/27/20	K		
17. CITIBANK CD #3	A	Interest			Closed	07/22/20	L		

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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	(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. COLLEGECOUNTS ADVISOR 529 PLAN #1 (H)									
19. - PIMCO ST 529 PF A		None	J	T	Buy (add'l)	12/02/20	J		
20. - AMER CENT EQU 529 PF A		None			Sold	04/28/20	J		
21. - PGIM TOTAL RETURN BOND 529A		None	J	T	Buy	04/28/20	J		
22.					Buy (add'l)	12/02/20	J		
23. - TRP LG CAP 529 PF A		None	J	T	Buy (add'l)	12/02/20	J		
24. - NORTH MID CAP INDEX 529 PF A		None	J	T	Buy (add'l)	12/02/20	J		
25. - NORTH SM CAP INDEX 529 PF A		None	J	T	Buy (add'l)	12/02/20	J		
26. - NEUB BER INTL SELECT 529 PF A		None	J	T	Buy (add'l)	12/02/20	J		
27. - CRED SUI COMMOD RETURN STRAT 529 PF A		None	J	T	Buy (add'l)	12/02/20	J		
28. - MAINSTAY MCKAY TOT RET BOND 529 PF A		None			Sold	04/28/20	J		
29. - NORTHERN FDS STOCK INDEX 529A		None	J	T	Buy	04/28/20	J		
30.					Buy (add'l)	12/02/20	J		
31. - VANG EMERG MKT SEL STOCK 529 PF A		None	J	T	Buy (add'l)	12/02/20	J		
32. COLLEGECOUNTS ADVISOR 529 PLAN #2 (H)									
33. - PIMCO ST 529 PF A		None	J	T	Buy (add'l)	12/02/20	J		
34. - AMER CENT EQU 529 PF A		None			Sold	04/28/20	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
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35. - PGIM TOTAL RETURN BOND 529A		None	J	T	Buy	04/28/20	J		
36.					Buy (add'l)	12/02/20	J		
37. - TRP LG CAP 529 PF A		None	J	T	Buy (add'l)	12/02/20	J		
38. - NORTH MID CAP INDEX 529 PF A		None	J	T	Buy (add'l)	12/02/20	J		
39. - NORTH SM CAP INDEX 529 PF A		None	J	T	Buy (add'l)	12/02/20	J		
40. - NEUB BER INTL SELECT 529 PF A		None	J	T	Buy (add'l)	12/02/20	J		
41. - CRED SUI COMMOD RETURN STRAT 529 PF A		None	J	T	Buy (add'l)	12/02/20	J		
42. - MAINSTAY MCKAY TOT RET BOND 529 PF A		None			Sold	04/28/20	J		
43. - NORTHERN FDS STOCK INDEX 529A		None	J	T	Buy	04/28/20	J		
44.					Buy (add'l)	12/02/20	J		
45. - VANG EMERG MKT SEL STOCK 529 PF A		None	J	T	Buy (add'l)	12/02/20	J		
46. COLLEGECOUNTS DIRECT 529 PLAN - AGE BASED #1		None	L	T	Buy (add'l)	05/04/20	J		
47.					Buy (add'l)	08/17/20	J		
48.					Buy (add'l)	09/04/20	J		
49. COLLEGECOUNTS DIRECT 529 PLAN - AGE BASED #2		None	L	T	Buy (add'l)	05/04/20	J		
50.					Buy (add'l)	08/17/20	J		
51.					Buy (add'l)	09/04/20	J		

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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. BROKERAGE ACCOUNT (H)									
53. - WESTERN ASSET INSTL GOVT MONEY MARKET FUND	A	Interest	J	T	Buy	04/03/20	L		
54.					Sold	04/09/20	L		
55.					Buy	04/14/20	J		
56.					Buy (add'l)	05/12/20	J		
57.					Sold (part)	07/01/20	J		
58.					Buy (add'l)	04/14/20	L		
59.					Sold (part)	04/14/20	L		
60. - ISHARES GOLD TR ISHARES			J	T	Buy	04/09/20	J		
61.					Buy (add'l)	08/18/20	J		
62. - ISHARES TR JPMORGAN USD EMERGING MKTS BD ETF	A	Dividend	J	T	Buy	04/09/20	J		
63.					Buy (add'l)	08/18/20	J		
64.					Sold (part)	12/03/20	J		
65. - ISHARES TR RUSSELL 1000 GROWTH ETF	A	Dividend	K	T	Buy	04/09/20	J		
66.					Sold (part)	05/11/20	J		
67.					Buy (add'l)	08/18/20	J		
68.					Sold (part)	09/04/20	J		

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

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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	(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)
69.					Buy (add'l)	12/03/20	J		
70. - ISHARES TR RUSSELL 1000 VALUE ETF	A	Dividend	K	T	Buy	04/09/20	J		
71.					Buy (add'l)	08/18/20	J		
72.					Sold (part)	12/03/20	J		
73. - ISHARES TR RUSSELL 2000 ETF	A	Dividend	J	T	Buy	04/09/20	J		
74.					Buy (add'l)	08/18/20	J		
75. - PIMCO ETF TR ENHANCED SHORT MAT ACTIVE ETF	A	Dividend			Buy	04/09/20	J		
76.					Sold	07/01/20	J		
77. - SPDR SER TR NUVEEN BLOOMBERG BARCLAYS MUN BD ETF	A	Dividend	K	T	Buy	04/09/20	J		
78.					Sold (part)	07/01/20	J		
79.					Buy (add'l)	08/18/20	J		
80. - SPDR SER TR NUVEEN BLOOMBERG BARCLAYS SHORT TERM MUN BD ETF	A	Dividend	K	T	Buy	04/09/20	J		
81.					Buy (add'l)	08/18/20	J		
82.					Sold (part)	09/04/20	J		
83. - SPDR SER TR BLOOMBERG BARCLAYS HIGH YIELD BD ETF NEW	A	Dividend	J	T	Buy	04/09/20	J		
84.					Buy (add'l)	08/18/20	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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85. - VANGUARD INTL EQUITY INDEX FDS FTSE EMERGING MKTS ETF	A	Dividend	J	T	Buy	04/09/20	J		
86.					Buy (add'l)	08/18/20	J		
87.					Buy (add'l)	12/03/20	J		
88. - VANGUARD INTL FD FTSE DEVELOPED MKTS ETF	A	Dividend	K	T	Buy	04/09/20	J		
89.					Sold (part)	05/11/20	J		
90.					Buy (add'l)	07/01/20	J		
91.					Buy (add'l)	08/18/20	J		
92.					Buy (add'l)	09/04/20	J		
93. - VANGUARD SPECIALIZED FUNDS VANGUARD DIVIDENT APPRECIATION ETF	A	Dividend	J	T	Buy	04/09/20	J		
94.					Buy (add'l)	08/18/20	J		
95. - ISHARES TR CORE S&P SMALL-CAP ETF	A	Dividend	J	T	Buy	05/11/20	J		
96.					Buy (add'l)	08/18/20	J		
97. - ISHARES TR LATIN AMER 40 ETF	A	Dividend	J	T	Buy	05/11/20	J		
98.					Buy (add'l)	08/18/20	J		
99. - ISHARES TR GLOBAL REIT ETF	A	Dividend	J	T	Buy	07/01/20	J		
100.					Buy (add'l)	08/18/20	J		

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101. - ISHARES TR MTG REAL ESTATE ETF	A	Dividend	J	T	Buy	08/18/20	J		
102. - ISHARES TR MSCI EAFE SMALL CAP ETF	A	Dividend	J	T	Buy	12/03/20	J		
103.									
104.									
105.									
106.									
107.									
108.									
109.									
110.									
111.									
112.									
113.									
114.									
115.									
116.									
117.									

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

Table with 2 columns: Name of Person Reporting, Date of Report. Row 1: JOHNSON JR., HERMAN N., 05/13/2021

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.)

Table with 10 columns: A (Description of Assets), B (Income during reporting period), C (Gross value at end of reporting period), D (Transactions during reporting period). Rows 118-121 are empty.

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
2 Value Codes: J =\$15,000 or less, K =\$15,001 - \$50,000, L =\$50,001 - \$100,000, M =\$100,001 - \$250,000, P1 =\$1,000,001 - \$5,000,000, P2 =\$5,000,001 - \$25,000,000
3 Value Method Codes: Q =Appraisal, R =Cost (Real Estate Only), S =Assessment, T =Cash Market, U =Book Value, V =Other, W =Estimated

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

JOHNSON JR., HERMAN N.

Date of Report

05/13/2021

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting	Date of Report
JOHNSON JR., HERMAN N.	05/13/2021

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/ **HERMAN N. JOHNSON JR.**

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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