

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Kallon, Abdul K.	2. Court or Organization Northern District of Alabama	3. Date of Report 09/30/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address 419 Hugo Black United States Courthouse 1729 Fifth Avenue North Birmingham, AL 35203		
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.	Director	Children's Village Board of Directors
2.	Chair	Beta Kappa Boule Charitable Foundation
3.	Director	Alabama Law Foundation
4.	Director	Bethel Baptist Historic Renovation Foundation
5.	Director	Habitat for Humanity Birmingham

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 11

Name of Person Reporting

Kallon, Abdul K.

Date of Report

09/30/2019

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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2017

United States Federal Courts -- 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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

Kallon, Abdul K.

Date of Report

09/30/2019

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.	Sallie Mae	Co-signer of student loans	L
2.	Wells Fargo	Mortgage on rental property #1, Montgomery, AL (Pt. VII, line 7)	L
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Kallon, Abdul K.

Date of Report

09/30/2019

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. Regions Bank Account 1	A	Interest	J	T					
2. Regions Bank Account 2	A	Interest	J	T					
3. Regions Bank Account 3	A	Interest	J	T					
4. Bank of America Account	A	Interest	J	T					
5. American Express Bank	A	Interest	L	T					
6. Goldman Sachs Marcus Bank	A	Interest	K	T	Open	01/01/17	K		
7. Rental Property #1, Montgomery, AL (2009 \$164,000)	A	Rent	M	R					
8. Rental Property #2, Birmingham, AL (2015 \$617,000)	A	Rent	O	R					
9. NBC Brokerage Account									
10. --Amazon.Com		None	J	T					
11. --Berkshire Hathaway Class B		None	L	T					
12. --Energen Corp		None	J	T					
13. --ExxonMobil	A	Dividend	J	T					
14. Facebook		None	K	T					
15. --Google Common Stock -- Class A		None	K	T					
16. --Google Class C		None	K	T					
17. --Mueller Water Products	A	Dividend	J	T					

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		

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

Name of Person Reporting

Kallon, Abdul K.

Date of Report

09/30/2019

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. --Vulcan Materials Common Stock	A	Dividend	K	T					
19. --Walter Energy		None	J	T					
20. --RBC Bank Deposit Program (formerly Prime Money Market Fund)	A	Interest	J	T					
21. Vanguard IRA									
22. --Vanguard 500 Index Fund	D	Dividend	N	T					
23. --Vanguard Mid-Cad Index Fund	B	Dividend	M	T					
24. --Vanguard Small Cap Growth Index Fund	B	Dividend	M	T					
25. --Vanguard Total Int'l Stock Index Fund	C	Dividend	M	T					
26. --Vanguard Wellington Fund	D	Dividend	N	T					
27. Vanguard Roth IRA									
28. --Vanguard 500 Index Fund	A	Dividend	K	T					
29. --Vanguard Mid-Cad Index Fund	A	Dividend	K	T	Buy (add'l)	04/28/17	J		
30. --Vanguard Small Cap Growth Index Fund	A	Dividend	K	T	Buy (add'l)	04/28/17	J		
31. --Vanguard Total Int'l Stock Index Fund	A	Dividend	K	T					
32. --Vanguard Wellington Fund	A	Dividend			Sold	04/28/17	K	B	
33. Vanguard Brokerage Account									
34. -- High Dividend Yield Fund	A	Dividend	K	T	Buy (add'l)	04/28/17	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
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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 11

Name of Person Reporting

Kallon, Abdul K.

Date of Report

09/30/2019

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. --Long-Term Tax Exempt Fund		None			Sold	03/16/17	J	A	
36. --Short-Term Tax Exempt Fund		None			Sold	03/16/17	J	A	
37. --Money Market Fund		None			Sold	03/16/17	J	A	
38. --Total Stock Market Index Fund	A	Dividend	L	T	Buy (add'l)	04/28/17	K		
39. Merrill Edge Account									
40. --Alibaba		None	J	T	Buy (add'l)	05/12/17	J		
41.					Buy (add'l)	06/08/17	J		
42.					Buy (add'l)	07/14/17	J		
43.					Buy (add'l)	07/28/17	J		
44. --Amazon		None	M	T	Buy (add'l)	02/10/17	J		
45.					Buy (add'l)	04/28/17	J		
46.					Buy (add'l)	07/21/17	J		
47. --Apple	A	Dividend	J	T	Sold (part)	08/02/17	J	C	
48.					Sold (part)	09/15/17	J	B	
49.					Sold (part)	10/23/17	J	C	
50. --Bank of America	A	Dividend	J	T					
51. --BB&T		None			Sold	05/19/17	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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 11

Name of Person Reporting

Kallon, Abdul K.

Date of Report

09/30/2019

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)

52. --Buckeye Partners	A	Dividend	J	T					
53. --China Mobile	A	Dividend	J	T	Buy	08/08/17	J		
54.					Buy (add'l)	11/10/17	J		
55. --China Telecom		None	J	T	Buy	08/08/17	J		
56.					Buy (add'l)	11/10/17	J		
57. --Cisco	A	Dividend	J	T	Sold (part)	07/28/17	J	A	
58. --Clearbridge Aggressive Growth Fund	B	Distribution	K	T					
59. --Clearbridge Large Cap Growth	B	Distribution	L	T					
60. --Clearbridge Large Cap Value	A	Distribution	K	T					
61. --Coca-Cola	A	Dividend			Sold	03/15/17	J	B	
62. --DSW		None	J	T					
63. --Dunkin	A	Dividend	J	T	Sold (part)	06/21/17	J	A	
64. --Facebook		None	L	T	Buy (add'l)	03/21/17	J		
65.					Buy (add'l)	04/04/17	J		
66.					Buy (add'l)	07/14/17	J		
67.					Buy (add'l)	07/24/17	J		
68.					Buy (add'l)	10/27/17	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
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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 11

Name of Person Reporting

Kallon, Abdul K.

Date of Report

09/30/2019

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)
69.					Buy (add'l)	12/07/17	J		
70. --Fifth Third Bancorp	A	Dividend			Sold	07/21/17	J	A	
71. --First Solar		None	J	T	Buy (add'l)	08/04/17	J		
72.					Buy (add'l)	11/10/17	J		
73.					Buy (add'l)	12/05/17	J		
74. --Ford	A	Dividend	J	T					
75. --Goldman Sachs	A	Dividend	J	T					
76. --Google Class A		None	K	T					
77. --Google Class C		None	L	T	Buy (add'l)	04/04/17	J		
78.					Buy (add'l)	06/07/17	J		
79.					Buy (add'l)	06/27/17	J		
80.					Buy (add'l)	10/05/17	J		
81. --General Electric	A	Dividend	J	T					
82. --JP Morgan Chase	A	Dividend	J	T	Sold (part)	07/28/17	J	A	
83. --Lord Abbett Intermediate Tax Free	A	Dividend	K	T					
84. --Lord Abbett Growth Leaders	A	Distribution	K	T					
85. --Nissan	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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 11

Name of Person Reporting

Kallon, Abdul K.

Date of Report

09/30/2019

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)
86. --Pfizer	A	Dividend	J	T					
87. --Proctor & Gamble		None	J	T					
88. --Regions	A	Dividend	J	T					
89. --Republic Bancorp	A	Dividend	K	T					
90. --Tesla		None	J	T	Buy	11/16/17	J		
91. --Tocqueville Int'l Value	A	Dividend	J	T					
92. --Toyota	A	Dividend	J	T					
93. --Twitter		None	J	T					
94. --Vanguard FTSE Emerging		None	J	T					
95. --Vanguard Dividend Growth	A	Distribution	J	T	Buy (add'l)	06/27/17	J		
96. --Vanguard 500 Index	A	Dividend	K	T	Sold (part)	08/01/17	J	A	
97. --Vanguard Small Cap	A	Dividend	J	T					
98. --Verizon	A	Dividend	J	T					
99. --Zoe's		None	J	T					
100. Wells Fargo Small Cap World Fund	B	Distribution	K	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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 11

Name of Person Reporting

Kallon, Abdul K.

Date of Report

09/30/2019

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

Part VII -- the rental property in line 8 is actually the detached garage apartment located on our residence. For that reason, the mortgage is not listed as a liability in Part VI.

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Kallon, Abdul K.

Date of Report

09/30/2019

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/ Abdul K. Kallon

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