

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) Dubina, Joel F.	2. Court or Organization U.S. Court of Appeals/11th Cir	3. Date of Report 01/09/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. Circuit Judge -- Senior	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 Post Office Box 867 Montgomery, AL 36101-0867		
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.	Partner	Investments Unlimited, a limited liability corp. ("LLC")
2.		
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 21

Name of Person Reporting

Dubina, Joel F.

Date of Report

01/09/2019

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. _____

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 21

Name of Person Reporting

Dubina, Joel F.

Date of Report

01/09/2019

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.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 21

Name of Person Reporting

Dubina, Joel F.

Date of Report

01/09/2019

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. L. [REDACTED]									
2. Insignia Fini Group Inc.	A	Dividend	J	T					
3. Torchmark Corp	A	Dividend	K	T					
4. Apartment Investment Management Co.	A	Dividend	J	T					See Seciton VIII
5. U. S. Shelter Corp. Del	A	Dividend	J	T					
6. Money Market Funds Stifel, Nicolaus & Company	A	Interest	K	T					
7. 12.5% interest Investments Unlimited, an L.L.C.	F	Rent	O	W					See Section VIII.
8. 12.5% interest in house, Ada, AL		None	L	W					See Section VIII
9. Alibaba Group Holding LTD Spons ADS		None	K	T					
10. Halliburton Company	A	Dividend			Sold (part)	02/27/17	J		
11.					Sold	03/08/17	K	A	
12. Mosaic	A	Dividend	J	T					
13. VF Corp	A	Dividend	J	T	Buy (add'l)	02/13/17	J		
14.					Sold (part)	06/29/17	J		
15.					Sold (part)	11/15/17	J	A	
16. Bershire Hathaway Inc.		None	K	T					
17. Chicago Bridge & Iron Company NV	A	Dividend	J	T	Buy (add'l)	02/27/17	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		

FINANCIAL DISCLOSURE REPORT

Page 5 of 21

Name of Person Reporting

Dubina, Joel F.

Date of Report

01/09/2019

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. Cisco Systems Inc.	A	Dividend			Sold (part)	02/29/17	J	B	
19.					Sold	06/15/17	J	B	
20. Costco Wholesale Corp.	A	Dividend			Sold	06/29/17	K	A	
21. Silver Springs NTKWS Inc.		None			Buy (add'l)	03/08/17	J		
22.					Sold	09/19/17	K	C	
23. Horizon Pharma PLC		None			Sold	03/08/17	J		
24. Invesco Ltd.	A	Dividend	J	T					
25. Enterprise Products Partners LTD Partner- ship	A	Dividend			Sold	03/08/17	J	A	
26. Columbia Tax Exempt	A	Dividend	J	T					2016 was Partial Sale
27. Columbia U.S. Gov't Mortgage	A	Dividend	J	T					2016 was Partial Sale
28. Franklin Growth	A	Dividend	J	T					
29. Franklin AL Tax Free Income CLA	A	Dividend	J	T					2016 was Partial Sale
30. ThornBurg LTD Term Mun.	A	Dividend	J	T					2016 was Partial Sale
31. Alabama PUB HSG Authj Cap 4.450% 01/01/04	A	Interest	J	T					
32. Baldwin CNTY AL BRD ED @97.851 4.75%	A	Interest			Redeemed	07/03/17	J		
33. Franklin Alabama Tax Free Income CL A		None			Merged (with line 29)				
34. General Electric Company	A	Dividend			Sold	08/17/17	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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000	R = Cost (Real Estate Only)	P4 = More than \$50,000,000	S = Assessment	T = Cash Market
(See Column C2)	Q = Appraisal	V = Other	W = Estimated		
	U = Book Value				

FINANCIAL DISCLOSURE REPORT

Page 6 of 21

Name of Person Reporting

Dubina, Joel F.

Date of Report

01/09/2019

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. Glaxosmithkline LC Cusip	A	Dividend	J	T					
36. Huntsville AL Hlthcare Auth Rev Ser A 96.929 5.26%	A	Interest	J	T					
37. Huntsville AL WTR SYS REV 4.000% 11/01/31	A	Interest	J	T					
38. Kellogg Company	A	Dividend			Sold	06/15/17	J	A	
39. Limestone Cnty AL WTR & SWR AUTH 95.915 4.52%	A	Interest			Redeemed	03/01/17	J		
40. Merck & company Inc New	A	Dividend			Sold	06/15/17	J	A	
41. Mobile AL WTR & SWR Commrs Rev 98.500 4.118%	A	Interest	J	T					
42. Pepsico INC	A	Dividend	K	T					
43. Pfizer Inc.	A	Dividend			Sold	03/08/17	J	A	
44. Procter & Gamble Company	A	Dividend			Sold	06/15/17	J	A	
45. Sylacauga AL Wtx B/E 4.00% due 02/01/34	A	Interest	J	T					
46. Troy AL Elec Wtr & Swr 97.614 4.82%	A	Interest	J	T					
47. Tuscaloosa AL Warrants Ambac 4.375 07/01/37	A	Interest			Redeemed	01/23/17	J		
48. University of AL at Birmingham 3.000% 10/01/30	A	Interest	J	T					
49. Verizon communications Inc.	A	Dividend			Sold	06/15/17	J	A	
50. Wal Mart Stores Inc	A	Dividend	J	T					
51. Yum Brands Inc.	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 7 of 21

Name of Person Reporting

Dubina, Joel F.

Date of Report

01/09/2019

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. Yum China holdings Inc.	A	Dividend	J	T					
53. Bristol Myers Squibb	A	Dividend	J	T	Buy	07/14/17	J		
54. Intrexon Corp		None	J	T	Buy	03/09/17	J		
55.					Buy (add'l)	08/17/17	J		
56. Pay Pal		None	K	T	Buy	01/18/17	J		
57. Therapeuticsmd Inc.		None	J	T	Buy	06/15/17	J		
58. 3 D Systems		None	J	T	Buy	09/26/17	J		
59. Ambarella Inc.		None	K	T	Buy	06/15/17	J		
60. [REDACTED] BENEFICIARY [REDACTED], IRA									
61. Money Market Funds Stifel, Nicholas & Company	A	Interest	J	T					
62. Exxon Mobil Corp.	A	Dividend	J	T					
63. Goldman Sachs Group Inc.	A	Dividend			Redeemed	11/17/17	J		
64. Nokia Corp.	A	Dividend	J	T					
65. II. TRUSTS ASSETS #1									
66. Money Market Funds 19/19 Investment Counsel & Trust	A	Interest	L	T					
67. General Electric	B	Dividend	K	T					
68. Torchmark Corp.	B	Dividend	M	T	Sold (part)	10/03/17	K	E	

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 21

Name of Person Reporting

Dubina, Joel F.

Date of Report

01/09/2019

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. River Bank and Trust		None	K	T					
70. Huntsville, AL Warrants Series A	A	Interest			Redeemed	05/01/17	K		
71. Irondale, AL Wts - Ser. D Ins. XLCA 4%	B	Interest			Redeemed	10/02/17	K		
72. Federated Intermediate Mun. TrShBenInt.	B	Dividend	L	T	Sold (part)	12/12/17	J	A	
73. U.S. Treasury Bond 5/375%	C	Interest	L	T					
74. Altria Group Inc.	B	Dividend	L	T	Sold (part)	06/06/17	K	D	
75. John Hancock Flexible Prem. Life Ins.		None	L	U					
76. Adobe Systems		None	K	T	Sold (part)	06/01/17	K	D	
77.					Sold (part)	10/03/17	K	E	
78. Microsoft Corp.	A	Dividend	K	T					
79. Novartis A G	A	Dividend			Sold	06/01/17	J	D	
80. Priceline Com		None	K	T	Sold (part)	06/06/17	K	E	
81.					Sold (part)	10/03/17	K	E	
82. IShares Trust S&P	A	Dividend			Sold	11/08/16	K		
83. Gartner, Inc.		None			Sold	10/03/17	K	E	
84. Alphabet Inc. Cap STK CLA (Formerly Google, Inc.)		None	K	T					
85. Apple Computer, Inc.	B	Dividend	L	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 = \$250,000,001 - \$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 21

Name of Person Reporting

Dubina, Joel F.

Date of Report

01/09/2019

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. Amazon.Com, Inc.		None	K	T	Sold (part)	10/03/17	J	D	
87. Emerson Electric Co.	A	Dividend	K	T					
88. IShares DJ Sel	A	Dividend	J	T					
89. Dodge & Cox International Stock Fund		None			Sold	10/02/17	K	D	
90. Alphabet Inc Cap STK CLC (Formerly Google Inc. CL A))		None	K	T					
91. International Business Machines Corp.	A	Dividend			Sold	06/06/17	K		
92. Bank of America Corp.	A	Dividend	K	T					
93. Ford Motor	A	Dividend			Sold	06/06/17	J		
94. Suntrust Banks	A	Dividend	K	T					
95. Amgen Inc.	A	Dividend			Sold	06/06/17	J		
96. Chevron Copr.	A	Dividend	K	T					
97. Fidelity Invst MM FD Govt. 1 #57	A	Interest	L	T	Sold (part)	12/31/17	N		
98.					Buy (add'l)	12/31/17	M		
99. Starbucks Corp.	A	Dividend	K	T					
100. INVESCO LTD SHS	A	Dividend	J	T					
101. AT&T INC. Com	A	Dividend	K	T	Buy (add'l)	10/03/17	J		
102. CVS Health Corp.	A	Dividend			Sold	06/06/17	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 10 of 21

Name of Person Reporting

Dubina, Joel F.

Date of Report

01/09/2019

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)
103. Du Pont E I D E Nemours & Co. Com	A	Dividend	J	T	Sold (part)	09/25/17	J	A	
104. Exxon Mobil Corp. Com	A	Dividend	K	T					
105. Johnson & Johnson Com	A	Dividend	K	T					
106. Oracle Corp SRBD 3.4% DTD 7/8/2014 Due 7/8/2024	A	Interest	K	T					
107. Pepsico Inc. SR NT 2.25% DTD 7/30/2013 Due 1/7/2019	A	Interest	K	T					
108. Pfizer Inc. Com	A	Dividend	K	T	Buy (add'l)	10/03/17	J		
109. Sempra Energy Com	A	Dividend	J	T					
110. Simon PPTY Group Inc. New Com	A	Dividend			Sold	10/03/17	J		
111. Southern Co. Com	A	Dividend	K	T	Buy (add'l)	10/03/17	J		
112. Toyoto Motor Cred FR 1.55% DTD 7/13/2015 Due 7/13/2018	A	Interest	K	T					
113. United Parcel Service In. CLD	A	Dividend	K	T	Buy (add'l)	10/03/17	J		
114. U.S. Bankcorp MTN Sub NTS FR 2.95% DTD 7/23/20 Dues 7/15/22	A	Interest	K	T					
115. United Health Group Inc. SR. NT 2.875% DTD 12/8/2014 due 12/15/2021	A	Interest	K	T					
116. UnitedHealth Group Inc. Com	A	Dividend	K	T					
117. Walmart Stores Inc. Com	A	Dividend	K	T					
118. Air Prods & Chems Inc. Com	A	Dividend	J	T	Buy	06/06/17	J		
119. CBS Corp. New CLB	A	Dividend	K	T	Buy	06/06/17	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 11 of 21

Name of Person Reporting

Dubina, Joel F.

Date of Report

01/09/2019

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)
120.					Buy (add'l)	10/03/17	J		
121. Cisco Sys Inc. OM	A	Dividend	K	T	Buy	06/06/17	K		
122.					Buy (add'l)	10/03/17	J		
123. Cintas Corp. Com	A	Dividend	J	T	Buy	06/06/17	J		
124. Comcast Corp. New NT 3.125% DTD 07/02/17 Due 7/15/22	A	Dividend	K	T	Buy	06/06/17	K		
125. Costco Whsl Corp. New com	A	Dividend	K	T	Buy	10/03/17	K		
126. Crown Castle Intl Corp. New Com	A	Dividend	K	T	Buy	10/03/17	J		
127. Deere & Co. SR GLBC	A	Dividend	K	T	Buy	06/06/17	K		
128. General Electric Co. NT 2.70 DTD 10/9/12 Due 10/09/12 Due 10/9/22		None	K	T	Buy	10/16/17	L		
129. Merck & co. Inc. New com	A	Dividend	K	T	Buy	06/06/17	J		
130.					Buy	10/03/17	J		
131. Oracle Corp. Com. 9/29/17 @ 48.27	A	Dividend	K	T	Buy	10/03/17	K		
132. U. S. Treasury Note 1.625% 2/15/16 due 2/15/26		None	K	T	Buy	10/02/17	K		
133. T-Rowe Price Tax Free High Yield Fund #59	B	Dividend	L	T	Buy	06/02/17	L		
134. PERSONAL HOLDINGS: SPOUSE									
135. Money Market Funds Sifel, Nicolaus & Co.	A	Interest	L	T					
136. Torchmark Corp.	A	Dividend	M	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 12 of 21

Name of Person Reporting

Dubina, Joel F.

Date of Report

01/09/2019

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)
137. 56 TMK, United Inc.	A	Dividend	J	T					
138. 12.5% interest Investments Unlimited, as L.L.C.	F	Rent	O	W					See Section VIII
139. 12.5% interest in house, Ada, AL		None	L	W					
140. Hancey Mill Road Farm, L.L.C.		None	M	R					See Section VIII
141. Huntsville AL RFDG & Cap Improvements WTS Ser A	A	Interest	K	T					
142. Express Scripts Inc. RMT)		None			Sold	04/25/17	K	D	
143. Novartis AG RMT Sponsored ADR	A	Dividend	J	T					
144. River Bank & Trust RMT		None	K	T					
145. Clarke & Mobile Cnty AL Gas Dist. 4.375%	B	Interest			Redeemed	10/02/17	K		
146. Madison Cnty Brd Ed Cap OID 96.801 4.7% CPN 4.500%	B	Interest	K	T					
147. Madison Cnty AL Brd EDP Cap Outlay Cpn 5.000% Due 9/1/36	B	Interest	K	T					
148. Shelby Cnty AL Brd EEDP Cap Outlay SCHOID@97.921 4.43%	B	Interest			Donated	10/12/17	K		
149. Shelby Cnty AL Brd EEDP RFDG 10 MillB/ECPN 5.0% due 2/1	B	Interest	K	T					
150. Tuscaloosa AL WarranEDP OID @96.969 4.56%	A	Interest			Redeemed	01/23/17	J	A	
151. Amgen Inc.	B	Dividend	L	T					
152. Phillips 66	A	Dividend			Sold	03/08/17	K	D	
153. Homewood AL Edl Bldg Rev Samford Univ. 4.500%	B	Interest	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 13 of 21

Name of Person Reporting

Dubina, Joel F.

Date of Report

01/09/2019

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)
154. Huntsville AL RFDG WTS OID @97.541 3.3%	A	Interest	K	T					
155. Kinder Morgan Inc DE	A	Dividend			Sold	11/15/17	J		
156. University of AL at B'ham Genl Rev A2 OID @98.653 3.1T	A	Interest	K	T					
157. Teakey Lng Partners limited Partnership Unit	A	Distribution			Sold	03/08/17	J		2016 was Partial Sale
158. ALIBABA Group Holding LTD Spons Ads		None	K	T					
159. Apple Inc	A	Dividend			Sold	06/15/17	J	D	
160. Enterprise AL WTS Ser A B/E OID @96.949 4.85%	B	Interest	K	T					
161. Escambia CNTY AL Brd Ed. Tax Antic WTS REV B/E	B	Interest	K	T					
162. Foley AL WTS BE OID @98.446 4.1% CPN 4.000% due 6/1/39	A	Interest	K	T					
163. Gulfport Energy Corp New		None			Sold (part)	04/26/17	J		
164.					Sold	06/15/17	J		
165. SERVISFIRST Bancshares)	A	Dividend	K	T	Sold (part)	02/27/17	J	D	
166. Towerstream Corp		None			Sold	02/27/17	J		
167. V F Corp)	A	Dividend	K	T	Buy (add'l)	02/13/17	J		
168.					Sold (part)	06/29/17	J		
169.					Sold (part)	07/31/17	J		
170.					Sold (part)	11/15/17	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 \$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 14 of 21

Name of Person Reporting

Dubina, Joel F.

Date of Report

01/09/2019

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)
171. AL State Pub HC Auth Pub HLTH FAc OID 96.120 4%	A	Interest	K	T					
172. Berkshire Hathaway Inc		None	K	T					
173. Chicago Bridge & Iron Company NV	A	Dividend	J	T					
174. CISCO Systems Inc.	A	Dividend			Sold (part)	02/27/17	J	B	
175.					Sold	06/15/17	J	B	
176. Costco Wholesale Corp.	A	Dividend			Sold	06/29/17	K	A	
177. Mobile AL Wtr & Swr Commrs. Rev B/E OID 98.500 @4.118%	A	Interest	K	T					
178. Silver Springs Ntwks		None			Buy (add'l)	03/08/17	J		
179.					Sold	09/19/17	K	B	
180. Sylacauga AL W & S B/E CPN 4% Due 2/1/31	A	Interest	K	T					
181. Horizon Pharma PLC		None	J	T					
182. INVESCO LTD	A	Dividend	J	T	Sold (part)	06/15/17	J	A	
183. Brewton AL WTS SER A BAM 3% due 12/02/28	A	Dividend	K	T					
184. Freeport McMoran Inc.		None			Sold	06/15/17	J	B	2016 was Partial Sale
185. Jasper AL WTS BAMBLE CPN 3.250%	A	Interest	K	T					
186. HENA Inc		None	L	T					
187. AIPS AIERIAN MLP ETF		None	K	T	Buy	12/21/17	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 \$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 15 of 21

Name of Person Reporting

Dubina, Joel F.

Date of Report

01/09/2019

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)
188. Bristol Myers Squibb	A	Dividend	K	T	Buy	07/14/17	K		
189. Intrexon Corp		None	K	T	Buy	03/09/17	K		
190.					Buy (add'l)	06/17/17	J		
191. Paypal Holdings Inc.		None	K	T	Buy	01/18/17	J		
192. Therapeuticsand Inc.		None	J	T	Buy	06/15/17	J		
193. 3-D Systems Corp. Del New		None	J	T	Buy	09/26/17	J		
194. Tuscaloosa AL Pub. Edl 8 Bldg Stnt HSG Rev 3.00% due 7/1/31		None	K	T	Buy	10/03/17	K		
195. Ambarella Inc.		None	K	T	Buy	06/15/17	K		
196. PRINCETON MANAGED ACCT									
197. Money Market Funds Stiffel, Nicolaus & Co.	A	Interest	J	T					
198. AT&T	A	Dividend	J	T					
199. American Airlines	A	Dividend			Sold (part)	06/09/17	J	A	
200.					Sold	09/28/17	J	A	
201. American Tower Corp New	A	Dividend	J	T					
202. Apple Inc	A	Dividend	J	T					
203. Boeing Company	A	Dividend	J	T					
204. Bristol Myers Squibb Company	A	Dividend	J	T	Buy (add'l)	05/18/17	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		

FINANCIAL DISCLOSURE REPORT

Page 16 of 21

Name of Person Reporting

Dubina, Joel F.

Date of Report

01/09/2019

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)
205. Canadian Pacific Railway Limited	A	Dividend	J	T					
206. Cisco systems Inc.	A	Dividend	J	T	Sold (part)	05/18/17	J	A	
207. Corning Inc	A	Dividend	J	T	Sold (part)	06/09/17	J	A	
208. Crown Castle Intl Corp New	A	Dividend	J	T					
209. General Electric	A	Dividend			Sold (part)	01/26/17	J	A	
210.					Sold (part)	06/13/17	J	A	
211.					Sold (part)	06/15/17	J	A	
212.					Sold	09/07/17	J		
213. Alphabet Inc. (Formerly Google Inc. CL A)		None	J	T	Buy (add'l)	01/30/17	J		
214. Intel Corp.	A	Dividend	J	T	Sold (part)	06/09/17	J	A	
215. Martin Marietta Materials Inc.	A	Dividend	J	T	Sold (part)	06/09/17	J	A	
216. Microsoft Corp	A	Dividend	J	T					
217. Qualcomm Inc.	A	Dividend	J	T					
218. Union Pacific Corp	A	Dividend	J	T					
219. Unisys Corp New		None			Sold	09/28/17	J		
220. Universal Electrs Inc.		None	J	T					
221. Verizon Communications Inc.	A	Dividend	J	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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)	F = \$50,001 - \$100,000 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 17 of 21

Name of Person Reporting

Dubina, Joel F.

Date of Report

01/09/2019

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)
222. NOVO Nordisk AS ADR	A	Dividend	J	T					
223. Facebook Inc CL A		None	J	T					
224. Monolithic Power System Inc.	A	Dividend			Sold	01/30/17	J	A	
225. Pfizer Inc.	A	Dividend	J	T	Buy	03/17/17	J		
226. Visa Inc. Class A	A	Dividend	J	T	Buy	01/30/17	J		
227. Abbvie Inc.	A	Dividend	J	T	Buy	06/13/17	J		
228. Amazon Com Inc.		None	J	T	Buy	09/06/17	J		
229. Comcast corp. CL Anew	A	Dividend	J	T	Buy	04/07/17	J		
230.					Buy (add'l)	09/06/17	J		
231. Walt Disney co.		None	J	T	Buy	09/07/17	J		
232. United Parcel Service	A	Dividend	J	T	Buy	09/28/17	J		
233. ██████████ CHARITABLE ACCOUNT									
234. Money Market Funds Stifel, Nicolaus & Co.	A	Interest	J	T					
235. Alexander City AL RFDG WTS Ser A OID 98.889 3.16% CPN 3.000 Due 5/1/19	A	Interest	J	T					
236. Elmore Cnty AL Pub E Coop Dist Pub Ed OID @98.506 3.45%	A	Interest	K	T					
237. Foley AL Pub Facs Co Dist Rev CPN 4.000% Due 9/1/19	A	Interest	K	T					
238. Phenix City, AL WTS SER A 5.000% Due 01/01/17	A	Interest			Redeemed	01/03/17	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 18 of 21

Name of Person Reporting

Dubina, Joel F.

Date of Report

01/09/2019

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)

239. Opelika AL School Warrants SER A CPN 3.500% Due 10/1/20	A	Interest	K	T					
240. Russellville AL WTRW SWR BD REV OID @98.839 2.5% CPN 2.300%	A	Interest			Redeemed	11/01/17	J		
241. Shelby Cnty AL Brd E Unref 10 mill CPN 4.000% due 2/1/18	A	Interest	K	T					
242. AL. WTR Pollution Auth. RFDG RVLVNG 3.00% Due 8/15/21	A	Interest	J	T	Buy	02/27/17	J		
243. Phenix City AL Pub. Bldg Auth Rev Mun A DB 3.00% Due 4/1/21	A	Interest	J	T	Buy	02/27/17	J		
244. Troy AL RFDG WTS AGM OID @ 99.108 2.17% 2% due 8/1/23 3		None	K	T	Buy	12/21/17	K		
245. [REDACTED] HORIZON ACCOUNT									
246. Money Market Funds Stifel, Nicolaus & Co.	A	Interest	M	T					
247. First Trust Dorsey Wright Focus	A	Dividend	L	T	Buy (add'l)	05/01/17	L		
248.					Sold (part)	03/21/17	M	C	
249.					Sold (part)	08/21/17	M	B	
250. First Trust VI Dorey Wright Intl Focus SETF	A	Dividend	L	T	Buy (add'l)	01/05/17	L		
251.					Buy (add'l)	06/01/17	L		
252.					Buy (add'l)	07/14/17	M		
253.					Sold (part)	04/13/17	L	D	
254.					Sold (part)	06/23/17	M	A	
255.					Sold (part)	12/13/17	M	D	

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 19 of 21

Name of Person Reporting

Dubina, Joel F.

Date of Report

01/09/2019

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)
256. I-Shares 3-7 yr. Treasury Bond ETF	A	Dividend	K	T	Sold (part)	01/05/17	K		
257. Vanguard Federal Money Market VMFXX		None	L	T	Buy	12/07/17	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	

FINANCIAL DISCLOSURE REPORT

Page 20 of 21

Name of Person Reporting

Dubina, Joel F.

Date of Report

01/09/2019

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

Part VII. Investments & Trusts.

No. 4, 7, 8, . Property located in Montgomery County, AL; (*Walton County, FL), Lowndes County, AL

138 & 140 *In 2014, Investments Unlimited sold the beach house in Walton County, Florida for \$2.8 million. [REDACTED] and I received 12.5% each of the proceeds.

No. 136. Effective December 31, 2007, I gifted my interest in land in Montgomery County, equally to [REDACTED]. I formed an L.L.C. named "Hancey Mill Road Farm, L.L.C." My 50% interest in the land was deeded into Hancey Mill Road Farm, L.L.C. and then gifted to [REDACTED] in equal shares. The total value of this property at the time it gifted was \$790,000 to be equally shared by the 4. I filed a gift tax return showing this transfer on 4/15/08.

FINANCIAL DISCLOSURE REPORT

Page 21 of 21

Name of Person Reporting

Dubina, Joel F.

Date of Report

01/09/2019

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/ Joel F. Dubina**

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