

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) Haikala, Madeline H.	2. Court or Organization United States District Court, Northern District of Alabama	3. Date of Report 05/07/2018
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 01/01/2017 to 12/31/2017
7. Chambers or Office Address United State 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Board of Directors	Birmingham Bar Association Women's Section
2. Board Member	Norma Livingston Ovarian Cancer Foundation
3. Secondary Trustee	Lohfink Family Irrevocable Trust
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. 1990	Lightfoot, Franklin, & White LLC 401 K plan with former law firm, no control
2.	
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.	Georgetown University	college tuition	None
2.	University of Mississippi	college tuition	None
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) 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. Wells Fargo Cash Accounts	A	Interest	L	T					
2. PNC Bank CDs	A	Interest	K	T					
3. 401K #1 (H)									
4. - DoubleLine Total Return Bond	B	Dividend	L	T	Buy (add'l)	07/18/17	J		
5. - Driehaus Active Income Fund	A	Dividend	K	T					
6. - Institutional Money Market Deposit Acct	A	Dividend	J	T	Buy (add'l)	07/18/17	J		
7. - Vanguard Dividend Appreciation ETF	A	Dividend	J	T					
8. - Vanguard Short Term Bond ETF	A	Dividend	J	T					
9. - Vanguard Total Bond Market ETF	B	Dividend	L	T					
10. - Vanguard Total International Stock ETF	B	Dividend	L	T	Sold (part)	07/17/17	J		
11. - Vanguard Total Stock Market ETF	C	Dividend	M	T	Sold (part)	07/17/17	J		
12. - Driehaus Event Driven		None	J	T					
13. - Driehaus Micro Cap Growth	A	Dividend	J	T					
14. - RiverPark Strategic Income Inst	A	Dividend	K	T	Buy (add'l)	07/18/17	J		
15. - DoubleLine Low Dur Emerg Mkts Fxd Inc I	A	Dividend	J	T	Buy (add'l)	07/18/17	J		
16. - Victory Global Natural Resources Y		None	J	T					
17. - Vanguard FTSE Emerging Markets ETF	A	Dividend	J	T					

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

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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) Amount Code I (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. - Wasatch International Opps Instl	A	Dividend	J	T					
19. MetLife Policyholder Trust	A	Dividend	J	T					
20. Oppenheimer Funds Accounts (H)									
21. - Global Fund C	B	Distribution	K	T					
22. - Main Street All Cap Fund C	B	Distribution	K	T					
23.	A	Dividend							
24. - Main Street Mid Cap Fund C	B	Distribution	J	T					
25. - Cash Reserves C (Y)									
26. Franklin Templeton Accounts (H)									
27. - Franklin Mutual Quest Fund Class A	A	Distribution	L	T					
28.	B	Dividend							
29. - Franklin Money Fund (Y)									
30.									
31.									

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

Part I. Positions

- My [REDACTED] created the Lohfink Family Irrevocable Trust in 2016. My [REDACTED] are the beneficiaries of the trust. I receive no income of any sort from the trust, and I have no obligations under the trust unless I survive both [REDACTED] who are the primary trustees of the trust. I receive no reports concerning the trust and exercise no discretion concerning the trust assets. No provision of the trust document permits me or [REDACTED] to receive income from the trust, and none of us has a beneficial interest in the principal or interest of the trust.

Part VII. Investments and Trusts

- TD Bank Money Market Deposit Account name (2016 Report, Part VII, Line 7) was changed to Institutional Money Market Deposit Acct (2017 Report, Part VII, Line 6).

- Oppenheimer Fund Main Street Select Fund C name (2016 Report, Part VII, Line 36) was changed to Main Street All Cap Fund C (2017 Report, Part VII, Line 22).

- The income and value amounts for the assets listed under Oppenheimer Funds [REDACTED] accounts and Franklin Templeton [REDACTED] accounts are the totals for all [REDACTED] in 2017. In 2016, there were three [REDACTED], but one of the three was [REDACTED] in 2017. Therefore, the amounts reported in 2017 for the [REDACTED] accounts are for the two remaining [REDACTED]. The two remaining [REDACTED] do not have Oppenheimer Funds Cash Reserves C or Franklin Templeton Money Fund accounts, so those accounts do not have reportable amounts for 2017.

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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
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