AO 10
Rev. 1/2022

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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)	2. Court or Organization	3. Date of Report
Axon, Annemarie	United States District Court, Northern District of Alabama	07/15/2022
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
U.S. District Judge, Active	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
Hugo L. Black United States Courthouse 1729 5th Avenue North Birmingham, Alabama 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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☑ NONE *(No reportable positions.)*

POSITION	NAME OF ORGANIZATION/ENTITY
1.	
2.	
3.	
4.	
5.	

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements)*

☑ NONE *(No reportable agreements.)*

DATE	PARTIES AND TERMS
1.	
2.	
3.	

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

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
1.	2021	self-employed attorney
2.		
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☐ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.	Alabama State Bar Association	0017/15/2021	The Grand Hotel, Point Clear, AL	Speech re: federal court practices early the next day	lodging provided
2.					
3.					
4.					
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☐ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.	U.S. Department of Education	loan	J
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Axon, Annemarie	07/15/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

	A	B		C		D				
	Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
	Place "(X)" after each asset exempt from prior disclosure	(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)	
1.	Apple Inc	A	Dividend	K	T	Buy (add'l)	03/11/21	J		
2.	Air Prods & Chems Inc com	A	Dividend	J	T					
3.	ARK ETF Innovation	A	Dividend	L	T	Buy	01/14/21	M		
4.	ARK Genomic Revolution ETF	A	Distribution	K	T					
5.	AQR U.S. Defensive Equity Fund Class I	B	Dividend	K	T					
6.	Franklin Res Inc	A	Dividend	J	T					
7.	Blackrock Inc	A	Dividend	J	T					
8.	Berkshire Hathaway Inc Del Cl B New		None	J	T	Sold (part)	07/13/21	J		
9.	Crown Castle Intl Corp	A	Dividend	J	T					
10.	Cincinnati Financial Corp Com	A	Dividend	J	T					
11.	Comcast Corp New Cl A	A	Dividend	J	T					
12.	Cisco Sys Inc	A	Dividend	J	T					
13.	Diageo PLC	A	Dividend	J	T					
14.	IShares MSCI Emerging Markets Min Volatility Factor ETF	A	Dividend	J	T	Sold (part)	01/14/21	J	B	
15.	Vanguard ESG U.S. Stock ETF	A	Dividend	K	T	Buy	10/29/20	K		
16.	Fidelity Capital & Income Fund	B	Dividend	K	T					
17.	Fastenal Co	A	Dividend	J	T					

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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☐ 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 (1) Amount Code 1 (A-H)	B (2) Type (e g , div , rent, or int)	C Gross value at end of reporting period (1) Value Code 2 (J-P)	C (2) Value Method Code 3 (Q-W)	D Transactions during reporting period (1) Type (e g , buy, sell, redemption)	D (2) Date mm/dd/yy	D (3) Value Code 2 (J-P)	D (4) Gain Code 1 (A-H)	
18. Fidelity Cash Reserves	A	Int./Div.	L	T					
19. Franklin Templeton Emerging Market Debt Opportunities Fund		None	K	T	Sold	01/14/21	K		
20. Intel Corp	A	Dividend	J	T					
21. JP Morgan Strategic Income Opportunities Fund Cl S	B	Dividend	M	T	Buy (add'l)	01/14/21	K		
22. JP Morgan Hedged Equity	A	Dividend	K	T	Buy	07/09/21	K		
23. Coca Cola	A	Dividend	J	T	Sold	07/13/21	J		
24. Lord Abbett Bond Debenture Cl I	B	Dividend	K	T					
25. Lowes Cos Inc	A	Dividend	K	T	Buy (add'l)	03/11/21	J		
26. Altria Group Inc	A	Dividend	J	T					
27. Merck & Co Inc	A	Dividend	J	T					
28. Microsoft	A	Dividend	J	T					
29. Norfolk Southern Corp	A	Dividend	J	T					
30. Nestle	A	Dividend	J	T					
31. Nintendo Co	A	Dividend	J	T					
32. PayChex Inc	A	Dividend	J	T	Sold (part)	07/28/21	J		
33. Pfizer Inc Com	A	Dividend	K	T					
34. Philip Morris Int'l Inc	A	Dividend	J	T					

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35. Polen Growth Fund Institutional Class	D	Dividend	N	T					
36. Progressive Corp	A	Dividend	J	T	Buy	07/13/21	J		
37. Bank Deposit Sweep Program	A	Interest	L	T					
38. Target Corp	A	Dividend	J	T	Buy (add'l)	03/11/21	J		
39. TIAA CREF Core Impact Bond Fund Institutional Class	B	Dividend	L	T					
40. Texas Instruments Inc	A	Dividend	J	T					
41. Undiscovered Managers Behavioral Fund	B	Dividend	L	T	Sold (part)	01/14/21	L		
42. United Parcel Service Inc	A	Dividend	J	T	Buy (add'l)	03/11/21	J		
43. IShares Tr MSCI USA Minimum Volatility Index Fund	A	Dividend	J	T	Sold (part)	01/19/21	J	B	
44. Vanguard REIT Index ETF	A	Dividend	K	T	Sold (part)	01/14/21	L		
45. Vanguard Mid Cap	A	Dividend	L	T					
46. Vanguard World Fund	A	Dividend	L	T					
47. Vanguard Bond Index Fund	B	Dividend	L	T	Buy	01/14/21	L		
48. Verizon Communications	A	Dividend	J	T					
49. WCM Focused International Growth Fund	D	Dividend	N	T					
50. DFA US Large Cap Value 529F		None	K	T	Buy (add'l)	01/11/21	J		
51.					Buy (add'l)	02/12/21	J		

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52.					Buy (add'l)	03/09/21	J		
53.					Buy (add'l)	04/09/21	J		
54.					Buy (add'l)	05/10/21	J		
55.					Buy (add'l)	06/09/21	J		
56.					Buy (add'l)	07/07/21	J		
57.					Buy (add'l)	07/26/21	J		
58.					Buy (add'l)	08/23/21	J		
59.					Buy (add'l)	09/07/21	J		
60.					Buy (add'l)	10/11/21	J		
61.					Buy (add'l)	11/09/21	J		
62.					Buy (add'l)	12/10/21	J		
63. Northern Funds International Equity Index 529F		None	K	T	Buy (add'l)	01/11/21	J		
64.					Buy (add'l)	02/12/21	J		
65.					Buy (add'l)	03/09/21	J		
66.					Buy (add'l)	04/09/21	J		
67.					Buy (add'l)	05/10/21	J		
68.					Buy (add'l)	06/09/21	J		

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69.					Buy (add'l)	07/07/21	J		
70.					Buy (add'l)	07/26/21	J		
71.					Buy (add'l)	08/23/21	J		
72.					Buy (add'l)	09/07/21	J		
73.					Buy (add'l)	10/11/21	J		
74.					Buy (add'l)	11/09/21	J		
75.					Buy (add'l)	12/10/21	J		
76. Northern Funds Stock Index 529F		None	L	T	Buy (add'l)	01/07/20	J		
77.					Buy (add'l)	02/12/21	J		
78.					Buy (add'l)	03/09/21	J		
79.					Buy (add'l)	04/09/21	J		
80.					Buy (add'l)	05/10/21	J		
81.					Buy (add'l)	06/09/21	J		
82.					Buy (add'l)	07/07/21	J		
83.					Buy (add'l)	07/26/21	J		
84.					Buy (add'l)	08/23/21	J		
85.					Buy (add'l)	09/07/21	J		

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86.					Buy (add'l)	10/11/21	J		
87.					Buy (add'l)	11/09/21	J		
88.					Buy (add'l)	12/10/21	J		
89. PGIM Total Return Bond 529F		None	K	T	Buy (add'l)	01/11/21	J		
90.					Buy (add'l)	03/09/21	J		
91.					Buy (add'l)	04/09/21	J		
92.					Buy (add'l)	05/10/21	J		
93.					Buy (add'l)	06/09/21	J		
94.					Buy (add'l)	07/07/21	J		
95.					Buy (add'l)	07/26/21	J		
96.					Buy (add'l)	08/23/21	J		
97.					Buy (add'l)	09/07/21	J		
98.					Buy (add'l)	10/11/21	J		
99.					Buy (add'l)	11/09/21	J		
100.					Buy (add'l)	12/10/21	J		
101. William Blair Small Cap Value 529F		None		T	Buy (add'l)	01/11/21	J		
102.					Buy (add'l)	02/12/21	J		

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103.					Buy (add'l)	03/09/21	J		
104.					Buy (add'l)	04/09/21	J		
105.					Buy (add'l)	05/10/21	J		
106.					Buy (add'l)	06/09/21	J		
107.					Buy (add'l)	07/07/21	J		
108.					Buy (add'l)	07/26/21	J		
109.					Redeemed	08/11/21	K		
110. T Rowe Price Small-Cap 529F		None	K	T	Buy	08/11/21	K		
111.					Buy (add'l)	08/23/21	J		
112.					Buy (add'l)	09/07/21	J		
113.					Buy (add'l)	10/11/21	J		
114.					Buy (add'l)	11/09/21	J		
115.					Buy (add'l)	12/10/21	J		
116. GPB Holdings II LP		None	K	V					

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Axon, Annemarie	07/15/2022

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

The asset listed at Section VII, line 133 is a limited partnership. Its value was determined through the third-party appraisal of the limited partnerhip's underlying assets.

Assets listed in Section VII reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but are instead credited only to unit value, per page 42 of the filing instructions.

Name of Person Reporting	Date of Report
Axon, Annemarie	07/15/2022

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/ Annemarie Axon

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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