AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

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	05/15/2024
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	01/01/2023 **to** 12/31/2023
	5b. ☐ Amended Report	
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.	2023	self-employed attorney, Starnes Davis Florie
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.					
2.					
3.					
4.					
5.					

Name of Person Reporting	Date of Report
Axon, Annemarie	05/15/2024

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.			

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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. 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)	
1.	Apple Inc		None	K	T					
2.	Altria		None	J	T					
3.	Air Prods & Chems Inc com		None	J	T					
4.	ARK ETF Innovation		None	K	T					
5.	ARK Genomic Revolution ETF		None	K	T					
6.	AQR U.S. Defensive Equity Fund Class I	D	Dividend	K	T					
7.	Franklin Res Inc		None	J	T					
8.	Blackrock Inc	A	Dividend	J	T					
9.	Berkshire Hathaway Inc Del Cl B New		None	K	T					
10.	Crown Castle Intl Corp	A	Dividend	J	T					
11.	Cincinnati Financial Corp Com		None	J	T					
12.	Comcast Corp New Cl A		None	J	T					
13.	Cisco Sys Inc		None	J	T					
14.	Diageo PLC		None	J	T					
15.	Fidelity Capital & Income Fund	A	Dividend	K	T					
16.	Fastenal Co		None	J	T					
17.	Fidelity Cash Reserves	B	Dividend	K	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; U =Book Value; V =Other; W =Estimated

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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. Franklin Resources Inc.		None	J	T					
19. Intel Corp	A	Dividend	J	T					
20. JP Morgan Strategic Income Opportunities Fund Cl S	B	Dividend	M	T					
21. JP Morgan Hedged Equity	A	Dividend	M	T					
22. Lord Abbett Bond Debenture Cl I	B	Dividend	K	T					
23. Lowes Cos Inc		None	K	T					
24. Altria Group Inc		None	J	T					
25. Merck & Co Inc		None	J	T					
26. Microsoft	A	Dividend	K	T					
27. Norfolk Southern Corp		None	J	T					
28. Nestle		None	J	T					
29. Nintendo Co	A	Dividend	J	T					
30. PayChex Inc		None	J	T					
31. Pfizer Inc Com	A	Dividend	J	T					
32. Philip Morris Int'l Inc		None	J	T					
33. Polen Growth Fund Institutional Class		None	M	T					
34. Progressive Corp		None	K	T					

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35. Bank Deposit Sweep Program	A	Interest	M	T					
36. Target Corp	A	Dividend	J	T					
37. TIAA CREF Core Impact Bond Fund Institutional Class	B	Dividend	L	T					
38. Texas Instruments Inc		None	J	T					
39. Undiscovered Managers Behavioral Fund	D	Dividend	L	T					
40. United Parcel Service Inc		None	J	T					
41. IShares Tr MSCI USA Minimum Volatility Index Fund	A	Dividend	J	T					
42. Vanguard Mid Cap	B	Dividend	L	T					
43. Vanguard Bond Index Fund	B	Dividend	K	T					
44. Verizon Communications		None	J	T					
45. WCM Focused International Growth Fund	B	Dividend	M	T					
46. ETF Ser Solutions Distillate US	A	Dividend	L	T					
47. DFA US Large Cap Value 529F		None	K	T	Buy (add'l)	01/12/23	J		
48.					Buy (add'l)	02/09/23	J		
49.					Buy (add'l)	03/10/23	J		
50.					Buy (add'l)	04/10/23	J		
51.					Buy (add'l)	05/09/23	J		

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

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69.					Buy (add'l)	11/08/23	J		
70.					Buy (add'l)	12/12/23	J		
71. PGIM Total Return Bond 529F		None	K	T	Buy (add'l)	01/12/23	J		
72.					Buy (add'l)	02/09/23	J		
73.					Buy (add'l)	03/10/23	J		
74.					Buy (add'l)	04/10/23	J		
75.					Buy (add'l)	05/09/23	J		
76.					Buy (add'l)	06/09/23	J		
77.					Buy (add'l)	07/11/23	J		
78.					Buy (add'l)	08/09/23	J		
79.					Buy (add'l)	09/11/23	J		
80.					Buy (add'l)	10/10/23	J		
81.					Buy (add'l)	11/08/23	J		
82.					Buy (add'l)	12/12/23	J		
83. T Rowe Price Small-Cap 529F		None	K	T	Buy (add'l)	01/12/23	J		
84.					Buy (add'l)	02/09/23	J		
85.					Buy (add'l)	03/10/23	J		

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86.					Buy (add'l)	04/10/23	J		
87.					Buy (add'l)	05/09/23	J		
88.					Buy (add'l)	06/09/23	J		
89.					Buy (add'l)	07/11/23	J		
90.					Buy (add'l)	08/09/23	J		
91.					Buy (add'l)	09/11/23	J		
92.					Buy (add'l)	10/10/23	J		
93.					Buy (add'l)	11/08/23	J		
94.					Buy (add'l)	12/12/23	J		
95. GPB Holdings II LP		None	L	V					
96. United States Treas Bill YO		None			Redeemed	08/10/23	K		
97. United States Treasury Bill T0		None			Redeemed	11/10/23	K		
98. United States Treasury Bill E2		None			Redeemed	03/09/23	K		
99. United States Treasury Bill 85		None			Redeemed	03/28/23	K		
100. United States Treasury Bill P7		None			Redeemed	06/08/23	K		
101. United States Treasury Bill H6		None			Redeemed	09/07/23	K		
102. United States Treasury Bill D4		None			Redeemed	11/30/23	K		

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103. United States Treasury Bill HP5		None	K	T	Buy	12/01/23	K		
104. United States Treasury Bill GL5		None	K	T	Buy	09/07/23	K		
105. UMB Bank National Assn Kansas City		None			Buy	03/29/23	K		
106.		None			Redeemed	10/02/23	K		
107. United States Treasury Bill FH5		None	K	T	Buy	06/08/23	K		
108. United States Treasury Bill Z28		None	K	T	Buy	03/09/23	K		
109. United States Treasury Bill K7		None	K	T	Buy	08/10/23	K		
110. United States Treasury Bill CX5		None	K	T	Buy	05/15/23	K		
111. United States Treasury Bill GW1		None	K	T	Buy	11/02/23	K		
112.									
113.									
114.									
115.									
116.									
117.									
118.									
119.									

1. Income Gain Codes: (See Columns B1 and D4)
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

The asset listed at Section VII, line 95 is a limited partnership. Its value was determined through a third-party appraisal of the limited partnerhsip's underlying assets. The asset is now under receivership and claims as an asset its civil action against management.

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	05/15/2024

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. § 13141 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. § 13106)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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