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 |
|---|---|---|
| Haikala, Madeline H. | United States District Court, Northern District of Alabama | 05/13/2022 |
| **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** |
| District Judge (Active) | ☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☐ Amended Report | 01/01/2021 **to** 12/31/2021 |
| **7. Chambers or Office Address** | | |
| United States District Court<br>Hugo L. Black United States Courthouse<br>1729 Fifth Avenue North<br>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 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. | Board Member | Birmingham Bar Association Women's Section |
| 2. | Board Member | Norma Livingston Ovarian Cancer Foundation |
| 3. | Trustee | [redacted] Trust |
| 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. | 1990 | Lightfoot, Franklin, & White LLC 401 K plan with former law firm, no control, no income from firm; asset selection by independent 401k (Continued on line 2) |
| 2. | 1990 | management service (I can choose only category of risk). |
| 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. | | |
| 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. | | | | | |

## 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. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Haikala, Madeline H.** | 05/13/2022 |

## 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. 401K (H) | | | | | | | | | |
| 2. - DoubleLine Low Dur Emerg Mkts fxd Inc I | A | Dividend | J | T | Buy (add'l) | 01/11/21 | J | | |
| 3. | | | | | Buy (add'l) | 01/12/21 | J | | |
| 4. | | | | | Buy (add'l) | 05/04/21 | J | | |
| 5. - DoubleLine Total Return Bond I | B | Dividend | L | T | Buy (add'l) | 05/04/21 | J | | |
| 6. - Driehaus Event Driven | B | Dividend | K | T | | | | | |
| 7. - Driehaus Small Cap Growth Institutional | C | Dividend | K | T | Sold (part) | 01/11/21 | J | B | |
| 8. - iShares Core 1-5 Year USD Bond | A | Dividend | J | T | | | | | |
| 9. - iShares Core MSCI Emerging Markets | A | Dividend | J | T | Buy (add'l) | 01/12/21 | J | | |
| 10. | | | | | Sold (part) | 08/09/21 | J | C | |
| 11. - iShares Core MSCI Total Intl Stk | B | Dividend | L | T | Buy (add'l) | 05/04/21 | J | | |
| 12. | | | | | Buy (add'l) | 08/10/21 | J | | |
| 13. - iShares Core US Aggregate Bond | B | Dividend | M | T | Buy (add'l) | 01/12/21 | J | | |
| 14. | | | | | Buy (add'l) | 08/10/21 | J | | |
| 15. - iShares Nasdaq Biotechnology | A | Dividend | | | Sold | 05/03/21 | J | C | |
| 16. - iShares Russell 2000 | A | Dividend | J | T | Buy | 05/04/21 | J | | |
| 17. - JPMorgan Strategic Income Opports R5 | A | Dividend | K | T | Buy (add'l) | 01/12/21 | J | | |

| | | | | | |
|---|---|---|---|---|---|
| 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 |
|---|---|
| **Haikala, Madeline H.** | 05/13/2022 |

## 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) | |
| 18. | | | | | | Buy (add'l) | 05/04/21 | J | | |
| 19. | - JPMorgan Chase Bank Retirement Cash Account | A | Interest | | | Buy (add'l) | 01/12/21 | J | | |
| 20. | | | | | | Sold | 08/09/21 | J | A | |
| 21. | - RiverPark Strategic Income Inst | B | Dividend | K | T | Buy (add'l) | 01/12/21 | J | | |
| 22. | | | | | | Sold (part) | 05/03/21 | J | B | |
| 23. | - Vanguard Total Stock Market ETF | B | Dividend | M | T | Sold (part) | 01/11/21 | J | D | |
| 24. | | | | | | Sold (part) | 05/03/21 | K | D | |
| 25. | | | | | | Sold (part) | 08/09/21 | J | C | |
| 26. | - Wasatch International Opps Instl | B | Dividend | K | T | | | | | |
| 27. | - Palm Valley Capital Fund Investor Class | A | Dividend | J | T | Buy | 08/09/21 | J | | |
| 28. | MetLife Policyholder Trust | A | Dividend | J | T | | | | | |
| 29. | PNC Bank CDs | A | Interest | J | T | | | | | |
| 30. | Wells Fargo Cash Accounts | A | Interest | L | 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 | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Haikala, Madeline H.** | 05/13/2022 |

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

Part I. Positions.

- I became the trustee of the [redacted] Trust effective September 17, 2021. It is a trust that [redacted] created for [redacted]. I am not familiar with the sources of income for the trust; [redacted] manages the investments. I have no knowledge of investment account holdings for the trust.

| Name of Person Reporting | Date of Report |
|---|---|
| **Haikala, Madeline H.** | 05/13/2022 |

## 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/ 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
Administrative Office of the United States Courts
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