AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2022

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
Haikala, Madeline H.	United States District Court, Northern District of Alabama	05/15/2023
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 ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2022 **to** 12/31/2022

7. Chambers or Office Address

United States 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 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	Legacy 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 choose only category of risk).
3.		

Name of Person Reporting	Date of Report
Haikala, Madeline H.	05/15/2023

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.	05/15/2023

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 #1 (H) (See VIII)									
2. - DoubleLine Low Dur Emerg Mkts fxd Inc I									
3. - DoubleLine Total Return Bond I B									
4. - Driehaus Event Driven									
5. - Driehaus Small Cap Growth Institutional									
6. - iShares Core 1-5 Year USD Bond									
7. - iShares Core MSCI Emerging Markets									
8. - iShares Core MSCI Total Intl Stk									
9. - iShares Core US Aggregate Bond									
10. - iShares Russell 2000									
11. - JPMorgan Strategic Income Opports R5									
12. - RiverPark Strategic Income Inst									
13. - Vanguard Total Stock Market ETF									
14. - Wasatch International Opps Instl									
15. - Palm Valley Capital Fund Investor Class									
16. 401K #2 (H)									
17. - DFA Real EST SEC I	A	Int./Div.			Buy	06/06/22	K		

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.)*

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18.					Sold	12/07/22	J	A	
19. - DH Large Cap Y	A	Interest			Buy	06/06/22	L		
20.					Sold	12/07/22	L	A	
21. - FID 500 Index	A	Int./Div.			Buy	06/06/22	L		
22.					Sold	12/07/22	L	A	
23. - FID Low-Priced St. K6	A	Int./Div.			Buy	06/06/22	K		
24.					Sold	12/07/22	K	A	
25. - FID Mid Cap Idx	A	Int./Div.			Buy	06/06/22	K		
26.					Sold	12/07/22	K	A	
27. - FID SM Cap Idx	A	Interest			Buy	06/06/22	K		
28.					Sold	12/07/22	K	A	
29. - FID Total Bond K6	B	Int./Div.			Buy	06/06/22	L		
30.					Sold	12/07/22	L	A	
31. - MFS Growth R6	A	Interest			Buy	06/06/22	L		
32.					Sold	12/07/22	L	A	
33. - MFS Intl Divrsn R6	A	Interest			Buy	06/06/22	K		
34.					Sold	12/07/22	K	A	

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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

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35. - Pimco Income Inst	B	Int./Div.			Buy	06/06/22	L		
36.					Sold	12/07/22	L	A	
37. - STD Stable Asset 2	A	Interest			Buy	06/06/22	L		
38.					Sold	12/07/22	L	A	
39. - Vang TOT Intl Stk IS	A	Int./Div.			Buy	06/06/22	K		
40.					Sold	12/07/22	K	A	
41. MetLife Policyholder Trust	A	Dividend	J	T					
42. PNC Bank CDs	A	Interest	J	T					
43. Wells Fargo Cash Accounts	A	Interest	K	T					

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

Part I. Positions.

- I became the trustee of the [redacted] Legacy 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.

Part VII. Investments and Trusts

- From 2012 when I became a magistrate judge through December 2022, I maintained my 401k retirement fund in the Lightfoot, Franklin, & White, LLC 401k plan, the plan maintained and controlled by my former law firm. I have reported the investments from that 401k plan annually in Part VII of my Financial Disclosure Report. Throughout, I have selected only the risk category; I have not directed purchases or sales and have had no knowledge of the activity in the 401k investments until I request the information each year for purposes of my annual financial report. Effective May 17, 2022, my former law firm amended the plan to make Fidelity Workplace Services the plan administrator and Fidelity Investments the recordkeeper for the plan. Fidelity made new asset selections, and the value of the investments under the previous plan administrator became zero as of May 17, 2022. I had no involvement in the plan amendment, and my 401k funds transferred automatically. In light of the change to the Lightfoot plan, I investigated my options and decided to transfer my 401k funds to the federal Thrift Savings Plan. I withdrew my 401k funds from the Lightfoot plan in December 2022 and mailed the funds to the TSP shortly after I received them. The TSP did not deposit the funds into my existing TSP account until January 2023. Because of the change in plan administrators, to date, I have not been able to get access to information about interest, dividends, purchases, and sales of the 401k investments between January 1, 2022 and May 1, 2022, the day on which assets in the 401k plan were frozen pending transfer to the new administrator. As soon as I am able to obtain that information, I will supplement this report.

- In section VII, 401k (#1) will be completed when the information for the 401k investments between January 1, 2022 and May 17, 2022 becomes available. 401k (#2) represents the investments held by Fidelity between June 6, 2022 and December 7, 2022.

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Haikala, Madeline H.	05/15/2023

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/ 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. § 13106)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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