

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) McKinley, Joseph H.	2. Court or Organization Western District of Kentucky	3. Date of Report 04/28/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge-Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 206 U.S. Courthouse 423 Frederica St. Owensboro, KY 42301		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.		
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.)*DATESOURCE AND TYPEINCOME

(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.)*DATESOURCE AND TYPE

1. 2016

Kentucky Teachers Retirement

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.)*SOURCEDATESLOCATIONPURPOSEITEMS 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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
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. IRA #1 (H) (see Part VIII)									
2. -Invesco Energy Fund Class C	A	Dividend			Sold	08/03/16	J	A	
3. -Invesco Global Core Equity Fund Class C	A	Dividend			Sold	08/03/16	K	A	
4. -Alger Spectra Fund Class C	A	Dividend			Sold	08/03/16	L	A	
5. -Blackrock U.S. Opportunities Fund Class C	A	Dividend			Sold	08/03/16	K	A	
6. -First Eagle Gold Fund Class C	A	Dividend			Sold	08/03/16	J	A	
7. -First Eagle Overseas Class C	A	Dividend			Sold	08/03/16	K	A	
8. -MFS New Discovery Fund Class C	A	Dividend			Sold	08/03/16	K	A	
9. -Oppenheimer Equity Income Fund, Inc. Class C	A	Dividend			Sold	08/03/16	K	A	
10. -Oppenheimer Developing Markets Class C	A	Dividend			Sold	08/03/16	J	A	
11. -Transamerica Small/Mid Cap Value Fund Class C	A	Dividend			Sold	08/03/16	K	A	
12. -SunAmerica Focused Dividend Strategy Fund Class C	A	Dividend			Sold	08/03/16	L	A	
13. -Columbia Acorn Fund Class C	A	Dividend			Sold	08/03/16	K	A	
14. -MFS Internation New Discovery Fund Class C	A	Dividend			Sold	08/03/16	K	A	
15. Brokerage Account # 1 (H)									
16. -Ishares TR 3-7 YR Treas BD ETF	A	Dividend			Sold (part)	01/19/16	K	A	
17.					Sold (part)	02/02/16	J	A	

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 H = \$5,001 - \$15,000	D = \$15,001 - \$50,000 E = \$50,001 - \$100,000
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	H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	H2 = More than \$5,000,000 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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☐ 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.					Sold (part)	04/08/16	J	A	
19.					Buy (add'l)	09/07/16	J		
20.					Sold (part)	10/04/16	J	A	
21.					Sold	11/02/16	J	A	
22. -Powershares QQQ TR Unit Ser 1	A	Dividend			Sold	02/02/16	J	A	
23. -Vanguard BD Index FD INC Total BD Market	A	Dividend			Sold	02/02/16	J	A	
24. -Ishares Tr Core S&P 500 ETF	A	Dividend			Sold	01/19/16	J	A	
25. -Ishares TR Barclays 1-3 Yr Treas BD ETF	A	Int./Div.			Sold (part)	02/02/16	J	A	
26.					Sold (part)	04/08/16	J	A	
27.					Sold	09/07/16	J	A	
28. -Vanguard Index FDS S&P 500 ETF SHS New	A	Dividend			Sold	01/15/16	K	A	
29. -Dreyfus Ins Deposit Program	A	Int./Div.	L	T					
30. Market Vectors ETF TR Intermediate Muni Index	A	Int./Div.			Buy	02/02/16	K		
31.					Sold (part)	05/03/16	J	A	
32.					Sold (part)	04/08/16	J	A	
33.					Buy (add'l)	09/07/16	J		
34.					Sold (part)	10/04/16	J	A	

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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☐ 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)
35.					Sold	11/02/16	J	A	
36. Proshares Tr Short S&P 500	A	Int./Div.			Buy	02/02/16	J		
37.					Sold	04/08/16	J	A	
38. SPDR Ser Tr Nuveen Barclays Short Term Mun Bd ETF	A	Int./Div.			Buy	02/02/16	K		
39.					Sold (part)	04/08/16	J	A	
40.					Sold (part)	09/07/16	J	A	
41.					Sold	10/04/16	J	A	
42. Select Sector SPDR Tr Consumer Staples	A	Int./Div.			Buy	02/02/16	J		
43.					Sold (part)	04/08/16	J	A	
44.					Sold	10/04/16	J	A	
45. Vanguard Index FDS REIT ETF	A	Int./Div.			Buy	04/08/16	J		
46.					Sold (part)	09/07/16	J	A	
47.					Buy (add'l)	10/04/16	J		
48.					Buy (add'l)	10/10/16	J		
49.					Sold (part)	11/02/16	J	A	
50.					Sold	11/29/16	J	A	
51. Vanguard Index FDS Total Stk Mkt ETF	A	Int./Div.			Buy	04/08/16	K		

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52.					Sold (part)	09/07/16	J	A	
53.					Sold (part)	10/04/16	J	A	
54.					Sold (part)	11/02/16	J	A	
55.					Sold	11/29/16	J	A	
56. Vanguard Intl Equity Index FD Inc FTSE All World	A	Int./Div.			Buy	05/03/16	J		
57.					Buy (add'l)	10/10/16	J		
58.					Sold (part)	09/07/16	J	A	
59.					Sold	11/29/16	J	A	
60. Equinox Chesapeake Stratgy Fund Class I	A	Int./Div.			Buy	09/07/16	J		
61.					Sold (part)	10/04/16	J	A	
62.					Sold	11/29/16	J	A	
63. Vanguard Inflation Protected Fund Admiral Shares	A	Int./Div.			Buy	10/04/16	J		
64.					Buy (add'l)	11/02/16	J		
65.					Sold	11/29/16	J	A	
66. Vanguard Emerging Mkts Stock Index Fund Admiral Class	A	Int./Div.			Buy	10/04/16	J		
67.					Sold	11/29/16	J	A	
68. Vanguard Total Int. Bond Index Admiral shares	A	Int./Div.			Buy	11/02/16	J		

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69.					Sold	11/29/16	J	A	
70. Vanguard Int-Term Treasury Fund Amiral Shares	A	Int./Div.			Buy	11/02/16	J		
71.					Sold	11/29/16	J	A	
72. Vanguard Short-Term Treasury Fund Admiral Shares	A	Int./Div.			Buy	11/02/16	K		
73.					Sold	11/29/16	K	A	
74. Owensboro Country Club Stock		None	J	T					
75. Money Market Account-Money Concepts (H)	A	Int./Div.	J	T					
76. --Dreyfus Insured Deposits									
77. --Federated Reserves									
78. Evansville Teachers Federal Credit Union Account	A	Interest	K	T					
79. John Hancock Freedom 529(A)	A	Int./Div.	J	T					
80. ---Lifestyle Growth 529 Portfolio A									
81. John Hancock Freedom 529(B)	A	Int./Div.	J	T					
82. ---Lifestyle Growth 529 Portfolio A									
83. John Hancock Freedom 529(C)	A	Int./Div.	J	T					
84. ---Lifestyle Growth 529 Portfolio A									
85. John Hancock Freedom 529(D)	A	Int./Div.	J	T					

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86. ---Lifestlye Growth 529 Portfolio A									
87. John Hancock Freedom 529(E)	A	Int./Div.	J	T	Open	08/15/16	J		
88. ---Lifestyle Growth 529 Portfolio A									

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

Assets in IRA # 1 were sold and rolled over into my Thrift Savings Account.

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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/ **Joseph H. McKinley**

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544