

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) Russell, Thomas B.	2. Court or Organization United States District Court -	3. Date of Report 05/06/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III - Senior Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address 501 Broadway, Federal Building Paducah, KY 42001		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Partner	First Investors of Paducah (Investment Club) See additional information
2.	
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
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. _____

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. Checking Account - Paducah Bank	A	Interest	J	T					
2. Checking Account - Regions Bank	A	Interest	L	T					
3. IRA, UBS (See Section VIII)	B	Int./Div.			Sold	10/16/14	L		
4. -AmerFDS Cap. World Gr. Inc.					Sold	10/16/14	J		
5. -American Mutual Funds					Sold	10/16/14	J		
6. -Amer. Funds Investments Co. of America					Sold	10/16/14	J		
7. -Amer. Funds, Washington Mutual Investors					Sold	10/16/14	J		
8. IRA, LPL FINANCIAL (See Section VIII)	B	Int./Div.	O	T					
9. -AIM Invt Fds Invesco Developing MK C1 Y									
10. -Optimum Fixed Income Fund C1 I									
11. -Optimum International fund C1 I									
12. -Optimum Large Capital Growth Fd C1 I									
13. -Optimum Large Capital Value Fd C1 I									
14. -Optimum Small Cap Growth Fd C1 Instl									
15. -Optimum Small Cap Value Fd C1 I									
16. IRA, UBS (See Section VIII)	A	Int./Div.			Sold	10/16/14	K	A	
17. -AmerFDS Capital World Growth					Sold	10/16/14	J		

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

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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)

18. -Amer. Funds, Investment Co. of America					Sold	10/16/14	J		
19. IRA, LPL FINANCIAL (See Section VIII)	A	Int./Div.	K	T					
20. -Optimum Fixed Income Fund C1 I									
21. -Optimum International Fund C1 I									
22. -Optimum Large Capital Growth Fd C1 I									
23. -Optimum Large Capital Value Fd C1 I									
24. -Optimum Small Cap Growth Fd C1 Instl									
25. -Optimum Small Cap Value Fd C1 I									
26. Savings Acct. Regions Bank	A	Interest	L	T					
27. Common Stock, Regions Bank	A	Dividend	J	T					
28. IRA -REGIONS BANK (See Section VIII)	C	Int./Div.			Sold	10/07/14	N		
29. -U.S. Treas. SEC Strip					Sold	10/07/14	J		
30. -American Europacific GRTH-F2					Sold	10/07/14	J		
31. -Pimco Total Return (Mutual Fund)					Sold	10/07/14	J		
32. -Pimco Commodity Realreturn (Mutual Fund)					Sold	10/07/14	J		
33. -Templeton Global Bond Fund					Sold	10/07/14	J		
34. -Fannie Mae DTD					Sold	10/07/14	J		

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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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				
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35. -Federal Home Loan Bank					Sold	10/07/14	J		
36. -American Century Equity Income - Mutual Fund					Sold	10/07/14	J		
37. -Investco Developing Markets FD CL					Sold	10/07/14	J		
38. -Pioneer Fundamental Value Fund					Sold	10/07/14	J		
39. FIRST INVESTORS OF PADUCAH (See Section VIII)	A	Int./Div.	L	T					
40. -US Banc (common)									
41. -IBM (common)									
42. -Abbott Lab (common)					Sold	10/30/14	J	A	
43. -Cisco Sys (common)									
44. -Intel (common)									
45. -Schlumberge (common)									
46. -Simon P (common)									
47. -Loews (common)					Sold	09/12/14	J	A	
48. -Fastenal (common)									
49. -Microsoft (common)									
50. -Coke (common)									
51. -Johnson (common)									

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52. -Minnesota (3M) (common)									
53. -Proctor (common)									
54. -CSI (common)									
55. -Exon Mobil (common)									
56. -Oracle (common)									
57. -Walgreen (common)									
58. -B.P. PLC (common)									
59. -Apple (common)									
60. -Ishares (IWM)(common)									
61. -SPDR SDY									
62. -Trinity					Sold	10/30/14	J	A	
63. -Seadrill					Sold	10/30/14	J	A	
64. -Wells Fargo									
65. -Gilead									
66. -Fluor									
67. -National (NOV)									
68. -Clean									

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69. -Plexus									
70. -Ashland (ASH)									
71. -Tata (TTM)									
72. -Yum (YUM)									
73. -Vanguard (VWO)					Sold	10/30/14	J	A	
74. -Vanguard (VEA)					Sold	10/30/14	J	A	
75. -Toyota (TM)					Sold	11/03/14	J	A	
76. -Tesoro (TSO)									
77. -Kraft									
78. -UTX									
79. -Healthcare HCN					Sold	10/30/14	J	A	
80. -Barclays					Sold	10/16/14	J	A	
81. -Dollar General									
82. -Baker BHI									
83. -Becton BDX									
84. -Spectra SE					Sold	10/30/14	J	A	
85. -Medtronic MDT									

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86. -Mondelez MDL									
87. -Denbury (DNR)					Sold	10/30/14	J	A	
88. -Freeport (FCX)									
89. -Hess (HES)					Sold	10/30/14	J	A	
90. -JP Morgan (JPM)									
91. -Nat'L Fuel (NFG)									
92. -Pfizer (PFE)					Sold	10/30/14	J	A	
93. -Baidu (BIDU)									
94. -Cnooc (CEO)									
95. -Delphi (DLPH)									
96. -Estee (EL)									
97. -Abbvie (AbbV)									
98. -Uranium (UEC)									
99. -Whole Foods					Buy	08/19/14	J		
100. -WPG					Buy	05/29/14	J		
101. -BAC					Buy	10/14/14	J		
102. -GOOD					Buy	10/30/14	J		

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103. -Kroger					Buy	10/30/14	J		
104. - MA					Buy	10/30/14	J		
105. -MDT					Buy	10/30/14	J		
106. -SUNE					Buy	06/04/14	J		
107. -DNOW					Buy	06/02/14	J		

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

I. POSITIONS

In October of 1996, I became a member of an investment club known as First Investors of Paducah, which is organized as a partnership. There are 15 partners divided into 7 teams. Each team invests their portion. I only have control over the investment of my team. I do have a 1/15 interest in all investments.

VII. INVESTMENTS AND TRUSTS

(No. 3 - 7) IRA- UBS

This is an IRA account with UBS. In October, 2014, I transferred all of these assets to LPL Financial. They immediately sold those assets and reinvested the proceeds in the assets listed in No. 8-15 below.

(No. 8 -15) IRA - LPL FINANCIAL

This is the IRA account in LPL Financial that was transferred from UBS to LPL Financial as referenced above. Line 8 reflects the total value of the account, and Lines 9-15 list the individual purchases LPL Financial made.

(No. 16-18) IRA - UBS

This is another IRA with UBS which was transferred to LPL Financial in October, 2014. Upon transfer, LPL sold most assets and invested them in assets listed in No. 19-25 below.

(No. 19-25) IRA- LPL FINANCIAL

This is an IRA account in LPL Financial that was transferred from the UBS account referenced in Lines 16-18. LPL Financial immediately sold those assets and invested them as set forth in Lines 19-25.

(No. 28-38) IRA - REGIONS BANK

This is an IRA account with Regions Bank, which I transferred to LPL Financial in October, 2014, as shown in Lines 8-15. Line 28 reflects the value of the account. Upon transfer, LPL sold most of the assets and invested them in assets listed in Lines 8-15.

I had an IRA with Regions Bank and UBS. Other than making an allocation choice between bonds, stocks, money markets, etc., I have no control over the IRA account. I am not consulted nor do I give advice on the individual investments. Both IRA accounts were transferred to LPL Financial in October, 2014 under the same conditions.

(No. 39-107) First Investors of Paducah is an investment club organized as a partnership. There are 15 partners divided into 7 teams. Each team makes an independent investment of their portion. I have no control over the investments of the other 6 teams. I do have a 1/15 interest in all of the investments. Lines 39 thru 107 represent the stock investments of the club. Line 39 reflects the estimate of my 1/15 interest.

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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/ Thomas B. Russell**

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