AO 10
Rev. 1/2012

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2011

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
simpson, charles r.	kywd	4/21/2012
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**
active/dist	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2011 **to** 12/31/2011
7. Chambers or Office Address		
601 w.broadway #247 louisville, ky 40202		

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. Insert signature on last page.*

I. POSITIONS. *(Reporting individual only; see pp. 9-13 of filing instructions.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	advisory board	International Assn.for Ct. Admin.
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.		

Name of Person Reporting	Date of Report
simpson, charles r.	4/21/2012

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.)*

	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 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.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.	Federal Judges Assn	7/24-7/25	Wash. DC	meetings	Transport to/frm Lou, meals lodging
2.	US Russia foundation	9/19-9/25	Moscow, Vladivostok, Russia	Meetings, speech, conference	Transport, lodging, meals
3.	National Center for State Courts	11/16-11/18	Wash DC	meeting	Transport, meals, lodging
4.					
5.					

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.			

Name of Person Reporting	Date of Report
simpson, charles r.	4/21/2012

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 (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)	D. (5) Identity of buyer/seller (if private transaction)
1. ge com	A	Dividend	J	T					
2. ----------calamos inv tr nw grwth fd cl c	A	Dividend	K	T					
3. davis n y venture fd cl c	A	Dividend	K	T					
4. euro pac growth fd clc	A	Dividend	K	T					
5. growth fd of america	A	Dividend	K	T					
6. Royce fund totl ret	A	Dividend	K	T					
7. thornBurg inv tr intl val	A	Dividend	K	T					
8. fundamental invs inc cl c	A	Dividend	K	T					
9. federated govt cash ser	A	Int./Div.	K	T					
10.									
11.									
12. ky telco fed cu	A	Interest	L	T					
13. Louv. fed CU	A	Interest	L	T					
14. Dupree Intermed. govt bond ser	C	Dividend	L	T					
15. us Bank cd	C	Interest	L	T					
16. HH bonds	A	Interest	K	T					
17. Stockyrds bk acct	A	Interest	J	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
simpson, charles r.	4/21/2012

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 (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)	D. (5) Identity of buyer/seller (if private transaction)
18. Stockyrds bk cd	A	Interest			Sold	11/15/11	K	A	
19. dupree ky tax-free	D	Dividend	M	T					
20.									
21. Churchill downs com	A	Dividend	J	T					
22. johnson outdrs com	A	Dividend	J	T					
23. Vangrd totl stk mky idx admiral fd	A	Dividend	K	T					
24. van guard Short-term Treas.adm fd	A	Dividend	M	T					
25. Vanguard adm treas mm fd	A	Dividend	K	T					
26. Vanguard Prime mm fd	A	Dividend	J	T					
27.									
28. Casual Male Retail com	A	Dividend	J	T					
29. Churchill Downs com	A	Dividend	J	T					
30. A t Cross com	A	Dividend	J	T					
31. Glimcher realty Trust com	A	Dividend	J	T					
32. Johnson Outdoors com	A	Dividend	J	T					
33. ventas com	C	Dividend	L	T					
34. Vanguard totla stock mkt idx ADM fd	A	Dividend	K	T					

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	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	
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35. Vanguard Short-term treas ADM fd	A	Dividend	L	T					
36. Vanguard Admiral trsry mm fd	A	Dividend	K	T					
37. vanguard prime mm fd	B	Dividend	J	T					
38.									
39. Churchill Downs com	A	Dividend	J	T					
40. Healthsouth com	A	Dividend	J	T					
41. National Hlth invs com	A	Dividend	J	T					
42. Penna Real Est Invest. Trust com	A	Dividend			Sold	12/30/11	J		
43. ventas com	B	Dividend	K	T					
44. Vanguard Tax-managed Cap Apprec Adm fd	C	Dividend	M	T					
45. Vanguard Tax-mamged Int'l fd	B	Dividend	K	T					
46. vanguard Tax-managed sm Cap fd	A	Dividend	L	T					
47. Vanguard Tax-Exempt mm fd	B	Dividend	J	T					
48. Vanguard Trsy MM fd	C	Dividend	O	T	Sold (part)	01/05/11	J	A	
49. "					Sold (part)	01/10/11	J	A	
50. "					Sold (part)	01/20/11	J	A	
51. "					Sold (part)	02/03/11	J	A	

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52. "					Sold (part)	03/09/11	J	A	
53. "					Sold (part)	03/17/11	J	A	
54. "					Sold (part)	03/25/11	J	A	
55. "					Sold (part)	03/28/11	J	A	
56. "					Sold (part)	05/04/11	J	A	
57. "					Sold (part)	08/02/11	J	A	
58. "					Sold (part)	09/07/11	J	A	
59. "					Sold (part)	09/26/11	J	A	
60. "					Sold (part)	10/05/11	J	A	
61. "					Sold (part)	10/14/11	J	A	
62.									
63. Dreyfus Strategis Municipals fd	A	Dividend	J	T					
64. GE com	A	Dividend	J	T					
65. Nextera com	A	Dividend	J	T					
66. Vanguard tax-manag Cap Apprec fd	A	Dividend			Sold	05/13/11	K	A	
67. Vanguard tax-managed Cap Apprec Adm Fnd	A	Dividend	K	T	Buy	05/13/11	K		
68. Vanguard Tax-mang Int'l fd	A	Dividend	J	T					

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69. VanguardtAX-mANAG Small Cap fd	A	Dividend	J	T					
70. Vanguard Tax-Exempt MM fd	A	Dividend	J	T					
71. vanguard Trsy MM fd	A	Dividend	J	T					

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

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simpson, charles r.	4/21/2012

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/ charles r. simpson**

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