

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) Bertelsman, William O.	2. Court or Organization KY-ED	3. Date of Report 05/10/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (Senior)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address 35 West Fifth Street, Rm. 505 P. O. Box 1012 Covington, KY 41012-1012		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Adjunct Teacher (part-time)(one class)(non-compensated)	Salmon P. Chase College of Law, Northern Kentucky University, Highland Heights, KY
2. Owner	529 Trust Plans #1-#9 through Kentucky Education Savings Plan and Michigan Education Program
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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Name of Person Reporting

Bertelsman, William O.

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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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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. Victory Gradison Government Reserve	A	Dividend	J	T					
2. Goldline (formerly Dreyfus Gold Fund)		None	L	T					
3. Legg Mason Europe Fund (stock)	A	Dividend	J	T					
4. U.S. Bank, Fort Thomas, KY	A	Interest	J	T					
5. Dupree, Kentucky- Short/Med. Fund	C	Interest	M	T					
6. Dupree, Kentucky - Tax Free Fund	B	Interest	N	T					
7. Fifth Third Bank (Account)	A	Interest	K	T					
8. Fifth Third Bank, Fort Thomas, KY (Common Shares)	A	Dividend	L	T					
9. Victory Established Value Fund	A	Dividend	K	T					
10. Dreyfus Growth & Income Fund	A	Dividend	J	T					
11. Bank of Kentucky (Account)	B	Interest	L	T					
12. Procter & Gamble - Common stock	B	Dividend	L	T					
13. Victory Small Company Fund	A	Dividend	K	T					
14. BankAmerica Corp. (common stock)	A	Dividend	J	T					
15. Bank of Kentucky (Account)	B	Interest	M	T					
16. United States Savings Bonds (I)	B	Interest	L	T					
17. Sherwin Williams	A	Dividend	J	T					

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 = \$250,000.001 - \$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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18. DWS Dreman High Return Fund	A	Dividend	J	T					
19. Kroger Co.	A	Dividend	J	T					
20. Harlan County, KY Health Care Facs Laurel Project	A	Interest			Redeemed	05/11/11	J	A	
21. J.M. Smucker Co.	A	Dividend	J	T					
22. Ky Education Savings Plan 529 Trust #1	B	Interest			Closed	12/31/11	J	A	
23. Ky Education Savings Plan 529 Trust #2	B	Interest			Closed	12/31/11	J	A	
24. Michigan Education Savings Program #2	B	Interest	K	T					
25. Michigan Education Savings Program #3	B	Interest	K	T					
26. Ky Education Savings Plan 529 Trust #4	B	Interest			Closed	12/31/11	J	A	
27. Michigan Education Savings Program #4	B	Interest	L	T					
28. Ky Education Savings Plan 529 Trust #5	B	Interest	K	T					
29. Michigan Education Savings Program #5	B	Interest	M	T					
30. Ky Education Savings Plan 529 Trust #6	B	Interest	J	T					
31. Michigan Education Savings Program #6	B	Interest	M	T					
32. Chevron-Texaco Corp.	B	Dividend	L	T					
33. Duke Energy	A	Dividend	J	T					
34. Clorox Co.	B	Dividend	L	T					

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35. Conoco Phillips	A	Dividend	J	T	Donated (part)				
36. Exxon Mobil Corp.	B	Dividend	L	T					
37. General Mills, Inc.	A	Dividend	K	T					
38. Pepsico, Inc.	C	Dividend	M	T					
39. Procter & Gamble Co.	E	Dividend	O	T					
40. Southern Co.	C	Dividend	L	T					
41. Sunoco, Inc.	A	Dividend	K	T					
42. Wisconsin Energy Corp.	C	Dividend	L	T					
43. Yum Brands, Inc.	B	Dividend	L	T	Donated (part)				
44. U.S. Savings Bonds (H)	A	Interest	K	T					
45. Michigan Education Savings Program #7	C	Interest	M	T					
46. Michigan Education Savings Program #8	C	Interest	M	T					
47. Michigan Education Savings Program #9	C	Interest	M	T					
48. Clay County, KY Justice Center Bond	B	Interest			Sold	8/5/11	L	B	
49. Kentucky State Property & Bldgs Revenue Bond	A	Interest			Redeemed	5/1/11	K	A	
50. E-Trade Account	A	Interest	J	T					
51. Ky. State Turnpike Bond 3.6% due 7/1/13	A	Interest			Sold	3/21/11	J	A	

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52. Automatic Data Processing, Inc.	A	Dividend	K	T					
53. Johnson & Johnson	B	Dividend	K	T					
54. T-Rowe Price Equity Index 500	A	Dividend	K	T					
55. Templeton Foreign Fund CI A	A	Interest	J	T					
56. American Funds Growth Fund of America	A	Dividend	K	T					
57. Peabody Energy Group	A	Dividend	K	T					
58. KY Interlocal School (due 3/1/11)	B	Interest			Redeemed	3/1/11	K	A	
59. Middlesboro, KY School Bldg. Rev. due 8/1/11	B	Interest			Redeemed	8/1/11	K	A	
60. Hart Co., KY Public Property due 4/1/13	B	Interest	L	T					
61. Bowling Green, KY Independent (due 5/1/13)	B	Interest	K	T					
62. Western Union Co.	A	Dividend	K	T					
63. Spectra Energy	A	Dividend	J	T					
64. Jefferson, Ky SD Fin. Crp. due 11/11	B	Interest			Redeemed	11/1/11	K	A	
65. Kentucky St. Prop & Bldgs (due 8/1/25)	B	Interest	L	T					
66. Highlands Ranch Met. Dist. (due 12/1/15)	B	Interest	L	T					
67. Ky. State Turnpike Authority (due 7/1/16)	B	Interest	L	T					
68. New York, NY (due 8/1/16)	C	Interest	L	T					

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69. Hopkins Mn. Indpt. School (due 12/1/17)	B	Interest	L	T					
70. Arizona Sch. Facs. Brd. (due 9/1/17)	D	Interest	M	T					
71. California St. (due 8/1/18)	A	Interest			Sold	1/21/11	L	A	
72. Oklahoma Dept. Trans. Rev. (due 9/1/18)	D	Interest	M	T					
73. Puerto Rico Hsg. Fin. Auth. (due 12/1/18)	A	Interest			Sold	4/5/11	L	A	
74. Bowling Green, KY Proj. (due 6/1/20)	B	Interest	L	T					
75. Blackrock Global Allocation Fund	A	Dividend	M	T					
76. Alliance Bernstein Bal. Wealth Strategy	B	Dividend	M	T					
77. Endowment Fund	A	Dividend			Closed	2/27/11	M	A	
78. Citizens Bank of No. Ky (CD)	A	Interest	L	T					
79. Citizens Bank of No. Ky. (CD)	A	Interest	J	T					
80. Citizens Bank of No. Ky (CD)	A	Interest	K	T					
81. Citizens Bank of No. Ky (CD)	A	Interest	K	T					
82. Merrill Lynch Money Fund (Muni)	A	Interest	K	T					
83. Merrill Lynch Bank (Regular)	A	Interest	L	T					
84. IVY Global Natural	A	Dividend	K	T					
85. Janus Forty Fund C1 C	B	Dividend	K	T					

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86. PIMCO Total Return Fd Cl C	B	Dividend			Sold	1/2/11	K	A	
87. Principal Investors Securities C	B	Dividend	K	T					
88. Lexington-Fayette Urban County Ky Ser A due 2/1/14	B	Interest	L	T					
89. China Mobile Ltd Spon ADR	A	Dividend	J	T					
90. Coca Cola Co.	A	Dividend	J	T					
91. Exxon Mobile Corp.	A	Dividend	J	T					
92. 3M Co.	A	Dividend	J	T					
93. Alabama St. Cap Impt. Ser.D due 6/1/19	A	Interest	K	T					
94. Ky State Ppty & Bldg due 11/1/17	A	Interest	K	T					
95. Citizens Bank Acct. (for 529 Plans)	A	Interest	K	T					
96. Honolulu City Hawaii Cnt Waste due 7/1/19	C	Interest	L	T					
97. New York St. Dorm Auth. due 2/15/20	A	Interest	K	T					
98. Ky St. Ppty & Bldg due 8/1/20	B	Interest	L	T					
99. Ivy Asset Strategy Fund CL C	A	Dividend	M	T					
100. Ky State Ppty & Bldg due 7/1/19	A	Interest	L	T	Buy	4/7/11	L		
101. Illinois State die 4115	A	Interest	K	T	Buy	11/3/11	K		
102. Louisville Jefferson Ky MET due 5/15/18	A	Interest	L	T	Buy	8/18/11	L		

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103. Ky State Turnpike Auth due 7/1/19	B	Interest	L	T	Buy	3/22/11	L		
104. Franklin Ky PPC First due 4/1/20	B	Interest	L	T	Buy	4/27/11	L		
105. New Jersey State due 8/1/20	C	Interest	L	T	Buy	1/21/11	L		
106. Natural Gas Communications	A	Interest	J	T	Buy	7/18/11	J		
107. Oil Arn. Issuer BAC due 11/19/12	A	Interest	J	T	Buy	5/25/11	J		
108. Loomis Sayles Strategic Class C	B	Interest	K	T	Buy	4/6/11	K		
109. Medtronic	A	Dividend	J	T	Buy	5/23/11	J		
110. IShares Trust Russell Midcap Growth	A	Dividend	J	T	Buy	1/31/11	J		

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

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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/ William O. Bertelsman**

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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