AO 10
Rev. 1/2014

# FINANCIAL DISCLOSURE REPORT
# FOR CALENDAR YEAR 2013

*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 |
|---|---|---|
| Bertelsman, William O. | KY-ED | 05/01/2014 |
| **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** |
| U.S. District Judge (Senior) | ☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☐ Amended Report | 01/01/2013<br>**to**<br>12/31/2013 |
| **7. Chambers or Office Address** | | |
| 35 West Fifth Street, Rm. 505<br>P. O. Box 1012<br>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.***

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

☐ NONE *(No reportable positions.)*

| | POSITION | NAME OF ORGANIZATION/ENTITY |
|---|---|---|
| 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 #2-#9 through Michigan Education Programs |
| 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. | | |

## 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. | | | | | |
| 2. | | | | | |
| 3. | | | | | |
| 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 |
|---|---|
| **Bertelsman, William O.** | 05/01/2014 |

## 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. Victory Gradison Government Reserve | A | Dividend | J | T | | | | | |
| 2. Goldline (formerly Dreyfus Gold Fund) | | None | K | T | | | | | |
| 3. Legg Mason Europe Fund (stock) | A | Dividend | K | 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 | L | T | | | | | |
| 8. Fifth Third Bank, Fort Thomas, KY (Common Shares) | A | Dividend | K | 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 | L | T | | | | | |
| 14. BankAmerica Corp. (common stock) | A | Dividend | J | T | | | | | |
| 15. Bank of Kentucky (Account) | B | Interest | L | T | | | | | |
| 16. United States Savings Bonds (I) | B | Interest | K | T | | | | | |
| 17. Sherwin Williams | A | Dividend | 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 |
|---|---|
| **Bertelsman, William O.** | 05/01/2014 |

## 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. DWS Dreman High Return Fund | A | Dividend | L | T | | | | | |
| 19. Kroger Co. | A | Dividend | L | T | | | | | |
| 20. J.M. Smucker Co. | A | Dividend | K | T | | | | | |
| 21. Michigan Education Savings Program #2 | B | Interest | | | Closed | 06/01/13 | K | A | |
| 22. Michigan Education Savings Program #3 | B | Interest | | | Closed | 06/01/13 | K | A | |
| 23. Michigan Education Savings Program #4 | B | Interest | L | T | | | | | |
| 24. Michigan Education Savings Program #5 | B | Interest | L | T | | | | | |
| 25. Michigan Education Savings Program #6 | B | Interest | M | T | | | | | |
| 26. Chevron-Texaco Corp. | B | Dividend | L | T | | | | | |
| 27. Duke Energy | A | Dividend | J | T | | | | | |
| 28. Clorox Co. | B | Dividend | L | T | | | | | |
| 29. Exxon Mobil Corp. | B | Dividend | L | T | | | | | |
| 30. General Mills, Inc. | B | Dividend | K | T | | | | | |
| 31. Pepsico, Inc. | C | Dividend | M | T | | | | | |
| 32. Procter & Gamble Co. | E | Dividend | O | T | | | | | |
| 33. Southern Co. | C | Dividend | L | T | | | | | |
| 34. Sunoco, Inc. (now Suncoke Energy | A | Dividend | J | T | | | | | |

| | | | | | |
|---|---|---|---|---|---|
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| | F =$50,001 - $100,000 | G =$100,001 - $1,000,000 | H1 =$1,000,001 - $5,000,000 | H2 =More than $5,000,000 | |
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| 3. Value Method Codes (See Column C2) | Q =Appraisal | R =Cost (Real Estate Only) | S =Assessment | 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 (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) |
|---|---|---|---|---|---|---|---|---|---|
| 35. Wisconsin Energy Corp. | C | Dividend | L | T | | | | | |
| 36. Yum Brands, Inc. | B | Dividend | K | T | Donated (part) | | | | |
| 37. U.S. Savings Bonds (H) | A | Interest | K | T | | | | | |
| 38. Michigan Education Savings Program #7 | C | Interest | M | T | | | | | |
| 39. Michigan Education Savings Program #8 | C | Interest | M | T | | | | | |
| 40. Michigan Education Savings Program #9 | C | Interest | M | T | | | | | |
| 41. E-Trade Account | A | Interest | J | T | | | | | |
| 42. Automatic Data Processing, Inc. | A | Dividend | K | T | | | | | |
| 43. Johnson & Johnson | B | Dividend | K | T | | | | | |
| 44. T-Rowe Price Equity Index 500 | A | Dividend | L | T | | | | | |
| 45. Templeton Foreign Fund Cl A | A | Interest | K | T | | | | | |
| 46. American Funds Growth Fund of America | A | Dividend | L | T | | | | | |
| 47. Peabody Energy Group | A | Dividend | J | T | | | | | |
| 48. Hart Co., KY Public Property due 4/1/13 | B | Interest | | | Redeemed | 04/01/13 | K | A | |
| 49. Bowling Green, KY Independent (due 5/1/13) | B | Interest | | | Redeemed | 05/01/13 | K | A | |
| 50. Western Union Co. | A | Dividend | K | T | | | | | |
| 51. Spectra Energy | A | Dividend | 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 |
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|---|---|---|---|---|---|---|---|---|---|
| 52. Kentucky St. Prop & Bldgs (due 8/1/25) | B | Interest | L | T | | | | | |
| 53. Ky. State Turnpike Authority (due 7/1/19) | B | Interest | L | T | | | | | |
| 54. New York, NY (due 8/1/16) | C | Interest | L | T | | | | | |
| 55. Hopkins Mn. Indpt. School (due 12/1/17) | B | Interest | L | T | | | | | |
| 56. Arizona Sch. Facs. Brd. (due 9/1/17) | D | Interest | M | T | | | | | |
| 57. California St. (due 8/1/18) | B | Interest | L | T | | | | | |
| 58. Oklahoma Dept. Trans. Rev. (due 9/1/18) | C | Interest | L | T | | | | | |
| 59. Bowling Green, KY Proj. (due 6/1/20) | B | Interest | L | T | | | | | |
| 60. Blackrock Global Allocation Fund | A | Dividend | M | T | | | | | |
| 61. Alliance Bernstein Bal. Wealth Strategy | B | Dividend | M | T | | | | | |
| 62. Citizens Bank of No. Ky (CD) | A | Interest | L | T | | | | | |
| 63. Citizens Bank of No. Ky. (CD) | A | Interest | J | T | | | | | |
| 64. Citizens Bank of No. Ky (CD) | A | Interest | K | T | | | | | |
| 65. Citizens Bank of No. Ky (CD) | A | Interest | K | T | | | | | |
| 66. Merrill Lynch Money Fund (Muni) | A | Interest | K | T | | | | | |
| 67. Merrill Lynch Bank (Regular) | A | Interest | L | T | | | | | |
| 68. IVY Global Natural | A | Dividend | K | T | | | | | |

1. Income Gain Codes: (See Columns B1 and D4)
2. Value Codes (See Columns C1 and D3)
3. Value Method Codes (See Column C2)

A =$1,000 or less
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C =$2,501 - $5,000
D =$5,001 - $15,000
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M =$100,001 - $250,000
N =$250,001 - $500,000
O =$500,001 - $1,000,000
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| Name of Person Reporting | Date of Report |
|---|---|
| **Bertelsman, William O.** | 05/01/2014 |

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|---|---|---|---|---|---|---|---|---|---|
| 69. Janus Forty Fund Cl C | B | Dividend | L | T | | | | | |
| 70. Principal Investors Securities C | B | Dividend | | | Sold | 10/10/13 | K | C | |
| 71. Lexington-Fayette Urban County Ky Ser A due 2/1/14 | B | Interest | L | T | | | | | |
| 72. Coca Cola Co. | A | Dividend | K | T | | | | | |
| 73. Exxon Mobile Corp. | A | Dividend | K | T | | | | | |
| 74. 3M Co. | A | Dividend | K | T | | | | | |
| 75. Alabama St. Cap Impt. Ser.D due 6/1/19 | A | Interest | K | T | | | | | |
| 76. Ky State Ppty & Bldg due 11/1/17 | A | Interest | K | T | | | | | |
| 77. Citizens Bank Acct. (for 529 Plans) | A | Interest | L | T | | | | | |
| 78. Honolulu City Hawaii Cnt Waste due 7/1/19 | C | Interest | L | T | | | | | |
| 79. New York St. Dorm Auth. due 2/15/20 | A | Interest | K | T | | | | | |
| 80. Ky St. Ppty & Bldg due 8/1/20 | B | Interest | L | T | | | | | |
| 81. Ivy Asset Strategy Fund CL C | B | Dividend | L | T | | | | | |
| 82. Ky State Ppty & Bldg due 7/1/19 (Turnpike) | B | Interest | L | T | | | | | |
| 83. Illinois State due 4115 | B | Interest | K | T | | | | | |
| 84. Louisville Jefferson Ky MET due 5/15/18 | C | Interest | L | T | | | | | |
| 85. Ky State Turnpike Auth due 7/1/19 | B | Interest | L | 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
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| Name of Person Reporting | Date of Report |
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| **Bertelsman, William O.** | 05/01/2014 |

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|---|---|---|---|---|---|---|---|---|---|
| 86. Franklin Ky PPC First due 4/1/20 | B | Interest | L | T | | | | | |
| 87. New Jersey State due 8/1/20 | C | Interest | L | T | | | | | |
| 88. Loomis Sayles Strategic Class C | A | Interest | K | T | | | | | |
| 89. Medtronic | A | Dividend | K | T | | | | | |
| 90. IShares Trust Russell Midcap Growth | A | Dividend | J | T | | | | | |
| 91. Washington State Various (due 7/1/21) | C | Dividend | L | T | | | | | |
| 92. Louisville Jefferson KY MET (due 5/15/28) | B | Dividend | K | T | | | | | |
| 93. Nevada Sys. Hgr. Ed. | B | Interest | L | T | Buy | 05/01/13 | K | | |
| 94. Va. College Bldg. Authority | B | Interest | L | T | Buy | 01/13/13 | L | | |
| 95. Wisconsin State Cr | B | Interest | K | T | Buy | 06/05/13 | K | | |
| 96. | B | Interest | | | Sold | 12/17/13 | K | A | |
| 97. Goldman Sachs Rising Div. | A | Dividend | K | T | Buy | 10/07/13 | K | | |
| 98. Alliance Bernstein Disc. Growth Fd | B | Dividend | K | T | Buy | 10/07/13 | 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
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| Name of Person Reporting | Date of Report |
|---|---|
| **Bertelsman, William O.** | 05/01/2014 |

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

| Name of Person Reporting | Date of Report |
|---|---|
| **Bertelsman, William O.** | 05/01/2014 |

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