

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Hood, Joseph M.	2. Court or Organization E.D. KY.	3. Date of Report 05/15/2019
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 01/01/2018 to 12/31/2018
7. Chambers or Office Address P.O. Box 2227 Lexington, KY 40588-2227		
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.	Board of Managers	Diederich Educational Trust
2.	Trustee	Lexington Catholic High School
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.)*

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.

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
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. Fifth Third Bank -(Various Accounts)	A	Interest	J	T					
2. Metlife Invs Ins Co Ins Prod-Variable Annuity (H)					Closed	10/10/18	J	D	
3. -Invesco Comstock Portfolio					Sold	10/10/18	J	A	
4. -Invesco Mid Cap Value					Sold	10/10/18	J	A	
5. -Investco V.I. International					Sold	10/10/18	J	A	
6. -Jennison Growth Portfolio					Sold	10/10/18	J	A	
7. -Loomis Sayles Small Cap					Sold	10/10/18	J	A	
8. -MFS Emerging Markets					Sold	10/10/18	J	A	
9. -T. Rowe Price Larger Cap					Sold	10/10/18	J	A	
10. -T. Rowe Price Mid Cap Growth					Sold	10/10/18	J	A	
11. -Templeton Foreign VIP Fund					Sold	10/10/18	J	A	
12. -Third Avenue Small Cap Value					Sold	10/10/18	J	A	
13. -WMC Core Equity Opportunities					Sold	10/10/18	J	A	
14. Charles Schwab Individual (H)									
15. -Ashland Inc New	A	Dividend	J	T					
16. -Penney J C Co Inc		None	J	T					
17. -Valvoline	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 = \$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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18. -Schwab Money Market cash equivalent	A	Interest	K	T					
19. -Fidelity Select Materials Portfolio	C	Dividend	K	T					
20. -Fidelity Value Fund					Sold	04/05/18	K	D	
21. -Fidelity Contra Fund	B	Dividend	K	T					
22. -Profunds Consumer Services	A	Dividend	J	T					
23. Schwab IRA (H)									
24. -Schwab Money Market cash equivalent	A	Interest	J	T					
25. -Fidelity Four-In-One Index	A	Dividend	J	T					
26. -Fidelity Dividend Growth Fund	A	Dividend	J	T					
27. -Fidelity Value Fund	A	Dividend	J	T					
28. -Fidelity Contra Fund	A	Dividend	J	T					
29. -Investco Div Income Fund CLA	A	Dividend	J	T					
30. -Profunds Consumer Services Fund	A	Dividend	J	T					
31. Schwab IRA #2 (H)									
32. -Schwab Money Market cash equivalent	A	Int./Div.	J	T					
33. -Fidelity Contra Fund	A	Dividend	J	T					
34. -Fidelity Four-In-One Index	A	Dividend	J	T					

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35. -Fidelity Realstate Income					Sold	10/10/18	J	A	
36. -Fidelity Leveraged Company Stock Fd	A	Dividend	J	T					
37. -Fidelity Dividend Growth Fund	A	Dividend	J	T					
38. -Fidelity High Income	A	Dividend	J	T					
39. -Fidelity Select Materials Portfolio	A	Dividend	J	T					
40. -Fidelity Value Fund	A	Dividend	J	T					
41. -Investco Div Income Fund CLA	A	Dividend	J	T					
42. Schwab Joint Account (H)									
43. -Schwab Money Market cash equivalent	A	Int./Div.	J	T					
44. -Proshares Ultrapro 500 ETF	A	Dividend	K	T					
45.									

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

Part VII-The assets listed on lines 3 - 13 were added this year in order to more fully describe the investment products held in the Metlife Invs Ins Co Ins Prod-Variable Annuity 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 M. Hood**

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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