

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) Hale, David J.	2. Court or Organization U.S. District Court, Western Kentucky	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	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 Gene Snyder U.S. Courthouse 601 W. Broadway Louisville, Kentucky 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.		

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. Member, Advisory Board	Judge John G. Heyburn II Initiative for Excellence in the Federal Judiciary
2. Member, Board of Directors	Federal Judges Association
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2018	Baptist Health - salary
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Federal Judges Association	May 5-8, 2018	Washington, DC	Board of Directors Meeting and Quadrennial Conference	Partial reimbursement for travel, hotel and meals
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.	Transylvania University	Tuition payment plan	J
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. First Financial Bank Accounts (see Note 1 in Part VIII)	A	Interest	K	T					
2. Investment Account (H)									
3. Legg Mason Funds Clearbridge Dividend Strategy Fd Class I	C	Dividend	K	T	Sold (part)	01/30/18	J	A	
4.					Sold (part)	04/13/18	J	B	
5.					Sold (part)	04/16/18	J	A	
6.					Sold (part)	08/07/18	J	A	
7.					Sold (part)	08/21/18	J	B	
8.					Buy (add'l)	06/29/18	J		
9.					Buy (add'l)	09/28/18	J		
10.					Buy (add'l)	12/07/18	J		
11.					Buy (add'l)	12/21/18	J		
12. Virtus Funds KAR Small Cap Core Fund Class I	B	Dividend	J	T	Sold (part)	01/30/18	J	A	
13.					Sold (part)	04/13/18	J	B	
14.					Sold (part)	08/07/18	J	A	
15.					Sold (part)	08/21/18	J	B	
16.					Buy (add'l)	12/18/18	J		
17. Wells Fargo Cash Accounts	A	Interest	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 H = \$5,001 - \$15,000	D = \$15,001 - \$50,000 E = \$50,001 - \$100,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000.01 - \$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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$250,000.01 - \$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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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 I (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. Legg Mason Funds Clearbridge Aggressive Growth Fd Class I	A	Dividend	J	T	Sold (part)	01/30/18	J	A	
19.					Sold (part)	04/13/18	J	B	
20.					Sold (part)	08/07/18	J	A	
21.					Sold (part)	08/21/18	J	B	
22.					Buy (add'l)	12/07/18	J		
23.					Buy (add'l)	12/21/18	J		
24. Blackrock Funds IShares S&P 500 Index Fd	A	Dividend	J	T	Sold (part)	01/30/18	J	A	
25.					Sold (part)	04/13/18	J	B	
26.					Sold (part)	08/07/18	J	A	
27.					Sold (part)	08/21/18	J	B	
28.					Buy (add'l)	04/02/18	J		
29.					Buy (add'l)	07/02/18	J		
30.					Buy (add'l)	10/01/18	J		
31.					Buy (add'l)	12/17/18	J		
32. Retirement Accounts (H)									
33. Vanguard Inst'l Target Retirement 2035 Fund (see Note 2 in Part VIII)	A	Dividend	K	T					
34. Vanguard Target Retirement 2035 Trust 1 (see Note 2 in Part VIII)	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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☐ 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)

35. Legg Mason Funds Clearbridge Aggressive Growth Fd Class I	A	Dividend	K	T	Buy (add'l)	10/03/18	J		
36. Blackrock Funds IShares S&P 500 Index Fd	A	Dividend	K	T	Buy (add'l)	10/03/18	J		
37.					Buy (add'l)	12/17/18	J		
38. Legg Mason Funds Clearbridge Appreciation Fund Class I	A	Dividend	K	T	Buy (add'l)	10/03/18	J		
39.					Buy (add'l)	12/03/18	J		
40. Legg Mason Funds Clearbridge Dividend Strategy Fd Class I	B	Dividend	L	T	Buy (add'l)	03/29/18	J		
41.					Buy (add'l)	06/29/18	J		
42.					Buy (add'l)	09/28/18	J		
43.					Buy (add'l)	10/03/18	J		
44.					Buy (add'l)	12/07/18	J		
45. Virtus Funds KAR Small Cap Core Fund Class I	A	Dividend	K	T	Buy (add'l)	10/03/18	J		
46.					Buy (add'l)	12/18/18	J		
47. Virtus Vontobel Emerging Markets Opportunities Fund	A	Dividend	J	T	Buy (add'l)	03/16/18	J		
48.					Buy (add'l)	09/17/18	J		
49.					Buy (add'l)	12/18/18	J		
50. Wells Fargo Cash Accounts	A	Interest	J	T					
51. Goldman Sachs Financial Square Treasury Instruments Fund (money market	A	Interest	J	T	Open	03/21/18	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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	(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)

52. Aberdeen Emerging Markets Fd Inst'l Class I	A	Dividend	J	T	Buy	03/16/18	J		
53.					Buy (add'l)	06/22/18	J		
54.					Buy (add'l)	06/25/18	J		
55.					Buy (add'l)	09/17/18	J		
56.					Buy (add'l)	12/21/18	J		
57. Lazard International Equity Portfolio Institutional Shares	A	Dividend	J	T	Buy	03/16/18	J		
58.					Buy (add'l)	08/22/18	J		
59. American Funds Europacific Growth Fund	A	Dividend	J	T	Buy	03/16/18	J		
60.					Buy (add'l)	06/14/18	J		
61.					Buy (add'l)	12/21/18	J		
62. American Funds Growth Fd of America Class F-2	A	Dividend	J	T	Buy	03/16/18	J		
63.					Buy (add'l)	12/24/18	J		
64.					Sold (part)	09/17/18	J	A	
65. Hartford Mutual Funds Midcap Fd	A	Dividend	J	T	Buy	03/16/18	J		
66.					Buy (add'l)	12/18/18	J		
67. Edgewood Funds Growth Fd Inst'l Class	A	Dividend	J	T	Buy	03/16/18	J		
68.					Buy (add'l)	10/29/18	J		

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69.					Buy (add'l)	12/24/18	J		
70. Touchstone Funds Mid Cap Value Fd Class Y	A	Dividend	J	T	Buy	03/16/18	J		
71.					Buy (add'l)	03/28/18	J		
72.					Buy (add'l)	06/28/18	J		
73.					Sold (part)	09/17/18	J	A	
74.					Buy (add'l)	09/27/18	J		
75.					Buy (add'l)	12/13/18	J		
76.					Buy (add'l)	12/28/18	J		
77. Meridian Funds Small Cap Growth Fund	A	Dividend	J	T	Buy	03/16/18	J		
78.					Buy (add'l)	12/21/18	J		
79. Dean Small Cap Value Fd Class I	A	Dividend	J	T	Buy	03/16/18	J		
80.					Buy (add'l)	12/13/18	J		
81. Metropolitan West Funds Total Return Bd Fd Class I	A	Dividend	J	T	Buy	03/16/18	J		
82.					Sold (part)	06/22/18	J	A	
83. Pimco Funds Emerging Markets Bd Fd Inst'l Class	A	Dividend	J	T	Buy	06/22/18	J		
84.					Buy (add'l)	07/02/18	J		
85.					Buy (add'l)	08/01/18	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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86.					Sold (part)	09/17/18	J		
87.					Buy (add'l)	10/01/18	J		
88.					Buy (add'l)	11/01/18	J		
89.					Buy (add'l)	12/03/18	J		
90. Principal Global Real Estate Securities Fd	A	Dividend	J	T	Buy	03/16/18	J		
91.					Buy (add'l)	06/22/18	J		
92.					Buy (add'l)	09/19/18	J		
93.					Sold (part)	10/30/18	J	A	
94.					Buy (add'l)	12/20/18	J		
95.					Buy (add'l)	12/28/18	J		
96. Invesco Balanced Risk Commodity Strategy Fd Class Y	A	Dividend	J	T	Buy	09/17/18	J		
97.					Buy (add'l)	10/29/18	J		
98.					Buy (add'l)	12/17/18	J		
99. Diamond Hill Funds Large Cap Fd Class I	A	Dividend	J	T	Buy	03/16/18	J		
100.					Buy (add'l)	12/14/18	J		
101.					Buy (add'l)	12/31/18	J		
102. Nuveen Investment Funds Real Estate Securities Class I	A	Dividend			Buy	03/16/18	J		

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103.					Sold	06/22/18	J	A	
104.									

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

Notes regarding Part VII, as indicated therein:

Note 1: On April 2, 2018 Mainsource Bank merged into First Financial Bank. As a result of this merger, my accounts at Mainsource Bank automatically converted to First Financial Bank. No closure or opening of an account occurred.

Note 2: These funds are managed in my spouse's employer-sponsored retirement plans (a Thrift plan and a 403(b) plan). They replaced the funds listed in the 2017 report, Part VII, line 4, Fidelity Freedom K 2035 Fund.

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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/ **David J. Hale**

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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