

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2009

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) SIMPSON, CHARLES, R.	2. Court or Organization KYWD	3. Date of Report 5-2-2010
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 1-1-09 to 12-31-09
7. Chambers or Office Address 601 W. BROADWAY #247 LOUISVILLE, KY 40202	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign 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.		
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.		

Simpson, Charles R.

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Name of Person Reporting

SIMPSON, CHARLES, R.

Date of Report

5-2-2010

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. 12-22	JURY DUTY-STATE COURT	40 ⁰⁰
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. AMERICAN COUNCILS	2-16/2-17	WASHINGTON DC	LIB. OF CONGRESS MEETING	TRANSPORT, LODGING, MEALS
2. USAID AND MANAGEMENT SCIENCE FOR DEVELOPMENT, INC.	3-19/22	SAN FRANCISCO	SEMINAR ON MEXICO	TRANSPORT, LODGING, MEALS
3. FED. JUDICIAL ASSN.	5-2/5-4	WASHINGTON DC	BOARD MEETING	TRANSPORT, LODGING, MEALS
4. FED. JUDICIAL ASSN.	5-13	WASHINGTON DC	SPEECH	MEALS, LODGING
5. US-RUSSIA FOUNDATION	5-16/5-25	MOSCOW, RUSSIA	MEETINGS, SPEECH	TRANSPORT, LODGING, MEALS
6. WORLD BANK	11-1/11-5	ISTANBUL, TURKEY	MEETINGS-INT'L COURT ADMINISTRATION ASSN.	TRANSPORT, LODGING, MEALS
7. WORLD BANK	11-7/11-9	BUCHAREST, ROMANIA	MEETINGS ON JUSTICE REFORM	TRANSPORT, LODGING, MEALS
8. WORLD BANK	11-11/11-15	VIENNA, AUST.	WORLD JUSTICE FORUM	TRANSPORT, LODGING, MEALS
9. WORLD BANK	11-15/11-17	PRAGUE, CZECH REPUBLIC	OBSERVE TRAINING FACILITY	TRANSPORT, LODGING, MEALS

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Name of Person Reporting

SIMPSON, CHARLES R.

Date of Report

5-2-2010

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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Name of Person Reporting

Simpson, Conrad, R.

Date of Report

5-2-2010

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. GE common	A	DIV	K	T					
2. ALLIANZ FUNDS MULTI MANAGER SERIES FEO DIVID VALUE FUND CLASS C	A	DIV	K	T					
3. CALAMOS INVESTMENT TRUST GROWTH FUND CLASS C	A	DIV	K	T					
4. DAVIS M.Y. VENTURE FUND INC CLASS C	A	DIV	K	T					
5. FUND SPECIFIC GROWTH FUND CLASS C	A	DIV	K	T					
6. GROWTH FUND OF AMERICA INC. CLASS C	A	DIV	K	T					
7. ROYCE FUNDS TOTAL RETURN FUND CONSULTANT CLASS	A	DIV	K	T					
8. TOWNBURY INV. TRUST INTL VALUE FUND CLASS C	A	DIV	K	T					
9. BLACKROCK MUNI MONEY MARKET FUND CLASS C	A	DIV	K	T	PARTIAL SELL	3/2		A	
10.					PARTIAL BUY	4/15			
11. LOUISIANA FED. CREDIT UNION	B	INT	K	T					
12. KY TELCO FED CREDIT UNION	B	INT	L	T					
13. DUREE INTERMEDIATE GOVT. BOND SERIES	C	DIV	L	T					
14. US BANK CD	B	INT	L	T					
15. NH BONDS	B	INT	K	T					
16. E BONDS	E	INT			PARTIAL SELL ALL	5/1 6/1		C E	
17. STUCKY ANDS BANK CHECKING	A	INT		T					

1. Income Gain Codes (See Columns B) 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 C) and D3)	J = \$15,000 or less N = \$250,001 - \$500,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market	

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Name of Person Reporting

SIMPSON, RICHARD R.

Date of Report

5-2-2010

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 STOKELY'S BANK CD	A	INT	K	T					
2 DULAKE Ky TAX FUDGE INCOME SERIES	D	DIV	M	T					
3									
4 CHURCHILL DOWNS COM	A	DIV	J	T					
5 JOHNSON OUTDOORS	A	DIV	J	T					
6 VANGUARD ADM. TREAS MM FUND	A	DIV	K	T					
7 VANGUARD ADM SHORT- TERM TREAS FUND FUND	C	DIV	M	T					
8 VANGUARD TERM SR MKT IDX FUND	A	DIV	K	T					
9									
10 CASUM MAKE RET. GRP COM	A	DIV	J	T					
11 CHURCHILL DOWNS COM	A	DIV	J	T					
12 AT CROSS COM.	A	DIV	J	T					
13 GLIMMER REALTY TRUST COM	A	DIV	J	T					
14 JOHNSON OUTDOORS COM	A	DIV	J	T					
15 VENTAS COM.	B	DIV	L	T					
16 VANGUARD ADM TREAS MM	A	DIV	K	T					
17 VANGUARD PRIME MONEY MARKET FUND	A	DIV	J	T	Buy	3/31	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	
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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Name of Person Reporting

Simpson, Charles R

Date of Report

5-2-2010

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-I)	(5) Identity of buyer/seller (if private transaction)
1. VANGUARD SHORT TERM TREASURY FUND	B	DIV	L	T					
2. VANGUARD TOTAL STOCK MKT IDX FUND	A	DIV	K	T					
3.									
4. INVENSURE DOWNS COM	A	DIV	J	T					
5. HANCOCK COM	A	DIV	J	T					
6. NATIONAL HEALTH INVEST COM	A	DIV	J	T					
7. PERMA REIT COM	A	DIV	J	T					
8. VANTAS COM	B	DIV	K	T					
9. VANGUARD ADMIRAL TRCAS MM FUND	B	DIV	O	T					
10. "					SELL PM7	2-3	K	A	
11. "					SELL PM7	3-5	J	A	
12. "					SELL PM7	4-7	J	A	
13. "					SELL PM7	4-27	J	A	
14. "					SELL PM7	10-29	J	A	
15.									
16. VANGUARD TAX-EXEMPT MM FUND	A	DIV	J	T					
17. VANGUARD ADMIRAL TAX MANAGED CAPITAL APPRECIATION	C	DIV	M	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	F = \$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	
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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Name of Person Reporting

Simsen, Curtis, R

Date of Report

5-2-2010

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-I)	(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-I)	(5) Identity of buyer/seller (if private transaction)
1. VANGUARD TAX-MANAGED INTERNATIONAL FUND	B	DIV	L	T					
2. VANGUARD TAX-MANAGED SMALL-CAP FUND	A	DIV	K	T					
3.									
4. FPL GROUP COM	A	DIV	J	T					
5. GE COM	A	DIV	J	T					
6. DRAYPUS STARBOARD MUNICIPAL COM	A	DIV	J	T					
7. VANGUARD ADMIRAL TREAS. M.M. FUND	A	DIV	J	T	BUY	2/10	J		
8. VANGUARD TREASURY M.M. FUND	A	DIV			SELL	2/10	J		
9. VANGUARD TAX-SENSIT. M.M. FUND	A	DIV	J	T	BUY	3/31	J		
10. VANGUARD TAX-MANAGED CAL. ASSET FUND	A	DIV	K	T					
11. VANGUARD TAX-MANAGED INTERNATIONAL FUND	A	DIV	J	T					
12. VANGUARD TAX-MANAGED SMALL-CAP FUND	A	DIV	J	T					
13.									
14.									
15.									
16.									
17.									

1. Income Gain Codes (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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Name of Person Reporting

Simpson, Cruz R.

Date of Report

5-2-2012

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

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Name of Person Reporting

Simpson, Cunniff, R

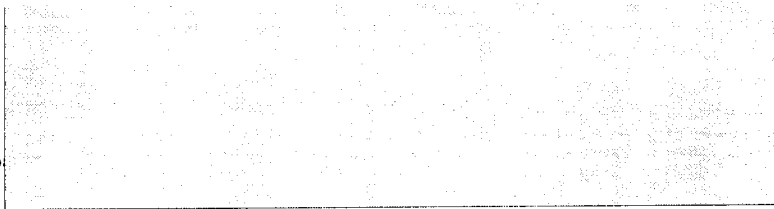
Date of Report

5-2-2010

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.

Sign: 

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544