

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 05/15/2018
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 01/01/2017 to 12/31/2017
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.)

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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 12

Name of Person Reporting

Hale, David J.

Date of Report

05/15/2018

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. 2017

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 12

Name of Person Reporting

Hale, David J.

Date of Report

05/15/2018

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.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 12

Name of Person Reporting

Hale, David J.

Date of Report

05/15/2018

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. Mainsource Bank Accounts (see Note 1 in Part VIII)	A	Interest	K	T					
2. Mainsource Bank Stock (see Note 2 in Part VIII)	C	Dividend	M	T	Redeemed (part)	06/09/17	M	F	
3. -formerly First Capital Bank			K	T	Sold (part)	06/12/17	M	F	
4. Fidelity Freedom K 2035 Fund	A	Dividend	K	T					
5. Investment Account (H)									
6. Legg Mason Funds Clearbridge Dividend Strategy Fund Class I	A	Dividend	K	T	Buy	07/03/17	K		
7. Virtus Funds KAR Small Cap Core Fund Class I	A	Dividend	J	T	Buy	07/03/17	J		
8. Wells Fargo Cash Accounts (see Note 3 in Part VIII)	A	Interest	K	T	Open	05/17/17	K		
9. Legg Mason Funds Clearbridge Aggressive Growth Fund Class I	A	Dividend	J	T	Buy	07/03/17	J		
10. Blackrock Funds iShares S&P 500 Index Fund	A	Dividend	J	T	Buy	07/03/17	J		
11. Individual Retirement Accounts (H)									
12. -Abbvie Inc Stock	A	Dividend			Buy	05/10/17	J		
13.					Sold	05/30/17	J	A	
14. -Altria Group Stock	A	Dividend			Buy	05/10/17	J		
15.					Sold	05/30/17	J	A	
16. -AT&T Inc Stock	A	Dividend			Buy	05/10/17	J		
17.					Sold	05/18/17	J	A	

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 - \$500,000.000	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 \$5,000,000.000	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 12

Name of Person Reporting

Hale, David J.

Date of Report

05/15/2018

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)

18. -American Electric Power Inc Stock	A	Dividend			Buy	05/10/17	J		
19.					Sold	05/30/17	J	A	
20. -Cisco Systems Inc Stock	A	Dividend			Buy	05/10/17	J		
21.					Sold	05/30/17	J	A	
22. -Conagra Brands Inc Stock	A	Dividend			Buy	05/10/17	J		
23.					Sold	05/30/17	J	A	
24. -Diageo PLC Stock	A	Dividend			Buy	05/10/17	J		
25.					Sold	05/30/17	J	A	
26. -Dominion Energy Stock	A	Dividend			Buy	05/10/17	J		
27.					Sold	05/30/17	J	A	
28. -Dover Corp Stock	A	Dividend			Buy	05/10/17	J		
29.					Sold	05/30/17	J	A	
30. -DuPont E.I. De Nemours & Co Stock	A	Dividend			Buy	05/10/17	J		
31.					Sold	05/30/17	J	A	
32. -Exxon Mobil Corp Stock	A	Dividend			Buy	05/10/17	J		
33.					Sold	05/18/17	J	A	
34. -General Dynamics Corp Stock	A	Dividend			Buy	05/10/17	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 12

Name of Person Reporting

Hale, David J.

Date of Report

05/15/2018

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)

35.					Sold	05/30/17	J	A	
36. -General Electric Co Stock	A	Dividend			Buy (add'l)	05/10/17	J		
37.					Sold	05/30/17	J	B	
38. -Genuine Parts Co Stock	A	Dividend			Buy	05/10/17	J		
39.					Sold	05/30/17	J	A	
40. -Glaxosmithkline PLC-ADR Stock	A	Dividend			Buy	05/10/17	J		
41.					Sold	05/30/17	J	A	
42. -Hasbro Inc Stock	A	Dividend			Buy	05/10/17	J		
43.					Sold	05/30/17	J	A	
44. -Home Depot Inc Stock	A	Dividend			Buy	05/10/17	J		
45.					Sold	05/30/17	J	A	
46. -Illinois Tool Works Inc Stock	A	Dividend			Buy	05/10/17	J		
47.					Sold	05/30/17	J	A	
48. -Intel Corp Stock	A	Dividend			Buy	05/10/17	J		
49.					Sold	05/30/17	J	A	
50. -IBM Corp Stock	A	Dividend			Buy	05/10/17	J		
51.					Sold	05/30/17	J	A	

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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 12

Name of Person Reporting

Hale, David J.

Date of Report

05/15/2018

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)

52. -International Paper Co Stock	A	Dividend			Buy	05/10/17	J		
53.					Sold	05/30/17	J	A	
54. -Johnson & Johnson Stock	A	Dividend			Buy	05/10/17	J		
55.					Sold	05/18/17	J	A	
56. -Kimberly-Clark Corp Stock	A	Dividend			Buy	05/10/17	J		
57.					Sold	05/30/17	J	A	
58. -Lockheed Martin Corp Stock	A	Dividend			Buy	05/10/17	J		
59.					Sold	05/30/17	J	A	
60. -M & T Bank Stock	A	Dividend			Buy	05/10/17	J		
61.					Sold	05/30/17	J	A	
62. -Maxim Integrated Products Inc Stock	A	Dividend			Buy	05/10/17	J		
63.					Sold	05/30/17	J	A	
64. -McDonalds Corp Stock	A	Dividend			Buy	05/10/17	J		
65.					Sold	05/30/17	J	A	
66. -Microchip Technology Inc Stock	A	Dividend			Buy	05/10/17	J		
67.					Sold	05/30/17	J	A	
68. -Microsoft Corp Stock	A	Dividend			Buy	05/10/17	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 12

Name of Person Reporting

Hale, David J.

Date of Report

05/15/2018

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)
69.					Sold	05/30/17	J	A	
70. -J.P. Morgan Chase & Co Stock	A	Dividend			Buy	05/10/17	J		
71.					Sold	05/18/17	J	A	
72. -Nextera Energy Inc Stock	A	Dividend			Buy	05/10/17	J		
73.					Sold	05/30/17	J	A	
74. -Nucor Corp Stock	A	Dividend			Buy	05/10/17	J		
75.					Sold	05/30/17	J	A	
76. -People's United Financial Stock	A	Dividend			Buy	05/10/17	J		
77.					Sold	05/30/17	J	A	
78. -Pepsico Incorporated Stock	A	Dividend			Buy	05/10/17	J		
79.					Sold	05/30/17	J	A	
80. -Pfizer Incorporated Stock	A	Dividend			Buy	05/10/17	J		
81.					Sold	05/19/17	J	A	
82. -Phillips 66 Stock	A	Dividend			Buy	05/10/17	J		
83.					Sold	05/30/17	J	A	
84. -Proctor & Gamble Co Stock	A	Dividend			Buy	05/10/17	J		
85.					Sold	05/30/17	J	A	

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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 12

Name of Person Reporting

Hale, David J.

Date of Report

05/15/2018

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)
86. -Sonoco Products Co Stock	A	Dividend			Buy	05/10/17	J		
87.					Sold	05/30/17	J	A	
88. -The Southern Company Stock	A	Dividend			Buy	05/10/17	J		
89.					Sold	05/30/17	J	A	
90. -United Parcel Service-B Stock	A	Dividend			Buy	05/10/17	J		
91.					Sold	05/18/17	J	A	
92. -US Bancorp	A	Dividend			Buy	05/10/17	J		
93.					Sold	05/19/17	J	A	
94. -Verizon Communications Stock	A	Dividend			Buy	05/10/17	J		
95.					Sold	05/30/17	J	A	
96. -Walgreens Boots Alliance Inc Stock	A	Dividend			Buy	05/10/17	J		
97.					Sold	05/30/17	J	A	
98. -Waste Management Inc Stock	A	Dividend			Buy	05/10/17	J		
99.					Sold	05/30/17	J	A	
100. -Welltower Inc Stock	A	Dividend			Buy	05/10/17	J		
101.					Sold	05/30/17	J	A	
102. -Legg Mason Funds Clearbridge Aggressive Growth Fund Class I	B	Dividend	K	T	Buy	06/01/17	K		

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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 12

Name of Person Reporting

Hale, David J.

Date of Report

05/15/2018

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)
103. -Legg Mason Funds Clearbridge Appreciation Fund Class I	B	Dividend	K	T	Buy	06/01/17	K		
104. -Legg Mason Funds Clearbridge Dividend Strategy Fund Class I	C	Dividend	L	T	Buy	06/01/17	L		
105. -Blackrock Funds III S&P Index Fund Class K	C	Dividend	K	T	Buy	06/01/17	K		
106. -Virtus Funds KAR Small Cap Core Fund Class I	C	Dividend	K	T	Buy	06/01/17	K		
107. -UBS Funds Global Allocation Class C (see Note 4 Part VIII)	A	Dividend			Sold	08/16/17	J	B	
108. -UBS Funds Dynamic Alpha Fund Class C (see Note 4 Part VIII)	A	Dividend			Sold	08/16/17	J	A	
109. -Virtus Funds Vontobel Emerging Markets Opportunities Fund	A	Dividend	J	T	Buy	08/17/17	J		
110. -Wells Fargo Cash Accounts	A	Interest	K	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	

FINANCIAL DISCLOSURE REPORT

Page 11 of 12

Name of Person Reporting

Hale, David J.

Date of Report

05/15/2018

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

Notes regarding Part VII, as indicated therein:

Note 1: On April 30, 2017 Mainsource Bank acquired First Capital Bank. As a result of the merger, my bank accounts at First Capital Bank automatically converted to Mainsource Bank. No closure or opening of an account occurred.

Note 2: As a result of the bank merger, on June 9, 2017, I received a combination of stock and cash from Mainsource in exchange for my First Capital Bank stock.

Note 3: A Wells Fargo cash account was opened in 2016. Another was opened as indicated here on May 17, 2017.

Note 4: From a review of one IRA account held by my spouse, I found that two UBS mutual funds I reported sold in full in 2016 were still held in small amounts. As indicated, the remaining shares were sold in 2017.

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

Hale, David J.

Date of Report

05/15/2018

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