

FINANCIAL DISCLOSURE REPORT FINAL FILING

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) Whalin, Dave	2. Court or Organization Kentucky-Western District	3. Date of Report 07/27/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge -- full time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☐ Annual ☒ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 07/27/2018
7. Chambers or Office Address Gene Snyder Courthouse 601 W. Broadway St., Room 200 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.		

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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. 2017-2018	Kentucky Retirement System -- fixed annuity	\$60,000.00
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.)*

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

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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. Jefferson County Federal Credit Union	A	Interest	L	T					
2. Exxon Mobil	A	Dividend	K	T					
3. ILAF (money market)	A	Interest	J	T					
4. Harbor Int'l Instl Fund		None			Sold	04/24/17	L		
5. Royce Premier Fund		None			Sold	04/24/17	K		
6. Yackman Focused Fund		None			Sold	04/25/17	L		
7. Alliancebernstein Global	A	Int./Div.			Sold	04/25/17	K		
8. Prudential Invst. Port. Jennison	A	Int./Div.			Sold	04/25/17	L		
9. New Economy Fund CL		None			Sold	04/25/17	L		
10. John Hancock Sovereign Bond Fund Class I	A	Int./Div.			Sold	04/25/17	K		
11. ILAF (money fund)		None			Closed	04/07/17	J		
12. Income Fund Amer. Inc		None	J	T	Buy	04/07/17	J		
13. Aberdeen FDS Emerging Mkts Fund Inst'l Class		None	J	T	Buy	04/25/17	J		
14.					Sold (part)	01/17/18	J		
15. Eaton Vance Income Fd Boston CL	A	Int./Div.	J	T	Buy	04/26/17	J		
16.					Sold (part)	10/13/17	J		
17.					Sold (part)	01/17/18	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = \$50,001 - \$100,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000.001 - \$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	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)
18. Goldman Sach Finil Square Treas Instrs	A	Int./Div.	J	T	Buy	04/26/17	J		
19.					Sold (part)	07/14/17	J		
20.					Buy (add'l)	01/17/18	J		
21.					Sold (part)	07/18/18	J		
22. Am. Funds Wash. MutualFD F2	A	Int./Div.	K	T	Buy	04/26/17	K		
23.					Buy (add'l)	01/17/18	J		
24. Janus Henderson Fd Flex. Bd Fd	B	Int./Div.	K	T	Buy	04/26/17	K		
25.					Sold (part)	01/17/18	K		
26. MFS Service TR Emerging Mkts Debt Fd	A	Int./Div.	K	T	Buy	04/26/17	K		
27.					Buy (add'l)	06/22/18	J		
28. Metro West Fd. Total Return Bd Fd	A	Int./Div.	L	T	Buy	04/26/17	L		
29.					Buy (add'l)	01/17/18	J		
30. JP Morgan Tr II Core Bd Fd	A	Int./Div.	L	T	Buy	04/26/17	L		
31.					Buy (add'l)	01/17/18	J		
32. Principal Funds Global Real Estate Secs Fd	A	Int./Div.	K	T	Buy	04/26/17	K		
33.					Sold (part)	01/17/18	J		
34. JP Morgan Tr Small Cap Equity Fd		None	K	T	Buy	04/26/17	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	
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35.					Buy (add'l)	01/17/18	J		
36. T Rowe Price Real Est Fund		None			Buy	04/26/17	J		
37.					Sold	06/22/17	J		
38. T Rowe Price Intl Fd		None	J	T	Buy	04/26/17	K		
39.					Sold (part)	01/17/18	J		
40. T Rowe Price Blue Chip Growth Fd		None	K	T	Buy	04/26/17	K		
41.					Buy (add'l)	01/17/18	J		
42. Touchstone Fds Group Mid Cap Fd Intitutional CI		None	K	T	Buy	04/26/17	K		
43.					Sold (part)	01/17/18	J		
44. Proctor and Gamble	A	Int./Div.	J	T					
45. Stockyards Bank Account	A	Int./Div.	J	T					
46. Alliancebernstein Global Bd. Fd.	A	Int./Div.			Sold	04/25/17	K		
47. Harbor Fd Int'l Fd		None			Sold	04/24/17	K		
48. Prudential Invt Prt 10 Jennison Equity Income	A	Int./Div.			Sold	04/25/17	K		
49. Royce Premeier Fd	A	Int./Div.			Sold	04/27/17	K		
50. Yacktman Focused Fd		None			Sold	04/25/17	K		
51. John Hancock Sovereign Bond Fund Class I	A	Int./Div.			Sold	04/25/17	K		

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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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52. New Economy Fund		None			Sold	04/25/17	K		
53. Aberdeen Fds Emerging Markets Fd Institutional Class		None	J	T	Buy	04/26/17	J		
54.					Sold (part)	01/17/18	J		
55.					Buy (add'l)	06/25/17	J		
56. Eaton Vance Ser II Income Fund Boston CII	A	Int./Div.	J	T	Buy	04/26/17	J		
57.					Sold (part)	01/17/18	J		
58. Goldman Sachs Tr Finil Square Trea. Instrs	A	Int./Div.	J	T	Buy	04/26/17	J		
59.					Buy (add'l)	01/17/18	J		
60. American Funds Wash. Mutual Fd F2	C	Int./Div.	K	T	Buy	04/26/17	K		
61.					Buy (add'l)	01/17/18	J		
62. Janus Henderson Fd. Flex. Bd. Fd. Class 1	B	Int./Div.	K	T	Buy	04/26/17	K		
63.					Sold (part)	01/17/18	J		
64. MFS Ser Tr X Emerging Mkts Debt Fd	B	Int./Div.	K	T	Buy	04/26/17	J		
65.					Buy (add'l)	06/22/17	J		
66. Metro West Fds Total Return Bd Fd CII	C	Int./Div.	K	T	Buy	04/26/17	K		
67.					Buy (add'l)	01/17/18	J		
68. JP Morgan Tr II Core Bd Fd I C1	B	Int./Div.	K	T	Buy	04/26/17	K		

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69.					Buy (add'l)	01/17/18	J		
70. Principal Funs Inc Global Real Estate Sec Funds Institutional Cl	A	Int./Div.	J	T	Buy	04/26/17	J		
71.					Sold (part)	01/17/18	J		
72. JP Morgan Tr I Small Cap Equity Fd	A	Int./Div.	J	T	Buy	04/26/17	J		
73.					Buy (add'l)	01/17/18	J		
74. T Rowe Price Real Estate Fd Inc	A	Int./Div.			Buy	04/26/17	J		
75.					Sold	06/22/17	J		
76. T Rowe Price Intl Fd Overseas Stk Fd	A	Int./Div.	J	T	Buy	04/26/17	J		
77.					Sold (part)	01/17/18	J		
78. T Rowe Price Blue Chip Growth Fd	A	Int./Div.	K	T	Buy	04/26/17	K		
79.					Buy (add'l)	01/17/18	J		
80. Touchstone Fds Group TR Mid Cap Institutional Class	A	Int./Div.	K	T	Buy	04/26/17	J		
81.					Sold (part)	01/17/18	J		
82.									

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

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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/ **Dave Whalin**

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