

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Russell, Thomas B.	2. Court or Organization United States District Court - Kentucky	3. Date of Report 05/06/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III - Senior Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address 501 Broadway, Federal Building Paducah, KY 42001		
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. Partner	First Investors of Paducah (Investment Club) See additional information
2.	
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Russell, Thomas B.

Date of Report

05/06/2015

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. _____

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 10

Name of Person Reporting

Russell, Thomas B.

Date of Report

05/06/2015

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Russell, Thomas B.

Date of Report

05/06/2015

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. Checking Account - Paducah Bank	A	Interest	K	T					
2. Checking Account - Regions Bank	A	Interest	K	T					
3. IRA, LPL FINANCIAL (See Section VIII)	B	Int./Div.	O	T					
4. -AIM Inv Fds Invesco Developing MK CI Y					Sold	1/2015	J	A	
5. -Optimum Fixed Income Fund CI I									
6. -Optimum International fund CI I									
7. -Optimum Large Capital Growth Fd CI I									
8. -Optimum Large Capital Value Fd CI I									
9. -Optimum Small Cap Growth Fd CI Instl									
10. -Optimum Small Cap Value Fd CI I									
11. IRA, LPL FINANCIAL (See Section VIII)	A	Int./Div.	K	T					
12. -Optimum Fixed Income Fund CI I									
13. -Optimum International Fund CI I									
14. -Optimum Large Capital Growth Fd CI I									
15. -Optimum Large Capital Value Fd CI I									
16. -Optimum Small Cap Growth Fd CI Instl									
17. -Optimum Small Cap Value Fd CI I									

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	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 5 of 10

Name of Person Reporting

Russell, Thomas B.

Date of Report

05/06/2015

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 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. Savings Acct. Regions Bank	A	Interest	L	T					
19. Common Stock, Regions Bank	A	Dividend	J	T					
20. -US Banc (common)	A	Dividend	J	T					
21. -IBM (common)	A	Dividend	J	T					
22. -Cisco Sys (common)	A	Dividend	J	T					
23. -Intel (common)	A	Dividend	J	T					
24. -Schlumberge (common)	A	Dividend	J	T					
25. -Simon P (common)	A	Dividend	J	T					
26. -Fastenal (common)	A	Dividend	J	T					
27. -Microsoft (common)	A	Dividend	J	T					
28. -Coke (common)	A	Dividend	J	T					
29. -Johnson (common)	A	Dividend	J	T					
30. -Minnesota (3M) (common)	A	Dividend	J	T					
31. -Proctor (common)	A	Dividend	J	T					
32. -CSI (common)	A	Dividend	J	T					
33. -Exon Mobil (common)	A	Dividend	J	T					
34. -Oracle (common)					Sold	12/2015	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 \$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 10

Name of Person Reporting

Russell, Thomas B.

Date of Report

05/06/2015

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. -Walgreen (common)	A	Dividend	J	T					
36. -B.P. PLC (common)	A	Dividend	J	T					
37. -Apple (common)	A	Dividend	J	T					
38. -Ishares (IWM)(common)					Sold	12/2015	J	A	
39. -SPDR SDY					Sold	12/2015	J	A	
40. -Trinity	A	Dividend	J	T					
41. -Wells Fargo	A	Dividend	J	T					
42. -Gilead	A	Dividend	J	T					
43. -Fluor	A	Dividend	J	T					
44. -National (NOV)					Sold	12/2015	J	A	
45. -Clean	A	Dividend	J	T					
46. -Plexus	A	Dividend	J	T					
47. -Ashland (ASH)	A	Dividend	J	T					
48. -Tata (TTM)	A	Dividend	J	T					
49. -Yum (YUM)	A	Dividend	J	T					
50. -Tesoro (TSO)	A	Dividend	J	T					
51. -Kraft					Sold	12/2015	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 \$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 7 of 10

Name of Person Reporting

Russell, Thomas B.

Date of Report

05/06/2015

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. -UTX	A	Dividend	J	T					
53. -Dollar General	A	Dividend	J	T					
54. -Baker BHI	A	Dividend	J	T					
55. -Becton BDX					Sold	12/2015	J	A	
56. -Medtronic MDT					Sold	12/2015	J	A	
57. -Mondelez MDL					Sold	12/2015	J	A	
58. -Freeport (FCX)					Sold	12/2015	J	A	
59. -JP Morgan (JPM)	A	Dividend	J	T					
60. -Nat'L Fuel (NFG)					Sold	12/015	J	A	
61. -Baidu (BIDU)	A	Dividend	J	T					
62. -Cnooc (CEO)	A	Dividend	J	T					
63. -Delphi (DLPH)	A	Dividend	J	T					
64. -Estee (EL)					Sold	12/2015	J	A	
65. -Abbvie (AbbV)					Sold	12/2015	J	A	
66. -Uranium (UEC)	A	Dividend	J	T					
67. -Whole Foods	A	Dividend	J	T					
68. -WPG					Sold	12/2015	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 \$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 8 of 10

Name of Person Reporting

Russell, Thomas B.

Date of Report

05/06/2015

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. -BAC					Sold	12/2015	J	A	
70. -GOOG (Alphabet) Google	A	Dividend	J	T					
71. -Kroger	A	Dividend	J	T					
72. -MA	A	Dividend	J	T					
73. -MDT	A	Dividend	J	T					
74. -SUNE					Sold	12/2015	J	A	
75. -DNOW					Sold	12/2015	J	A	
76. -Great Western Bancorp (GWB)					Buy	12/2015	J		
77. -Celgene Corp (CELG)					Buy	12/2015	J		
78. -Priceline Group ((PCLN)					Buy	12/2015	J		
79. -Nike (NKE)					Buy	12/2015	J		
80. -Quintiles Hldgs (Q)					Buy	12/2015	J		
81. -Visa, Inc Class A					Buy	12/2015	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 9 of 10

Name of Person Reporting

Russell, Thomas B.

Date of Report

05/06/2015

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

I. POSITIONS

In October of 1996, I became a member of an investment club known as First Investors of Paducah, which is organized as a partnership. There are 15 partners divided into 7 teams. Each team invests their portion. I only have control over the investment of my team. I do have a 1/15 interest in all of those investments. The individual stocks owned by the partnership are included in the stocks listed in Section VII.

VII. INVESTMENTS AND TRUSTS

(No. 3-10) IRA - LPL FINANCIAL

This is the IRA account in LPL Financial. Line 3 reflects the total value of the account, and Lines 4-10 list the individual purchases LPL Financial made.

(No. 4-10) IRA - UBS

(No. 11-17) IRA- LPL FINANCIAL

This is an IRA account in LPL Financial. Line 11 reflects the total value of the account and Lines 12-17 list the individual purchases made by LPL.

Line 71 list Goog (Alphabet). This was previously listed in my 2014 return at line 102 as "Good." That was a typographical error and should have been "Goog." Alphabet was formed from Google.

My share of all the stocks held by First Investors was \$1,001-\$2,501. The income was by way of dividends. As of December 31, 2015 the gross value of the stocks owned by First Investors was \$15,000 - \$50,000, based on cash market. In December 2015, we had a disbursement and some of the stocks were transferred to me. As of December 31, 2015, I owned individually, the stocks listed in lines 19, 20, 21, 25, 26, 28, 29, 30, 33, 41, 47, 59, 61, 62, 72, and 73. The remainder of the stocks listed in lines 19-81 are owned by First Investors as of December 31, 2015, unless they are shown as sold.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Russell, Thomas B.

Date of Report

05/06/2015

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/ **Thomas B. Russell**

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