

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 03/26/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) senior/dist	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address 601 w.broadway #247 louisville, ky 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. International advisory Committee	National Center for State Courts
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.	

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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. 10/21-11/1	State Court Jury Duty	\$35.00
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. Federal Judges Assn	2/21-2/24	Dallas, TX	Executive Committee meeting	Transport to/fm Lou, meals lodging
2. AmCham Zagreb	4/6-4/12	Zagreb, Croatia	Intelektiv Intellectual Property conference speaker	Transport, lodging, meals
3. federal Judges Assn	4/23-4/28	Washington DC	Board Meeting	Transport, meals, lodging
4. Fed. Judges Assn	9/17-9/21	Washington DC	Congressional Reception	Transport, meals, lodging
5. Federal Judges assn	9/30-10/10	Yalta, Ukraine	International Assn of Judges meeting	Transport, meals, lodging

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6.	National Center for State Courts	11/21-11/24	Washington DC	International Advisory Committee meeting	Transport, meals, lodging
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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.			
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. ge com	A	Dividend	J	T					
2. -----calamos inv tr nw grwth fd cl c	A	Dividend	K	T					
3. davis n y venture fd cl c	A	Dividend	L	T					
4. euro pac growth fd cl c	A	Dividend	K	T					
5. growth fd of america	A	Dividend	L	T					
6. Royce fund totl ret	A	Dividend	L	T					
7. thornBurg inv tr intl val	A	Dividend	K	T					
8. fundamental invs inc cl c	A	Dividend	L	T					
9. federated govt cash ser	A	Int./Div.	K	T					
10. Fifth3rd bnk acct	A	Int./Div.	J	T					
11.									
12. ky telco fed cu	A	Interest	L	T					
13. Louv. fed CU	A	Interest	L	T					
14. Dupree Interned. govt bond ser	C	Dividend	L	T					
15. us Bank cd	C	Interest	L	T					
16. HH bonds	A	Interest	K	T					
17. Stockyrds bk acct	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	

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18. dupree ky tax-free	D	Dividend	M	T					
19.									
20. Churchill downs com	A	Dividend	J	T					
21. johnson outdrs com	A	Dividend	J	T					
22. Vangrd totl stk mkt idx admiral fd	A	Dividend	K	T					
23. van guard Short-term Treas.adm fd	A	Dividend	M	T					
24. Vanguard adm treas mm fd	A	Dividend	K	T					
25. Vanguard Prime mm fd	A	Dividend	J	T					
26.									
27. Destination XL Group Inc.(formerly Casual Male Retail Group) com	A	Dividend	J	T					
28. Churchill Downs com	A	Dividend	J	T					
29. Costa Inc. (formerly AT Cross) com	A	Dividend	K	T					
30. Glimcher realty Trust com	A	Dividend	J	T					
31. Johnson Outdoors com	A	Dividend	K	T					
32. ventas com	C	Dividend	L	T					
33. Vanguard totla stock mkt idx ADM fd	A	Dividend	K	T					
34. Vanguard Short-term treas ADM fd	A	Dividend	L	T					

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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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35. Vanguard Admiral trsry mm fd	A	Dividend	K	T					
36. vanguard prime mm fd	B	Dividend	J	T					
37.									
38. Churchill Downs com	A	Dividend	K	T					
39. Healthsouth com	A	Dividend	J	T					
40. National Hlth invs com	A	Dividend	K	T					
41. ventas com	B	Dividend	K	T					
42. Vanguard Tax-managed Cap Apprec Adm fd	D	Dividend	N	T					
43. Vanguard Tax-managed Int'l fd	B	Dividend	L	T					
44. vanguard Tax-managed sm Cap fd	A	Dividend	L	T					
45. Vanguard Tax-Exempt mm fd	B	Dividend	J	T					
46. Vanguard Trsry (Admiral) MM fd	C	Dividend	O	T					
47.									
48. Dreyfus Strategis Municipals fd	A	Dividend	J	T					
49. GE com	A	Dividend	K	T					
50. Nextera com	A	Dividend	J	T					
51. Vanguard tax-managed Cap Apprec Adm Fnd	A	Dividend	K	T					

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52. Vanguard Tax-mang Int'l fd	A	Dividend	J	T					
53. VanguardtAX-mANAG Small Cap fd	A	Dividend	J	T					
54. Vanguard Tax-Exempt MM fd	A	Dividend	J	T					
55. vanguard Trsy MM fd	A	Dividend	J	T					

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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/ **charles r. simpson**

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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Washington, D.C. 20544