

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) -Bertelsman, William O.	2. Court or Organization KY-ED	3. Date of Report 08/30/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (Senior)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 35 West Fifth Street, Rm. 505 P. O. Box 1012 Covington, KY 41012-1012		
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. Owner		529 Trust Plans #4, 7, 8 and 9 through Michigan Education Programs
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.)*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. _____

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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. UBS Government Reserve	A	Dividend	M	T					formerly Victory Gradison
2. Goldline (formerly Dreyfus Gold Fund)		None	L	T					
3. Legg Mason Europe Fund (stock)	A	Dividend	K	T					
4. U.S. Bank Cash Account	A	Interest	J	T					
5. Dupree, Kentucky- Short/Med. Fund	C	Interest	M	T					
6. Dupree, Kentucky - Tax Free Fund	B	Interest	N	T					
7. Fifth Third Bank (Account)	A	Interest	M	T					
8. Fifth Third Bank (Common Shares)	A	Dividend	K	T					
9. Victory Established Value Fund	A	Dividend	K	T					
10. Dreyfus Growth & Income Fund	A	Dividend	K	T					
11. Bank of Kentucky Cash Account	B	Interest	L	T					
12. Procter & Gamble - Common stock	B	Dividend	L	T					
13. Victory Small Company Fund	A	Dividend	M	T					
14. BankAmerica Corp. (common stock)	A	Dividend	J	T					
15. Bank of Kentucky CD	B	Interest	K	T					
16. United States Savings Bonds (I)	B	Interest			Matured	12/01/16	K	A	
17. Sherwin Williams	A	Dividend			Sold	06/05/16	K	A	

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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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)

18. DWS Dremam High Return Fund	A	Dividend	L	T					
19. Kroger Co.	A	Dividend	K	T					
20. Michigan Education Savings Program #4 Principal Plus Option 1934	B	Interest	K	T					
21. Chevron-Texaco Corp.	B	Dividend	L	T					
22. Duke Energy	A	Dividend	J	T					
23. Clorox Co.	B	Dividend	M	T					
24. Exxon Mobil Corp.	B	Dividend	L	T					
25. General Mills, Inc.	B	Dividend	K	T					
26. Pepsico, Inc.	C	Dividend	M	T					
27. Procter & Gamble Co.	E	Dividend	O	T					
28. Southern Co.	C	Dividend	L	T					
29. Sunoco, Inc. (now Suncoke Energy)	A	Dividend	J	T					
30. Wisconsin Energy Corp.	C	Dividend	L	T					
31. U.S. Savings Bonds	A	Interest	K	T					
32. Michigan Education Savings Program #7 (H)									
33. Principal Plus Interest Opt.	B	Interest	K	T					
34. Moderate Age-Based Opt. 18 & Over	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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35. Michigan Education Savings Program #8 (H)									
36. Principal Plus Interest Opt.	B	Interest	L	T					
37. Moderate Age-Based Opt. 16	B	Interest	L	T					
38. Michigan Education Savings Program #9 (H)									
39. Principal Plus Interest Opt.	A	Interest	M	T					
40. Moderate Age-Based Opt. 13-14	B	Interest	L	T					
41. E-Trade Account (H)									
42. -Fifth Third Bank Stock	B	Interest	J	T					
43. -E-Trade Cash Account	B	Interest	J	T					
44. Automatic Data Processing, Inc.	A	Dividend	K	T					
45. Johnson & Johnson	B	Dividend	L	T					
46. T-Rowe Price Equity Index 500	A	Dividend	L	T					
47. Templeton Foreign Fund C1 A	A	Interest	K	T					
48. American Funds Growth Fund of America	A	Dividend	L	T					
49. Peabody Energy Group	A	Dividend	J	T					
50. Western Union Co.	A	Dividend	K	T					
51. Spectra Energy	A	Dividend	J	T					

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52. Ky. State Turnpike Authority (due 7/1/19)	B	Interest	L	T					
53. Hopkins Mn. Indpt. School (due 12/1/17)	B	Interest			Redeemed	02/01/16	L	A	
54. California State Revenue	B	Interest			Sold	05/19/16	L	B	
55. Oklahoma Dept. Trans. Rev. (due 9/1/18)	C	Interest	L	T					
56. Bowling Green, KY Proj. (due 6/1/20)	B	Interest	L	T					
57. Blackrock Global Allocation Fund	A	Dividend	L	T					
58. Alliance Bernstein Bal. Wealth Strategy	B	Dividend	M	T					
59. Citizens Bank of No. Ky (CD)	A	Interest	L	T					
60. Citizens Bank of No. Ky. (CD)	A	Interest	K	T					
61. Citizens Bank of No. Ky (CD)	A	Interest	K	T					
62. Citizens Bank of No. Ky (CD)	A	Interest	K	T					
63. Merrill Lynch Money Fund (Muni)	A	Interest	K	T					
64. Merrill Lynch Bank (Regular)	A	Interest	M	T					
65. Coca Cola Co.	A	Dividend	K	T					
66. Exxon Mobile Corp.	A	Dividend	L	T					
67. 3M Co.	A	Dividend	L	T					
68. Alabama St. Cap Impt. Ser.D due 6/1/19	A	Interest	K	T					

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69. Ky State Ppty & Bldg due 11/1/17	A	Interest	K	T					
70. Citizens Bank Acct. (for 529 Plans)	A	Interest	L	T					
71. Honolulu City Hawaii Cnt Waste due 7/1/19	C	Interest	L	T					
72. New York St. Dorm Auth. due 2/15/20	A	Interest	K	T					
73. Ky St. Ppty & Bldg due 8/1/20	B	Interest	L	T					
74. Ky State Ppty & Bldg due 7/1/19 (Turnpike)	B	Interest	L	T					
75. Ky State Turnpike Auth due 7/1/19	B	Interest	L	T					
76. Franklin Ky PPC First due 4/1/20	B	Interest	L	T					
77. New Jersey State Revenue Series O	C	Interest	L	T					
78. Medtronic	A	Dividend	K	T					
79. iShares Trust Russell Midcap Growth	A	Dividend	J	T					
80. Washington State Various Purpose Series R	C	Interest	L	T					
81. Louisville Jefferson KY MET (due 5/15/28)	B	Dividend	K	T					
82. Nevada Sys. Hgr. Ed.	B	Interest	L	T					
83. Va. College Bldg. Authority	B	Interest	L	T					
84. Goldman Sachs Rising Div.	A	Dividend	K	T					
85. Alliance Bernstein Disc. Growth Fd	B	Dividend	L	T					

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86. New Mexico St. Severance	B	Interest	K	T					
87. Natixis Oakmark Int'l Fund	A	Dividend	K	T					
88. Prudential Jennison Equity Income Fund	B	Dividend	K	T					
89. University of Kentucky Gen'l Resources	B	Interest	K	T					
90. Louisiana University Agriculture	B	Interest	L	T					
91. CDK Global Income	C	Dividend	J	T					
92. T. Rowe Price Health Sciences Fund	A	Dividend	M	T					
93. T. Rowe Price Financial Services	A	Dividend	J	T					
94. Prince George City, MD	A	Interest	L	T	Buy	06/22/16	L		
95. Lexington-Fayette Urban City Govt.	A	Interest	L	T	Buy	09/30/16	L		
96.									

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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/ William O. -Bertelsman

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