

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) Bertelsman, William O.	2. Court or Organization KY-ED	3. Date of Report 08/07/2018
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 01/01/2017 to 12/31/2017
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.)

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 11

Name of Person Reporting

Bertelsman, William O.

Date of Report

08/07/2018

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. _____

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 11

Name of Person Reporting

Bertelsman, William O.

Date of Report

08/07/2018

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.

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Bertelsman, William O.

Date of Report

08/07/2018

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. Fifth Third Bank (cash)	A	Interest	M	T					7
2. U.S. Bank (cash) (Y)									4
3. United Bank And Capital Trust (formerly Citizens Bank of No.KY) (cash)	A	Interest	M	T					59, 60, 61, 62, 70
4. BB&T (formerly Bank of Kentucky) (cash)	A	Interest	L	T					11, 15
5. Goldline		None	L	T					2
6. Legg Mason QS Intl Eq Fd A (LMEAX)	A	Dividend	K	T					3
7. Dupree, Kentucky- Short/Med. Fund (KYSMX)	C	Dividend	M	T					5
8. Dupree, Kentucky - Tax Free Fund (KYTFX)	D	Dividend	N	T					6
9. Dreyfus Growth & Income Fund (DGRIX)	B	Dividend	J	T					10
10. BankAmerica Corp. (common stock) (BAC)	A	Dividend	J	T					14
11. U.S. Savings Bonds	A	Interest	K	T					31
12. IRA #1 (H)									
13. Blackrock Global Allocation Fd Inc C (MCLOX) (X)	C	Dividend	L	T					
14. First Eagle Global Class C (FESGX) (X)	A	Dividend	K	T					
15. Ivy Asset Strategy Fund CL C (WASCX) (X)	B	Dividend	L	T					
16. Loomis Sayles Strategic Income Fd Cl C (NECZX) (X)	A	Dividend	J	T	Sold (part)	12/11/17	J		
17. Michigan Education Savings Program (H)									

1 Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 (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	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

Name of Person Reporting

Bertelsman, William O.

Date of Report

08/07/2018

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 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. Michigan Education Savings Program Principal Plus Option 1934	C	Interest	N	T	Distributed (part)	10/26/17	J		20, 33, 36, 39
19.					Distributed (part)	12/18/17	J		
20. Michigan Education Savings Program Moderate Age-Based Opt. 18 & Over	B	Interest	M	T	Distributed (part)	08/21/17	J		34
21.					Distributed (part)	09/11/17	J		
22. Michigan Education Savings Program Moderate Age-Based Opt. 16	B	Interest	L	T					37
23. Michigan Education Savings Program Moderate Age-Based Opt. 13-14 (Y)									40
24. BROKERAGE #1 (H)									
25. Merrill Lynch Bank (Regular)	A	Interest	M	T					64
26. Chevron-Texaco Corp. (CVX)	B	Dividend	L	T					21
27. Clorox Co. (CLX)	B	Dividend	M	T					23
28. Duke Energy (DUK)	A	Dividend	J	T					22
29. Enbridge (ENB) (formerly Spectra Energy)	A	Dividend	J	T					51
30. Exxon Mobil Corp. (XOM)	B	Dividend	L	T					24
31. General Mills, Inc. (GIS)	B	Dividend	K	T					25
32. Pepsico, Inc. (PEP)	C	Dividend	M	T					26
33. Procter & Gamble Co. (PG)	E	Dividend	O	T					27
34. Southern Co. (SO)	C	Dividend	L	T					28

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 11

Name of Person

Bertelsman

VII. INVESTMENTS and TRUSTS – income, value, transactions

☐

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		Gross of rep
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)

35.	Suncoke Energy Inc (SXC)	A	Dividend	J
36.	Wisconsin Energy Corp. (WEC)	C	Dividend	M
37.	AB All Market Total Return Port Cl C (ABWCX)	A	Dividend	M
38.	Alliance Bernstein Disc. Growth Fd (CHCCX)	D	Dividend	L
39.	Blackrock Global Allocation Fund (MCLOX)	D	Dividend	M
40.	Goldman Sachs Rising Div. (GSRCX)	D	Dividend	K
41.	Ivy Asset Strategy Fund CL C (X)	C	Dividend	M

FINANCIAL DISCLOSURE REPORT

Page 7 of 11

Name of Person

Bertelsman

VII. INVESTMENTS and TRUSTS -- income, value, transactions

☐

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		Gross of rep
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)

52. New York St. Dorm Auth. ()	A	Interest	K
53. Franklin Ky PPC First ()	B	Interest	L
54. Ky State Ppty & Bldg ()	C	Interest	L
55. New Jersey State Revenue Series O ()	C	Interest	L
56. New Mexico St. Severance ()	B	Interest	K
57. Washington State Various Purpose Series R ()	C	Interest	L
58. University of Kentucky Gen'l Resources	B	Interest	K

FINANCIAL DISCLOSURE REPORT

Page 8 of 11

Name of Person Reporting

Bertelsman, William O.

Date of Report

08/07/2018

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. Massachusetts St Go Ref Bds Lt Ser B ()	B	Interest	K	T	Buy	03/27/17	K		
70. Citigroup Global MA, Inc (Y)					Buy	04/30/17	L		
71. Alabama St. Cap Impt. Ser.D	A	Interest			Sold	03/29/17	K		68
72. Lexington-Fayette Urban City Govt. ()	A	Interest			Sold	12/20/17	L		95
73. Honolulu City Hawaii Cnt Waste	C	Interest			Sold	03/29/17	L		71
74. Prince George City, MD ()	A	Interest			Sold	12/20/17	L		94
75. BROKERAGE #3 (H)									
76. E-Trade Cash Account (Y)									43
77. Fifth Third Bank, Fort Thomas, KY (Common Shares) (FITB)	A	Dividend	J	T					8, 42
78. BROKERAGE #4 (H)									
79. UBS Government Reserve	A	Interest	J	T					1
80. Automatic Data Processing, Inc (ADP)	B	Dividend	L	T					44
81. CDK Global Income (CDK)	A	Dividend	J	T					91
82. Coca Cola Co. (KO)	B	Dividend	K	T					65
83. Exxon Mobile Corp. (XOM)	A	Dividend	J	T					66
84. Johnson & Johnson (JNJ)	B	Dividend	L	T					45
85. Kroger Co. (KR)	A	Dividend	K	T					19

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 11

Name of Person Reporting

Bertelsman, William O.

Date of Report

08/07/2018

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. Medtronic (MDT)	A	Dividend	K	T					78
87. Occidental Petroleum (OXY) (X)	A	Dividend	J	T					
88. Procter & Gamble - Common stock (PG)	B	Dividend	L	T					12
89. Western Union Co. (WU)	A	Dividend	K	T					50
90. 3M Co. (MMM)	B	Dividend	L	T					67
91. Peabody Energy Group (BTU) (Y)									49
92. iShares Trust Russell Midcap Growth (IWP)	A	Dividend	J	T					79
93. American Funds Growth Fund of America (GFAFX)	A	Dividend	M	T					48
94. Deutsche Croci Equity Div Fd Cl A (KDHAX)	B	Dividend	L	T					18
95. Templeton Foreign Fund Cl A (TEMTX)	A	Dividend	L	T					47
96. T-Rowe Price Equity Index 500 (PREIX)	B	Dividend	L	T					46
97. Victory Small Company Fund (GOGFX)	A	Dividend	M	T					13
98. Victory Established Value Fund (GETGX)	A	Dividend	L	T					9
99. BROKERAGE #5 (H)									
100. T. Rowe Price Equity Index 500 (PREIX) (X)	A	Dividend	J	T					
101. T. Rowe Price Health Sciences Fund (PRHSX)	D	Dividend	M	T					92
102. T. Rowe Price Financial Services (PRISX)	A	Dividend	K	T					93

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 10 of 11

Name of Person Reporting

Bertelsman, William O.

Date of Report

08/07/2018

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

The 2017 report has been reformatted by account for ease of tracking and reporting holdings. Duplicate entries and education accounts have been consolidated, and the names of some assets have been updated for clarity or because of corporate exchanges or name changes. To assist in the review of this report, corresponding lines of the 2016 report have been included in Column D(5).

Part VII, line 70: Following a reportable purchase, this asset became unreportable without a corresponding reportable transaction.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Bertelsman, William O.

Date of Report

08/07/2018

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/ 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