

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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 10/12/2012
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 01/01/2011 to 12/31/2011
7. Chambers or Office Address Gene Snyder Courthouse 601 W. Broadway St., Room 200 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. Insert signature on last page.		

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. 2011	Kentucky Retirement System, Fixed Annuity	\$40,000.00
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. 2011	Landrum and Shouse, LLP salary
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.)*

<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. Jefferson County Federal Credit Union	A	Interest	K	T					
2. Exxon Mobil	A	Dividend	J	T					
3. ILAF (money market)	A	Interest	J	T					
4. Calamos CGRIX		None			Sold	12/07/11	K		
5. Harbor Bond Fund		None	K	T	Buy (add'l)	02/25/11	J		
6.					Sold (part)	07/26/11	J		
7.					Sold (part)	12/07/11	J		
8. Harbor Int'l Instl Fund		None	K	T	Buy (add'l)	02/25/11	J		
9.					Sold (part)	07/08/11	J		
10.					Buy (add'l)	07/27/11	J		
11.					Buy (add'l)	12/08/11	J		
12. Davis NY Venture Fund		None			Sold	02/24/11	K		
13. Pimco Total Return		None			Buy (add'l)	02/25/11	J		
14.					Sold	07/26/11	K		
15. Royce Premier Fund		None	K	T	Sold (part)	02/24/11	J		
16.					Sold (part)	07/08/11	J		
17.					Sold (part)	07/26/11	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 ~\$15,001 - \$50,000	E ~\$15,001 - \$50,000 F ~\$50,001 - \$100,000
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P ~\$250,001 - \$500,000	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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☐ 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.					Buy (add'l)	07/27/11	J		
19.					Buy (add'l)	12/08/11	J		
20. Yacktman Focused Fund		None	K	T	Sold (part)	02/24/11	J		
21.					Sold (part)	10/14/11	J		
22.					Sold (part)	12/07/11	J		
23. Alliancebernstein Global		None	K	T	Buy	07/27/11	K		
24.					Buy (add'l)	12/07/11	J		
25. Prudential Invst Port. Jennison		None	K	T	Buy	02/24/11	J		
26.					Buy (add'l)	02/25/11	K		
27.					Buy (add'l)	07/27/11	J		
28.					Sold (part)	12/07/11	J		
29. Wells Fargo Advantage Growth		None	K	T	Buy	12/07/11	J		
30.					Buy (add'l)	12/08/11	K		
31. ILAF (money fund)	A	Int./Div.	J	T					
32. Duke Energy	A	Int./Div.			Sold	06/14/11	J		
33. J.P. Morgan Chase	A	Int./Div.			Sold	06/14/11	J		
34. Proctor and Gamble	A	Int./Div.	J	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	
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	(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. Target	A	Dividend			Sold	06/14/11	J		
36. Walgreens	A	Dividend			Sold	06/14/11	J		
37. New York Whole Life		None	K	T					
38. Stock Yards Bank Account	A	Int./Div.	J	T					
39. Prudential Invt Portfolios Inc Class C		None			Sold	06/14/11	K		See note in section VIII
40. Bond Fund of America		None			Sold	06/13/11	K		
41. Ivy Asset Strategy Fund Class C		None			Sold	06/13/11	J		
42. Oppenheimer Developing Markets Fund Class C		None			Sold	06/13/11	J		
43. Thornburg Int'l Value Fund Class C		None			Sold	06/13/11	K		
44. Touchstone Emerging Growth		None			Sold	06/13/11	J		
45. Ivy Funds Small Cap Cl I		None	J	T	Buy	06/14/11	J		
46.					Sold (part)	12/13/11	J		
47. Ivy Fund Asset Strategy Cl I		None	J	T	Buy	06/14/11	K		
48.					Sold (part)	12/13/11	J		
49. John Hancock Sovereign Fd Cl I		None	K	T	Buy	06/14/11	K		
50.					Sold (part)	12/13/11	J		
51. Oppenheimer Dev. Mkts Cl Y		None	J	T	Buy	06/14/11	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	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	
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	(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.					Buy (add'l)	12/13/11	J		
53. Prudential Invt. Port. Equity Opp. Class Z		None	K	T	Buy	06/14/11	K		
54.					Sold (part)	12/13/11	J		
55. Thornburg Intl Value Cl I		None	J	T	Buy	06/14/11	K		
56.					Sold (part)	12/13/11	J		
57. Touchstone Invest. Mid Cap Cl Y		None	J	T	Buy	06/14/11	J		
58.					Sold (part)	12/13/11	J		
59. Alliancebernstein Global Bd. Fd		None	K	T	Buy	12/13/11	K		
60. Prudential Short Term Corp Bond Cl Z		None	K	T	Buy	12/13/11	K		

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

Part VII, line 39: Formerly known as and listed in previous report as J.D. Moderate Allocation Fund"

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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
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