

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Lindsay, Colin H.	2. Court or Organization U.S. District Court, Western District of Kentucky	3. Date of Report 5/15/2019
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 01/01/2018 to 12/31/2018
7. Chambers or Office Address 601 W. Broadway 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Delegate to the American Bar Association House of Delegates	Louisville Bar Association
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 17

Name of Person Reporting

Lindsay, Colin H.

Date of Report

5/15/2019

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.		
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. 2018	Salary; Summerbridge Louisville, Inc.
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. American Bar Association	2/2/2018--2/5/2018	Vancouver, Canada	Attend ABA Midyear Meeting	Airfare
2. Louisville Bar Association	2/2/2018--2/2/2018	Vancouver, Canada	Attend ABA Midyear Meeting	Lodging, Meals, Local Transportation
3. Louisville Bar Association	8/3/2018--8/7/2018	Chicago, IL	Attend ABA Annual Meeting	Airfare, Lodging, Meals, Local Transportation
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 17

Name of Person Reporting

Lindsay, Colin H.

Date of Report

5/15/2019

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.	Peter and Victoire Gardner	Airfare and lodging to attend their daughter's wedding in Reims, France	\$3,503.34
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.	Bank of America	Credit card	K
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 17

Name of Person Reporting

Lindsay, Colin H.

Date of Report

5/15/2019

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. 529 # 1 (H)									
2. Alliance Bernstein CollegeBoundfund 529	E	Distribution	K	T	Distributed (part)	01/22/18	J		
3.					Distributed (part)	5/25/18	J		
4.					Distributed (part)	08/06/18	J		
5.					Distributed (part)	12/03/18	J		
6. IRA # 1 (H)									
7. American Funds Capital Income Builders Fund	B	Dividend	L	T	Buy (add'l)	01/25/18	J		
8.					Buy (add'l)	04/25/18	J		
9.					Sold (part)	06/27/18	J	D	
10.					Sold (part)	07/25/18	J	C	
11.					Buy (add'l)	08/10/18	J		
12.					Buy (add'l)	10/25/18	J		
13. American Funds New World Fund	A	Dividend	K	T	Sold (part)	01/25/18	J	A	
14.					Buy (add'l)	04/25/18	J		
15.					Sold (part)	07/25/18	J	A	
16.					Buy (add'l)	08/10/18	J		
17.					Buy (add'l)	10/25/18	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 5 of 17

Name of Person Reporting

Lindsay, Colin H.

Date of Report

5/15/2019

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. American Funds The Growth Fund of America	C	Dividend	K	T	Sold (part)	07/25/18	J	C	
19.					Buy (add'l)	08/10/18	J		
20.					Buy (add'l)	10/25/18	J		
21. AQR Managed Funds Strategy Funds		None	J	T	Sold (part)	01/25/18	J	A	
22.					Buy (add'l)	04/25/18	J		
23.					Buy (add'l)	07/25/18	J		
24.					Buy (add'l)	08/10/18	J		
25.					Sold (part)	10/25/18	J	B	
26. Charles Schwab Money Market Account	A	Interest	K	T					
27. Calvert Global Energy Fund	A	Dividend	J	T	Sold (part)	01/25/18	J	A	
28.					Buy (add'l)	04/25/18	J		
29.					Buy (add'l)	08/10/18	J		
30.					Buy (add'l)	10/25/18	J		
31. Cohen & Steers Realty Fund	A	Dividend	J	T	Buy (add'l)	01/25/18	J		
32.					Buy (add'l)	04/25/18	J		
33.					Buy (add'l)	07/25/18	J		
34.					Buy (add'l)	08/10/18	J		

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		

FINANCIAL DISCLOSURE REPORT

Page 6 of 17

Name of Person Reporting

Lindsay, Colin H.

Date of Report

5/15/2019

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.					Sold (part)	10/25/18	J	A	
36. Davis New York Venture Fund	C	Dividend	K	T	Sold (part)	01/25/18	J	A	
37.					Buy (add'l)	04/25/18	J		
38.					Buy (add'l)	08/10/18	J		
39.					Buy (add'l)	10/25/18	J		
40. Delaware Diversified Income Fund	A	Dividend	K	T	Sold (part)	01/25/18	J	D	
41.					Sold (part)	04/25/18	J	A	
42.					Sold (part)	07/25/18	J	A	
43.					Buy (add'l)	08/10/18	J		
44.					Sold (part)	10/25/18	J	C	
45. Diamond Hill Long Short Fund	A	Dividend	J	T	Buy (add'l)	01/25/18	J		
46.					Buy (add'l)	04/25/18	J		
47.					Sold (part)	07/25/18	J	B	
48.					Buy (add'l)	08/10/18	J		
49.					Sold (part)	10/25/18	J	A	
50. Eaton Vance Floating Rate Fund	B	Dividend	K	T	Buy (add'l)	01/25/18	J		
51.					Sold (part)	04/25/18	J	B	

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 17

Name of Person Reporting

Lindsay, Colin H.

Date of Report

5/15/2019

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.					Sold (part)	06/27/18	J	D	
53.					Buy (add'l)	07/25/18	J		
54.					Buy (add'l)	08/10/18	J		
55.					Sold (part)	10/25/18	J	D	
56. Fidelity Advisor Materials Fund	B	Dividend	K	T	Buy (add'l)	01/25/18	J		
57.					Buy (add'l)	04/25/18	J		
58.					Sold (part)	07/25/18	J	A	
59.					Buy (add'l)	08/10/18	J		
60.					Buy (add'l)	10/25/18	J		
61. Fidelity MSCI Health Care Index ETF(X)	A	Dividend	J	T	Sold (part)	01/25/18	J	A	
62.					Buy (add'l)	04/25/18	J		
63.					Sold (part)	07/25/18	J	B	
64.					Buy (add'l)	08/10/18	J		
65.					Buy (add'l)	10/25/18	J		
66. First Eagle Overseas Fund	B	Dividend	K	T	Buy (add'l)	01/25/18	J		
67.					Buy (add'l)	04/25/18	J		
68.					Sold (part)	07/25/18	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 \$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 8 of 17

Name of Person Reporting

Lindsay, Colin H.

Date of Report

5/15/2019

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.					Buy (add'l)	08/10/18	J		
70.					Sold (part)	10/25/18	J	A	
71. IShares Convertible Bond	A	Dividend	J	T	Buy (add'l)	01/25/18	J		
72.					Sold (part)	04/25/18	J	A	
73.					Buy (add'l)	07/25/18	J		
74.					Buy (add'l)	08/10/18	J		
75.					Sold (part)	10/25/18	J	A	
76. IShares Total USD Bond Market ETF	A	Dividend	K	T	Buy	01/25/18	K		
77.					Sold (part)	04/25/18	J	A	
78.					Sold (part)	07/25/18	J	A	
79.					Buy (add'l)	08/10/18	J		
80.					Sold (part)	10/25/18	J	A	
81. Oppenheimer Developing Markets Fund	A	Dividend	K	T	Sold (part)	01/25/18	J	B	
82.					Buy (add'l)	04/25/18	J		
83.					Sold (part)	07/25/18	J	A	
84.					Buy (add'l)	08/10/18	J		
85.					Buy (add'l)	10/25/18	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 \$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 17

Name of Person Reporting

Lindsay, Colin H.

Date of Report

5/15/2019

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. PIMCO Commodity Real Return Strategy Fund	B	Dividend	K	T	Buy (add'l)	01/25/18	J		
87.					Sold (part)	04/25/18	J	A	
88.					Buy (add'l)	07/25/18	J		
89.					Buy (add'l)	08/10/18	J		
90.					Sold (part)	10/25/18	J	D	
91. ROYCE Opportunity Fund	B	Dividend	K	T	Buy (add'l)	01/25/18	J		
92.					Sold (part)	04/25/18	J	A	
93.					Buy (add'l)	07/25/18	J		
94.					Buy (add'l)	08/10/18	J		
95.					Buy (add'l)	10/25/18	J		
96. Segall, Bryant & Hamill Plus Bond (FKA Westcore Plus Bond Fund)	A	Dividend	K	T	Sold (part)	01/25/18	J	D	
97.					Sold (part)	04/25/18	J	D	
98.					Sold (part)	07/25/18	J	C	
99.					Buy (add'l)	08/10/18	J		
100.					Sold (part)	10/25/18	J	A	
101. Templeton Global Bond Fund (FKA Franklin Templeton Global Bond Fund)	C	Dividend	K	T	Buy (add'l)	01/25/18	J		
102.					Sold (part)	04/25/18	J	B	

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 17

Name of Person Reporting

Lindsay, Colin H.

Date of Report

5/15/2019

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)
103.					Sold (part)	07/25/18	J	A	
104.					Buy (add'l)	08/10/18	J		
105.					Sold (part)	10/25/18	J	C	
106. Vanguard Developing Markets Fund	B	Dividend	K	T	Sold (part)	01/25/18	J	B	
107.					Buy (add'l)	04/25/18	J		
108.					Sold (part)	07/25/18	J	A	
109.					Buy (add'l)	10/25/18	J		
110. Vanguard Inflation Protected SECS ADM SHR (X)	A	Dividend	J	T	Buy (add'l)	01/25/18	J		
111.					Sold (part)	04/25/18	J	A	
112.					Sold (part)	07/25/18	J	A	
113.					Sold (part)	10/25/18	J	A	
114. Vanguard Mid Cap ETF	A	Dividend	K	T	Sold (part)	01/25/18	J	B	
115.					Buy (add'l)	04/25/18	J		
116.					Sold (part)	07/25/18	J	C	
117.					Buy (add'l)	08/10/18	J		
118.					Buy (add'l)	10/25/18	J		
119. VOYA International Real Estate Fund (FKA ING International RE Fund)	A	Dividend	J	T	Sold (part)	01/25/18	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 11 of 17

Name of Person Reporting

Lindsay, Colin H.

Date of Report

5/15/2019

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)
120.					Buy (add'l)	04/25/18	J		
121.					Sold (part)	07/25/18	J	A	
122.					Buy (add'l)	08/10/18	J		
123.					Buy (add'l)	10/25/18	J		
124. Wasatch Small Cap Growth Fund	C	Dividend	J	T	Sold (part)	01/25/18	J	B	
125.					Sold (part)	04/25/18	J	A	
126.					Buy (add'l)	07/25/18	J		
127.					Buy (add'l)	08/10/18	J		
128.					Buy (add'l)	10/25/18	J		
129. IRA # 2 (H)									
130. American Funds Balanced Fund		None			Open	11/14/18	K		
131.					Sold	11/20/18	K	E	
132. American Funds Capital Income Builder	A	Dividend	J	T	Sold (part)	07/26/18	J	A	
133.					Sold (part)	10/26/18	J	A	
134.					Buy (add'l)	11/20/18	J		
135. American Funds New World Fund	A	Dividend	J	T	Buy (add'l)	11/20/18	J		
136. American Funds The Growth Fund of America	A	Dividend	J	T	Sold (part)	07/25/18	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 12 of 17

Name of Person Reporting

Lindsay, Colin H.

Date of Report

5/15/2019

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)
137.					Buy (add'l)	11/20/18	J		
138. AQR Managed Future Strategy Fund	A	Dividend	J	T	Buy (add'l)	07/25/18	J		
139.					Sold (part)	10/25/18	J	A	
140.					Buy (add'l)	11/20/18	J		
141. Calvert Global Energy Fund	A	Dividend	J	T	Buy (add'l)	04/25/18	J		
142.					Buy (add'l)	07/25/18	J		
143.					Buy (add'l)	10/25/18	J		
144.					Buy (add'l)	11/20/18	J		
145. Charles Schwab Money Market Account	A	Interest	J	T					
146. Cohen & Steers Realty Fund	A	Dividend	J	T	Buy (add'l)	04/25/18	J		
147.					Buy (add'l)	11/20/18	J		
148. Davis New York Venture Fund	A	Dividend	J	T	Buy (add'l)	07/25/18	J		
149.					Buy (add'l)	10/25/18	J		
150.					Buy (add'l)	11/20/18	J		
151. Delaware Diversified Income Fund	A	Dividend	J	T	Sold (part)	01/25/18	J	A	
152. Diamond Hill Long Short Fund	A	Dividend	J	T	Buy (add'l)	11/20/18	J		
153. Eaton Vance Floating Rate Fund	A	Dividend	J	T	Buy (add'l)	01/25/18	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 13 of 17

Name of Person Reporting

Lindsay, Colin H.

Date of Report

5/15/2019

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)
154.					Sold (part)	04/25/18	J	A	
155.					Sold (part)	10/25/18	J	A	
156.					Sold (part)	10/26/18	J	A	
157.					Buy (add'l)	11/20/18	J		
158. Fidelity Advisor Materials Fund	A	Dividend	J	T	Buy	07/25/18	J		
159.					Buy (add'l)	11/20/18	J		
160. Fidelity MSCI Health Care Index ETF	A	Dividend	J	T	Buy (add'l)	01/25/18	J		
161.					Buy (add'l)	04/25/18	J		
162.					Buy (add'l)	10/25/18	J		
163.					Buy (add'l)	11/20/18	J		
164. First Eagle Overseas Fund	A	Dividend	J	T	Buy (add'l)	01/25/18	J		
165.					Buy (add'l)	07/25/18	J		
166.					Sold (part)	10/25/18	J	A	
167.					Buy (add'l)	11/20/18	J		
168. iShares Convertible Bond ETF	A	Dividend	J	T	Sold (part)	07/25/18	J	A	
169.					Buy (add'l)	11/20/18	J		
170. iShares Total USD Bond Market ETF	A	Dividend	J	T	Buy (add'l)	01/25/18	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 14 of 17

Name of Person Reporting

Lindsay, Colin H.

Date of Report

5/15/2019

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)
171.					Buy (add'l)	11/20/18	J		
172. Oppenheimer Developing Markets Fund	A	Dividend	J	T	Sold (part)	01/25/18	J	A	
173.					Buy (add'l)	04/25/18	J		
174.					Buy (add'l)	10/25/18	J		
175.					Buy (add'l)	11/20/18	J		
176. PIMCO Commodity Real Return Strategy Fund	A	Dividend	J	T	Buy (add'l)	01/25/18	J		
177.					Sold (part)	04/25/18	J	A	
178.					Buy (add'l)	07/25/18	J		
179.					Sold (part)	10/25/18	J	A	
180.					Buy (add'l)	11/20/18	J		
181. ROYCE Opportunity Fund	A	Dividend	J	T	Buy (add'l)	01/25/18	J		
182.					Sold (part)	07/25/18	J	A	
183.					Buy (add'l)	10/25/18	J		
184.					Buy (add'l)	11/20/18	J		
185. Templeton Global Bond Fund (FKA Franklin Templeton Global Bond Fund)	A	Dividend	J	T	Buy (add'l)	01/25/18	J		
186.					Sold (part)	04/25/18	J	A	
187.					Buy (add'l)	07/25/18	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 \$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 15 of 17

Name of Person Reporting

Lindsay, Colin H.

Date of Report

5/15/2019

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)
188.					Sold (part)	10/25/18	J	A	
189.					Sold (part)	10/26/18	J	A	
190.					Buy (add'l)	11/20/18	J		
191. Vanguard Developing Markets Fund	A	Dividend	J	T	Sold (part)	01/25/18	J	A	
192.					Buy (add'l)	07/25/18	J		
193.					Buy (add'l)	10/25/18	J		
194.					Buy (add'l)	11/20/18	J		
195. Vanguard Midcap ETF	A	Dividend	J	T	Buy (add'l)	11/20/18	J		
196. VOYA International Real Estate Fund (FKA ING Real Estate Fund)	A	Dividend	J	T	Buy (add'l)	10/25/18	J		
197.					Buy (add'l)	11/20/18	J		
198. Wasatch Small Cap Growth Fund	A	Dividend	J	T	Sold (part)	01/25/18	J	A	
199.					Sold (part)	04/25/18	J	A	
200.					Sold (part)	07/25/18	J	A	
201.					Buy (add'l)	11/20/18	J		

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		

FINANCIAL DISCLOSURE REPORT

Page 16 of 17

Name of Person Reporting

Lindsay, Colin H.

Date of Report

5/15/2019

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

Part VII. Investments and Trusts-Spouse's account is small and most transactions were not above the \$1000.00 threshold.

Part VII. Investments and Trusts-Templeton Global Bond Fund was FKA Franklin Templeton Global Bond Fund.

Part VII. Investments and Trusts-Per Amendment Request: Lines 16 & 65 (Listed as lines 14 & 62 in the admendment request) Charles Schwab Money Markets are indeed accurate on the initial report. The interest generated on these two accounts is a very nominal amount(less than \$5.00 in each account) The amount in these accounts is less than \$15,000.

Part VII. Investments and Trusts-Per Admendment Request: Line 47 (2015 Admended) report listed "Dreyfus Midcap Index Fund" but it was not listed in the 2016 report. This asset was listed as Sold on the 2015 report. It had a "sold" date of 8/17/2015

Part VII. Investments and Trusts-Scout International was sold in 2016, so not listed on this report.

2018 Report

Part VII. Investments and Trusts- Westcore Plus Bond Fund is now called Segall Bryant & Hamill Plus Bond Fund

Part VII. Investments and Trusts-Calamos Groth and Income Fund was removed from the account on 10/25/17-so not on 2018 report

Part VII. Investments and Trusts-Franklin Utilities Fund was removed from this account on 1/26/17-so not on 2018 report

Part VII. Investments and Trusts-American Balanced Fund in IRA # 2 was transferred in on 11/14/18 and then sold on 11/20/18 to invest in a diversified portfolio.

Part VII. Investments and Trusts-iShares Total USD Bond Market ETF was added to the accounts on 1/25/18,

FINANCIAL DISCLOSURE REPORT

Page 17 of 17

Name of Person Reporting

Lindsay, Colin H.

Date of Report

5/15/2019

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/ Colin H. Lindsay

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