

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) Stout, Alan C.	2. Court or Organization U.S. Bankruptcy Court Western District of Kentucky	3. Date of Report 10/7/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge - Active	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 Suite 533 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.	President	Stout Development Inc.
2.	President/Director	Fohs Hall, Inc.
3.	Board of Trustees	Murray State University Foundation
4.	President	[REDACTED] Condominium Association
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. 1986-2006	Kentucky Employee Retirement Systems (KERS), No control
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Stout, Alan C.

Date of Report

10/7/2019

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. 2018	Kentucky Retirement Systems (Pension)	\$52,900.56
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.	ABI	3/3/18-3/6/18	New York, New York	Judged National Moot Court Competition	Food, lodging and airfare
2.	Federal Bar Association, Bankruptcy Section	7/26/18-7/29/18	Traverse City MI	Presented & attended seminar	Food, Lodging & airfare
3.	NABT	8/15/18-8/19/18	Amelia Island FL	Presented & attended Seminar and Annual Conference	Food, Lodging & airfare
4.	NABT	9/25/18-9/26/18	Washington DC	Provided testimony before House Judiciary Subcommittee on pending legislation	Food, Lodging & airfare

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting Stout, Alan C.	Date of Report 10/7/2019
---	--

5.	NCBJ	10/27/18-11/1/18	San Antonio TX	Attended Annual Conference	Food, Lodging & airfare
----	------	------------------	----------------	----------------------------	-------------------------

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Stout, Alan C.

Date of Report

10/7/2019

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.			
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.	Farmers Bank & Trust	Line of Credit secured by Commercial Real Estate Mortgage	L
2.	Edward Jones	Loan	L
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

Stout, Alan C.

Date of Report

10/7/2019

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. EJ Joint Investment Acct. Fr									
2. a. American Balanced Fund CL A	D	Dividend	M	T					
3. b. American Mutual Fund CL A	D	Dividend	M	T					
4. c Capital Income Builder Fund CLA	D	Dividend	M	T					
5. d. Income Fund of America A	D	Dividend	M	T					
6. EJ IRA									
7. a. Goldman Sachs - Group Bond	F	Dividend	P1	T					
8. b. Income Fund of America - Mutual Fund	F	Dividend	P1	T					
9. c. Bond Fund of America - Mutual Fund	F	Dividend	P1	T					
10. d Capital Income Builder Fund - Mutual Fund	F	Dividend	P1	T					
11. e. Capital World GRW & Inc Fund - Mutual Fund	F	Dividend	P1	T					
12. f Growth Fund of America - Mutual Fund	F	Dividend	P1	T					
13. g. Investment Co of America - Mutual Fund	F	Dividend	P1	T					
14. h Fundamental Investors Fund	F	Dividend	P1	T					
15. i American Internation Growth (X)	F	Dividend	P1	T					
16. jAMCAP Fund Class A	F	Dividend	P1	T					
17. k New World Fund (X)	F	Dividend	P1	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

Stout, Alan C.

Date of Report

10/7/2019

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. EJ 529 College Savings Plans CAFAX	A	Dividend	J	T					
19. Amerprise Financial Accts									
20. a. RiverSource Universal Life Ins - Traditional Universal Whole Life		None	L	T					
21. b. SGIIX	C	Dividend	N	T					
22. c. REZ	C	Dividend	N	T					
23. e. SPHQ	C	Dividend	N	T					
24. f UBVSX	C	Dividend	N	T					
25. h. VEVY	C	Dividend	N	T					
26. i. HIEMX	C	Dividend	N	T					
27. j USD	C	Dividend	N	T					
28. k LSIZX	C	Dividend	N	T					
29. l WACPX	C	Dividend	N	T					
30. m PIMSX	C	Dividend	N	T					
31. n IYR	C	Dividend	N	T					
32. LFCU - Savings Account	A	Interest	J	T					
33. Farmers Bancorp (Stock)	E	Dividend	O	T					
34. FBTC. (CD & Savings)	A	Interest	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 \$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 7 of 9

Name of Person Reporting

Stout, Alan C.

Date of Report

10/7/2019

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. Condo Grand Rivers, Livingston Co. KY	D	Rent	M	W					
36. Real Estate, Marion, Crittenden Co., KY	B	Rent	L	W					
37. Marriott Vacation Time Share		None	K	W					
38. Stout Development Inc. Stock		None	J	W					
39. Real Estate - Benton, Marshall Co., KY		None	J	W					
40. Real Estate, Marion, Crittenden Co., KY (subject to Life Est.)		None	L	W					
41. US SAVINGS BONDS	A	Interest			Sold	04/19/18	J		USA
42. Real Estate Jefferson Co. KY		None	N	W					
43.									
44.									
45.									
46.									
47.									
48.									
49.									
50.									
51.									

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 8 of 9

Name of Person Reporting

Stout, Alan C.

Date of Report

10/7/2019

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Stout, Alan C.

Date of Report

10/7/2019

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/ Alan C. Stout

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