

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) simpson, charles r.	2. Court or Organization kywd	3. Date of Report 03/22/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) senior/dist	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 #247 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. Third Study Commission President	International assn of judges
2. Executive Committee	Federal judges Assn
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

simpson, charles r.

Date of Report

03/22/2019

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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 11/28/2018	State Court Jury Duty	\$18.50
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.)*

DATE	SOURCE 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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. Federal Judges Assn	5/4-5/8	Washington DC	Board Meeting	Transport, meals, lodging
2. Federal Judges Assn	10/12-10/20	Marrakech, Morocco	meeting	Transport, meals, lodging
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

simpson, charles r.

Date of Report

03/22/2019

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 10

Name of Person Reporting

simpson, charles r.

Date of Report

03/22/2019

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. Transcend CU (formerly Ky telco fed cu)	A	Interest	L	T					
2. Louv. fed CU	A	Interest	M	T					
3. Dupree Intermed. govt bond ser	A	Dividend			Sold	04/13/18	K	A	
4. Dupree Taxable Muni Bond ser	B	Dividend	K	T	Buy	04/13/18	K		
5. Dupree Taxable Muni Bond ser	B	Dividend			Sold (part)	11/01/18	J	A	
6. vanguard Totl Stk Mkt idx fnd	C	Dividend	L	T					
7. HH bonds	A	Interest	K	T	Sold (part)	06/05/18	J	D	
8. Stockyrds bk acct	A	Interest	M	T					
9. dupree ky tax-free	D	Dividend	M	T					
10. A									
11. Vanguard Prime MM Fnd	A	Dividend	J	T					
12. Vanguard federal MM Fund	A	Dividend	J	T					
13. Churchill downs com	A	Dividend	K	T					
14. johnson outdrs com	A	Dividend	K	T					
15. Vangrd totl stk mkt idx admiral fd	B	Dividend	L	T					
16. van guard Short-term Treas.adm fd	B	Dividend	M	T					
17. Vanguard adm treas mm fd	A	Dividend	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 \$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 5 of 10

Name of Person Reporting

simpson, charles r.

Date of Report

03/22/2019

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 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. C									
19. Vanguard Fed MM Fnd	A	Dividend	J	T					
20. Vanguard Prime MM Fund	A	Dividend	K	T	Sold (part)	06/01/18	K	A	
21. Churchill Downs com	A	Dividend	K	T					
22. Washington Prime Group com (CUSIP change from WP Glimcher Com	A	Dividend	J	T					
23. Johnson Outdoors com	A	Dividend	K	T					
24. ventas com	C	Dividend	L	T					
25. SABRA Health Care comm	A	Dividend	J	T					
26. Vanguard totla stock mkt idx ADM fd	D	Dividend	N	T					
27. Vanguard Short-term treas ADM fd	A	Dividend	L	T					
28. Vanguard Admiral trsry mm fd	A	Dividend			Sold	06/01/18	J	A	
29. B									
30. Vanguard Fed MM Fnd	A	Dividend	J	T					
31. Churchill Downs com	A	Dividend	L	T					
32. Encompass Health Corp com (formerly HealthSouth)	A	Dividend	J	T					
33. National Hlth invs com	B	Dividend	K	T					
34. ventas com	B	Dividend	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

simpson, charles r.

Date of Report

03/22/2019

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. SABRA Health Care comm	A	Dividend	J	T					
36. Vanguard Tax-managed Cap Apprec Adm fd	D	Dividend	O	T					
37. Devel Markets Idx fd (formerly Vanguard Tax-managed Int'l fd)	B	Dividend	L	T					
38. vanguard Tax-managed sm Cap fd	B	Dividend	M	T					
39. Municipal Money Market Fund (formerly Vanguard Tax-Exempt mm fd)	A	Dividend	K	T					
40. Vanguard Trsy (Admiral) MM fd	D	Dividend	O	T					
41. D									
42. Vanguard Fed MM Fnd	A	Dividend	K	T	Buy (add'l)	06/01/18	J		
43. "	A	Dividend	K	T	Buy (add'l)	06/04/18	K		
44. Dreyfus Strategis Municipals fd	A	Dividend	J	T					
45. GE com	A	Dividend	J	T					
46. Nextera com	A	Dividend	K	T					
47. Devel Markets idx fd (formerly Vanguard Tax-mang Int'l fd)	A	Dividend	J	T					
48. Vanguard Tax-Managed Small Cap fd	A	Dividend	K	T					
49. Vanguard Municipal Money Mkt Fnd (formerly Vanguard Tax-Exempt MM fd)	A	Dividend	J	T					
50. vanguard Trsy MM fd	A	Dividend	J	T					
51. Vanguard Tax-Managed Cap. Apprec. Admiral Fund	B	Dividend	M	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 7 of 10

Name of Person Reporting

simpson, charles r.

Date of Report

03/22/2019

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. Investment Club #1									
53. -Wells Fargo Bank NA (bank acct.)	A	Int./Div.	K	T					
54. -Air Products & Chemicals com	B	Dividend	K	T	Buy (add'l)	09/12/18	K		
55. -Allstate Corp com	A	Dividend	K	T	Buy	09/12/18	K		
56. "	A	Dividend	K	T	Buy (add'l)	11/14/18	J		
57. -Alphabet Inc. Com	A	Dividend	L	T					
58. -Amazon Com Inc. com	A	Dividend	K	T					
59. -American Tower Com	A	Dividend	K	T					
60. -Apple Com	B	Dividend	L	T					
61. -Berkshire Hathaway Cl B Com	A	Dividend	L	T					
62. -Brown-Forman A com'	A	Dividend	K	T	Buy	03/14/18	K		
63. -CVS Health Corp. com	A	Dividend	K	T					
64. -Chubb LTD com	A	Dividend			Sold	07/11/18	K	A	
65. -Churchill Downs com	A	Dividend	K	T					
66. -Colgate palmolive Com	A	Dividend			Sold	05/02/18	K	D	
67. -Diageo PLC ADR Com	A	Dividend	K	T					
68. -Exxon Mobile Com	B	Dividend			Sold	05/02/18	K	D	

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 10

Name of Person Reporting

simpson, charles r.

Date of Report

03/22/2019

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. -Facebook Inc. Com	A	Dividend	K						
70. -Fiserv Inc. Com	A	Dividend	L	T					
71. -Halliburton Com	A	Dividend	K	T					
72. -Home Depot com	B	Dividend	L	T					
73. -McDonalds Com	B	Dividend	L	T					
74. -Norfolk Southern Corp Com	B	Dividend	L	T					
75. -Schlumberger com	A	Dividend	J	T	Buy	05/09/18	K		
76. Southwest Airlines com	A	Dividend	J	T	Buy	11/14/18	K		
77. Tencent Holdings ADR com	A	Dividend			Buy	01/10/18	K		
78. "	A	Dividend			Buy (add'l)	05/09/18	K		
79. "	A	Dividend			Sold	11/14/18	K	A	
80. -Visa Inc Cl A com	A	Dividend	L	T					
81. -Waters Corp Com	A	Dividend	L	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 9 of 10

Name of Person Reporting

simpson, charles r.

Date of Report

03/22/2019

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

Lines 11-12 and 19-20 Funds were not combined as erroneously reported last year, so I have separated them correctly in this report.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

simpson, charles r.

Date of Report

03/22/2019

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/ **charles r. simpson**

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