

FINANCIAL DISCLOSURE REPORT

Calendar Year 2003

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (Last name, First name, Middle initial) Bertelsman, William O	2. Court or Organization KY-ED	3. Date of Report 5/4/2004
4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (Senior)	5. Report Type (check appropriate type) ☐ Nomination, ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 1/1/2003 to 12/31/2003
7. Chambers or Office Address 35 West Fifth Street, Rm. 505 P. O. Box 1012 Covington, KY 41012-1012	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	

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. Sign 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. Adjunct Teacher (part-time)(one class)	Salmon P. Chase College of Law, Northern Kentucky University, Highland Heights, KY
2. Executor	[REDACTED] Estate - Closed 11/03
3. Owner	529 Trust Plans #1-#9

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☒ NONE - (No reportable agreements.)

DATE	PARTIES AND TERMS
1. _____	_____

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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>GROSS INCOME</u> (yours, not spouse's)
1. 2003	Salmon P. Chase College of Law -- teaching fee	2,550.00

B. Spouse's Non-Investment Income - (If you were married during any portion of the reporting year, please 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. 2003	Council on Postsecondary Education

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

☐ **NONE** - (No such reportable reimbursements.)

<u>SOURCE</u>	<u>DESCRIPTION</u>
1. George Mason University School of Law	Attendance at "Federalist Paper" seminar in LaJolla, California on March 6-9, 2003 (air travel, food and lodging)

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V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of instructions.)

☒ **NONE** - (No such reportable gifts.)

SOURCE

DESCRIPTION

VALUE

1. _____

VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-34 of instructions.)

☒ **NONE** - (No reportable liabilities.)

CREDITOR

DESCRIPTION

VALUE CODE

1. _____

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VII. INVESTMENTS and TRUSTS

-- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

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, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions)									
1. Victory Gradison Government Reserve	A	Dividend	J	T					
2. Dreyfus Municipal Bond Fund	B	Interest	K	T					
3. Dreyfus Intermediate Municipal Bond Fund	C	Interest	L	T					
4. Dreyfus Gold Fund		None	K	T					
5. Victory Tax Free Fund	A	Dividend	J	T					
6. Legg Mason Europe Fund (stock)	A	Dividend	J	T					
7. U.S. Bank, Fort Thomas, KY	A	Interest	J	T					
8. Dreyfus Short Intermedidate Municipal Bond Fund	B	Interest	L	T					
9. Dupree, Kentucky- Short/Med. Fund	A	Interest	L	T					
10. Dupree, Kentucky - Tax Free Fund	B	Interest	K	T					
11. Two Undeveloped Lots in Charlotte Co., Florida		None	J	W					
12. Two Undeveloped Lots in Port Charlotte, Florida		None	J	W					
13. Lewis County, Kentucky (School) [REDACTED]	A	Interest			Redeem	11/3	J	A	
14. Providence Montessori Kentucky (School) [REDACTED]	A	Interest	J	T					
15. Fifth Third Bank (Account)	A	Interest	J	T					
16. Star Bank Stellar Fund	A	Dividend	K	T					
17. Citizens Bank of Campbell County, KY [REDACTED]	A	Dividend	K	T					
18. Fifth Third Bank, Fort Thomas, KY [REDACTED]	A	Dividend	M	T					

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 = \$250,000-\$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

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	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amount Code 1 (A-H)	Type (e.g. div. rent. or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g. buy, sell, merger, redemption)	(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
19. Victory Established Value Fund G	A	Dividend	K	T					
20. Dreyfus Growth & Income Fund	A	Dividend	J	T					
21. Paintsville, Kentucky (School) [REDACTED]	B	Interest			Redeem	5/1	K	A	
22. Estill County, Kentucky PPC [REDACTED]	A	Interest	K	T					
23. Kentucky League of Cities (Dayton, KY) [REDACTED]	A	Interest	J	T					
24. Kentucky League of Cities (Dayton, KY) [REDACTED]	A	Interest	K	T					
25. Victory Gradison Government Reserve	A	Dividend	K	T					
26. Floyd County, Kentucky (School) [REDACTED]	A	Interest	J	T					
27. Bank of Kentucky (Account)	C	Interest	L	T					
28. Lincoln County, KY (Public Property) [REDACTED]	A	Interest	J	T					
29. Procter & Gamble - Common stock	A	Dividend	K	T					
30. Citizens Bank of Campbell Co., Kentucky (Accounts)	D	Interest	M	T					
31. Victory Small Company Fund	A	Dividend	J	T					
32. NCR Corp. (common stock)		None	J	T					
33. Pomeroy Computer Res. (Common stock)		None	J	T					
34. BankAmerica Corp. (Common stock)	A	Dividend	K	T					
35. Lexington-Fayette County, KY(Sewer) [REDACTED]	A	Interest	J	T	Redeem	12/1	J	A	
36. Bank of Kentucky (Account)	C	Interest	L	T					

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37. United States Savings Bonds (I)	B	Interest	L	T					
38. Kentucky Interlocal School [REDACTED] (due 12/1/04)	A	Interest	J	T					
39. Star Bank (Account)	A	Interest	J	T					
40. Carrollton & Henderson KY (Public Energy) [REDACTED]	A	Interest	J	T					
41. American Int'l Group, Inc.	A	Dividend	K	T					
42. Conagra Foods, Inc.	A	Dividend	J	T					
43. First Data Corp.	A	Dividend	K	T					
44. Sherwin Williams	A	Dividend	J	T					
45. Tyco International Ltd.	A	Dividend	J	T					
46. Worldcom, Inc. - Worldcom Group	A	Dividend			Sold	1/22	J	A	
47. Worldcom, Inc. - MCI Group	A	Dividend			Sold	1/22	J	A	
48. Scudder Dreman High Return Fund	A	Dividend	K	T					
49. Russell County, KY Hospital	A	Interest	K	T					
50. Mill Valley One Ltd. (Ltd. partnership) (promissory note)	A	Interest	J	T					
51. American Express Co.	A	Dividend	J	T					
52. Kroger Co.	A	Dividend	J	T					
53. Merck & Company, Inc.	A	Dividend	J	T					
54. Sun Microsystems, Inc.		None	J	T	Partial Sale	12/26	J	A	

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55. Ross Sinclair Brokerage(Account)	A	Dividend	J	T					
56. Harlan County, KY Health Care Facs Laurel Prj	A	Interest	K	T					
57. Eastern Ky Univ Revs Sys Due 2/1/09	A	Interest	J	T					
58. Victory Stock Index Fund (Account)	A	Dividend	J	T					
59. Barbourville Ky EDL Bldg Rev (Union College)	A	Interest	J	T					
60. Victory Gradison Government Reserve #3	A	Dividend	J	T					
61. Kentucky State Property & Bldg.	A	Interest	K	T					
62. J.M.Smucker Co.	A	Dividend	J	T					
63. Ageere Systems Inc.	A	Dividend	J	T					
64. Comcast Corp. Class A	A	Dividend	J	T					
65. 529 Trust #1	B	Interest	M	T					
66. 529 Trust #2	B	Interest	M	T					
67. 529 Trust #3	B	Interest	M	T					
68. 529 Trust #4	B	Interest	M	T					
69. 529 Trust #5	B	Interest	M	T					
70. 529 Trust #6	B	Interest	M	T					
71. **Allstate Corp.	D	Dividend	N	T					
72. **BP PLC	B	Dividend	L	T					

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73. ** Broadwing	A	Dividend			Sell	5/28	J	A	
74. ** Burlington No. Santa Fe	A	Dividend	J	T					
75. ** Burlington Resources	A	Dividend	J	T					
76. ** Chevron-Texaco Corp.	B	Dividend	K	T					
77. ** Cinergy Corp.	A	Dividend	J	T					
78. **Clorox Co.	B	Dividend	K	T					
79. ** Coca Cola Co.	A	Dividend			Sell	1/9	K	A	
80. ** Comforce Corp.	A	Dividend			Sell	1/9	J	A	
81. ** Conoco Phillips	A	Dividend	J	T					
82. ** Convergys Corp.	A	Dividend			Sell	12/26	J	A	
83. ** El Paso Corp.	A	Dividend			Sell	1/9	J	A	
84. ** Exxon Mobil Corp.	A	Dividend	K	T					
85. ** General Mills Inc.	A	Dividend	K	T					
86. ** International Aluminum Corp.	A	Dividend			Sell	1/9	J	A	
87. ** Kerr McGee Corp.	A	Dividend	J	T					
88. ** Pepsico Inc.	B	Dividend	M	T	Partial Sale	12/26	K	A	
89. ** Pfizer, Inc.	C	Dividend	M	T					
90. ** Procter & Gamble Co.	E	Dividend	O	T	Partial Gift	12/1	M	A	

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91. ** Schering Plough	B	Dividend			Sell	1/9	L	A	
92. ** J.M. Smucker	A	Dividend	J	T					
93. ** Southern Co.	C	Dividend	L	T					
94. ** Sunoco, Inc.	A	Dividend	K	T					
95. ** U.S. Industries, Inc.	A	Dividend			Sell	1/9	J	A	
96. ** Wachovia Corp.	A	Dividend	J	T					
97. ** Whirlpool Corp.	A	Dividend	J	T					
98. ** Wisconsin Energy Corp.	B	Dividend	K	T					
99. ** Xcel Energy, Inc.	A	Dividend	J	T					
100. ** Yum Brands, Inc.	A	Dividend	K	T					
101. ** U.S. Savings Bonds	A	Interest	K	T					
102. ** Dupree Mutual Funds	D	Dividend	M	T					
103. ** Citizens Bank (Accounts)	A	Interest			Closed	11/15	M	A	
104. ** Fifth Third Bank (Account)	A	Interest			Closed	11/15	J	A	
105. ** Victory Gradison Government Reserve	A	Interest			Closed	11/15	J	A	
106. 529 Trust #7	B	Interest	M	T	Buy	1/15	M		
107. 529 Trust #8	B	Interest	M	T	Buy	1/15	M		
108. 529 Trust #9	B	Interest	M	T	Buy	1/15	M		

- | | | | | | |
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109. Louisville & Jefferson Co., KY Metro Sewer & Drain Bond	C	Interest	K	T	Buy	5/28	K		
110. Elizabethtown, KY Public Properties Bond	B	Interest	K	T	Buy	1/23	K		
111. University of Louisville, KY Educational Bldg. Bond	B	Interest	K	T	Buy	2/28	K		
112. Kentucky State Turnpike Authority Bond	C	Interest	K	T	Buy	1/22	K		
113. Kentucky State Property & Bldgs. Communication Revenue Bond	C	Interest	K	T	Buy	1/22	K		
114. Northern Kentucky Water District Bond	C	Interest	K	T	Buy	1/29	K		
115. Clay County, KY Justice Center Bond	B	Interest	K	T	Buy	5/14	K		
116. Owensboro, KY Public Project Bond	B	Interest	K	T	Buy	2/4	K		
117. Kentucky State Property & Bldgs Revenue Bond	C	Interest	K	T	Buy	1/22	K		
118. Louisville & Jefferson County MBIA	C	Interest	K	T	Buy	2/5	K		
119.	C	Interest			Sold	10/8	K	B	

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(See Columns C1 and D3)	N = \$250,000-\$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

Name of Person Reporting

Bertelsman, William O

Date of Report

5/4/2004

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS

(Indicate part of Report.)

All items designated with ** contained in Section VII. Investments & Trusts are in [REDACTED] Estate of which I served as Executor and which was closed in November 2003. These items are now in the name of the undersigned.

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Bertelsman, William O

Date of Report

5/4/2004

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. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature

Date May 10, 2004

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544