

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2008

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) Bertelsman, William O.	2. Court or Organization KY-ED	3. Date of Report 05/11/2009
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (Senior)	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2008 to 12/31/2008
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)(non-compensated)

Salmon P. Chase College of Law, Northern Kentucky University, Highland Heights, KY

2. Owner

529 Trust Plans #1-#9 through Kentucky Education Savings Plan and Michigan Education Program

3.

4.

5.

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.

2.

3.

COPY

Bertelsman_William_O

FINANCIAL DISCLOSURE REPORT

Page 2 of 19

Name of Person Reporting

Bertelsman, William O.

Date of Report

05/11/2009

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. 2008	Council on Postsecondary Education
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.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 19

Name of Person Reporting

Bertelsman, William O.

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05/11/2009

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 19

Name of Person Reporting

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05/11/2009

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
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. Goldline (formerly Dreyfus Gold Fund)		None	K	T					
5. Legg Mason Europe Fund (stock)	A	Dividend	J	T					
6. U.S. Bank, Fort Thomas, KY	A	Interest	J	T					
7. Dreyfus Short Intermedidate Municipal B ond Fund	B	Interest	L	T					
8. Dupree, Kentucky- Short/Med. Fund	A	Interest	L	T					
9. Dupree, Kentucky - Tax Free Fund	B	Interest	N	T					
10. Undeveloped Lots in Charlotte Co., Flo rida		None	J	T					No Value-Assessed @\$25,000
11. Fifth Third Bank (Account)	A	Interest	L	T					
12. Fifth Third Bank, Fort Thomas, KY (Comm on Shares)	A	Dividend			Sold (part)	8/13	K	A	
13. Victory Established Value Fund G	A	Dividend	L	T					
14. Dreyfus Growth & Income Fund	A	Dividend	J	T					
15. Bank of Kentucky (Account)	C	Interest	L	T					
16. Procter & Gamble - Common stock	A	Dividend	K	T					
17. Citizens Bank of Campbell Co., Kentucky (Accounts)	D	Interest			Sold	8/15	M	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 5 of 19

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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 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. Victory Small Company Fund	A	Dividend	J	T					
19. NCR Corp. (common stock)		None	J	T					
20. Pomeroy IT Solutions Res. (Common stock)		None	J	T					formerly Pomeroy C omputer
21. BankAmerica Corp. (common stock)	A	Dividend	J	T					
22. Bank of Kentucky (Account)	C	Interest	L	T					
23. United States Savings Bonds (I)	B	Interest	L	T					
24. Conagra Foods, Inc.	A	Dividend	J	T					
25. Sherwin Williams	A	Dividend	K	T					
26. Tyco International Ltd.	A	Dividend	J	T					
27. DWS Dreman High Return Fund	B	Dividend	K	T					
28. Russell County, KY Hospital	A	Interest	J	T					
29. American Express Co.	A	Dividend	J	T					
30. Kroger Co.	A	Dividend	J	T					
31. Harlan County, KY Health Care Facs Laurel Project	A	Interest	J	T					
32. Eastern KY Univ. Revs. Sys (Due 2/1/09)	A	Interest	J	T					
33. Victory Stock Index Fund (Account)	A	Dividend			Sold	6/13	J	A	
34. Barboursville, KY EDK Bldg Rev (Union Co llege)	A	Interest	J	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 = \$250,001 - \$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

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FINANCIAL DISCLOSURE REPORT

Page 6 of 19

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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				
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35. J.M. Smucker Co.	A	Dividend	J	T					
36. Comcast Corp. Class A	A	Dividend	J	T					
37. Ky Education Savings Plan 529 Trust #1	B	Interest	K	T					
38. Ky Education Savings Plan 529 Trust #2	B	Interest	K	T					
39. Michigan Education Savings Program #2	B	Interest	L	T					
40. Michigan Education Savings Program #3	B	Interest	L	T					
41. Ky Education Savings Plan 529 Trust #4	B	Interest	K	T					
42. Michigan Education Savings Program #4	B	Interest	M	T					
43. Ky Education Savings Plan 529 Trust #5	B	Interest	K	T					
44. Michigan Education Savings Program #5	B	Interest	M	T					
45. Ky Education Savings Plan 529 Trust #6	B	Interest	K	T					
46. Michigan Education Savings Program #6	B	Interest	M	T					
47. Allstate Corp.	C	Dividend			Sold	8/12	M	A	
48. BP PLC	C	Dividend	K	T					
49. Chevron-Texaco Corp.	B	Dividend	L	T					
50. Duke Energy	A	Dividend	J	T					
51. Clorox Co.	B	Dividend	L	T					

1. Income Gain Codes:
(See Columns B1 and D4)

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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
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FINANCIAL DISCLOSURE REPORT

Page 7 of 19

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52. Conoco Phillips	A	Dividend	J	T					
53. Exxon Mobil Corp.	B	Dividend	L	T					
54. General Mills, Inc.	A	Dividend	K	T					
55. Pepsico, Inc.	C	Dividend	M	T					
56. Procter & Gamble Co.	D	Dividend			Sold (part)	8/13	N	A	
57. Southern Co.	C	Dividend	L	T					
58. Sunoco, Inc.	A	Dividend	K	T					
59. Wachovia Corp.	A	Dividend			Sold	8/13	J	A	
60. Whirlpool Corp.	A	Dividend			Sold	8/13	K	A	
61. Wisconsin Energy Corp.	B	Dividend	L	T					
62. Yum Brands, Inc.	B	Dividend	L	T					
63. U.S. Savings Bonds (H)	B	Interest	K	T					
64. Michigan Education Savings Program #7	C	Interest	M	T					
65. Michigan Education Savings Program #8	C	Interest	M	T					
66. Michigan Education Savings Program #9	C	Interest	M	T					
67. Kentucky State Turnpike Authority Bond	B	Interest	L	T					
68. Kentucky State Property & Bldgs. Communication Revenue Bond	B	Interest	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 \$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 19

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69. Northern Kentucky Water District Bond	A	Interest			Sold	5/27	L	A	
70. Clay County, KY Justice Center Bond	A	Interest	K	T					
71. Owensboro, KY Public Project Bond	B	Interest			Sold	5/27	L	A	
72. Kentucky State Property & Bldgs Revenue Bond	A	Interest	L	T					
73. E-Trade Account	A	Interest	J	T					
74. Ky. State Turnpike Bond 3.6%	A	Interest	J	T					
75. Ky. State Turnpike Bond 3.75%	A	Interest			Sold	5/27	K	A	
76. Automatic Data Processing, Inc.	A	Dividend	K	T					
77. Johnson & Johnson	A	Dividend	K	T					
78. T-Rowe Price Equity Index 500	A	Dividend	K	T					
79. Templeton Foreign Fund C1 A	A	Interest	K	T					
80. American Funds Growth Fund of America	A	Dividend	K	T					
81. Ky. State Property & Bldg. Commn. Bond	A	Interest	K	T					
82. Jessamine Co., KY School 2/1/11 3.125%	A	Interest	K	T					
83. Fleming Co., KY School 2.5%	A	Interest			Redeemed	3/1	K	A	
84. J.P.Morgan Chase Bank	A	Interest			Closed	6/07	J	A	
85. Fifth Third Bank (CD)	A	Interest			Closed	6/07	J	A	

1. Income Gain Codes:

A = \$1,000 or less

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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

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FINANCIAL DISCLOSURE REPORT

Page 9 of 19

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86. Ameriprise Fin. Inc.	A	Dividend	J	T					
87. Campbell County, KY Campbell Co., Ky. Pub. Project	A	Interest			Sold	5/27	K	A	
88. Peabody Energy Group	A	Interest	J	T					
89. No. KY Water District	B	Interest			Sold	5/27	L	A	
90. KY Interlocal School School Trans.	A	Interest			Redeemed	3/1	K	A	
91. KY Asset/Liability Commission	A	Interest			Redeemed	10/1	K	A	
92. KY Economic Development Finance Authority	A	Interest			Sold	6/4	M	A	
93. KY Interlocal School (due 3/1/11)	A	Interest	K	T					
94. American High Income Trust	A	Interest	J	T					
95. American High Income Trust	A	Interest			Sold	8/13	K	A	
96. Tronox Incorporated	A	Dividend			Sold	8/13	J	A	
97. Edmonson Co., KY School Dist. Bldg. Rev.	A	Interest	K	T					
98. Middlesboro, KY School Bldg. Rev.	A	Interest	K	T					
99. Hart Co., KY Public Property	A	Interest	K	T					
100. Louisville & Jefferson Co. Metro Gov't Health	C	Interest			Redeemed	8/4	M	A	
101. Bowling Green, KY Independent (due 5/1/13)	A	Interest	K	T					
102. Broadridge Financial Solutions	A	Dividend	J	T					

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
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2. Value Codes
(See Columns C1 and D3)

J = \$15,000 or less
N = \$250,001 - \$500,000
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O = \$500,001 - \$1,000,000

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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)

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Page 10 of 19

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103. Covidien Ltd.	A	Dividend	J	T					
104. Western Union Co.	A	Dividend	K	T					
105. Patriot Coal Co.	A	Dividend	J	T					
106. Teradata Corp.	A	Dividend	J	T					
107. Spectra Energy	A	Dividend	J	T	Spinoff (from line 46)				
108. Jefferson, Ky SD Fin. Crp.	A	Interest	K	T	Buy	3/10	K		
109. Kentucky St. Prop & Bldgs (due 8/1/25)	A	Interest	L	T	Buy	5/29	L		
110. Highlands Ranch Met. Dist. (due 12/1/15)	A	Interest	M	T	Buy	11/13	M		
111. Ky. State Turnpike Authority (due 7/1/16)	A	Interest	L	T	Buy	8/1	L		
112. New York, NY (due 8/1/16)	A	Interest	L	T	Buy	7/25	L		
113. Hopkins Mn. Indpt. School (due 12/1/17)	B	Interest	L	T	Buy	7/24	L		
114. Arizona Sch. Facs. Brd. (due 9/1/17)	A	Interest	M	T	Buy	11/14	M		
115. California St. (due 8/1/18)	A	Interest	M	T	Buy	8/27	M		
116. Oklahoma Dept. Trans. Rev. (due 9/1/08)	A	Interest	M	T	Buy	11/19	M		
117. Puerto Rico Hsg. Fin. Auth. (due 12/1/18)	A	Interest	L	T	Buy	8/4	L		
118. Bowling Green, KY Proj. (due 6/1/20)	A	Interest	L	T	Buy	8/8	L		
119. Fidelity Adv. Leveraged Cl. 1	A	Dividend	K	T	Buy	8/14	K		

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 11 of 19

Name of Person Reporting

Bertelsman, William O.

Date of Report

05/11/2009

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120.	A	Dividend	J	T	Buy (add'l)	8/18	J		
121.	A	Dividend			Sold	10/21	J	A	
122. American Euro Pacific Growth Fund Cl F	A	Dividend	K	T	Buy	8/14	K		
123.	A	Dividend	J	T	Buy (add'l)	8/18	J		
124.	A	Dividend	J	T	Buy (add'l)	10/21	J		
125.	A	Dividend			Sold	12/23	K	A	
126. Ivy Asset Strategy Fund Cl Y	A	Dividend	K	T	Buy	8/13	K		
127.	A	Dividend	J	T	Buy (add'l)	8/18	J		
128.	A	Dividend			Sold (part)	10/21	J		
129.	A	Dividend	J	T	Buy (add'l)	12/22	J		
130. Blackrock Global Allocation Fund	A	Dividend	K	T	Buy	8/13	K		
131.	A	Dividend	J	T	Buy (add'l)	8/18	J		
132.	A	Dividend			Sold (part)	10/21	J		
133. IShares DJ US Telecomm Sector Index Fund	A	Dividend	J	T	Buy	8/18	J		
134.	A	Dividend	J	T	Buy (add'l)	8/20	J		
135.	A	Dividend	J	T	Buy (add'l)	10/23	J		
136.	A	Dividend			Sold	12/26	J	A	

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 12 of 19

Name of Person Reporting

Bertelsman, William O.

Date of Report

05/11/2009

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

137. IShares NASDAQ Bio Technology Index Fd.	A	Dividend	K	T	Buy	8/18	K		
138.	A	Dividend	J	T	Buy (add'l)	8/20	J		
139.	A	Dividend			Sold	12/26	J	A	
140. IShares MSCI EAFE Index Fund	A	Dividend	K	T	Buy	8/13	K		
141.	A	Dividend	J	T	Buy (add'l)	8/20	J		
142.	A	Dividend	J	T	Buy (add'l)	10/23	J		
143.	A	Dividend			Sold (part)	12/26	K	A	
144. IShares IBOXX Invst Grade Corp Bd Fund	A	Dividend	J	T	Buy	8/18	J		
145.	A	Dividend			Sold (part)	10/23	J	A	
146.	A	Dividend			Sold	12/26	J	A	
147. IShares Barclay's 1-3 yr Treas. Index Fund	A	Dividend	J	T	Buy	8/13	J		
148.	A	Dividend			Sold (part)	10/23	J	A	
149.	A	Dividend	J	T	Buy (add'l)	12/26	J		
150. IShares Barclay's 20+ yr Treas. Index Fund	A	Dividend	J	T	Buy	8/18	J		
151.	A	Dividend			Sold (part)	10/23	J	A	
152.	A	Dividend			Sold	12/26	J	A	
153. IShares Barclay's US Aggregate Bd Fund	A	Dividend	L	T	Buy	8/18	L		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

Page 13 of 19

Name of Person Reporting

Bertelsman, William O.

Date of Report

05/11/2009

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

154.	A	Dividend	J	T	Buy (add'l)	8/20	J		
155.	A	Dividend			Sold (part)	10/23	J	A	
156.	A	Dividend			Sold	12/26	L	A	
157. IShares Trust Lehman US Treas. Inflation	A	Dividend	J	T	Buy	8/18	J		
158.	A	Dividend			Sold (part)	10/22	J	A	
159.	A	Dividend			Sold	12/26	J	A	
160. IShares Tr Dow Jones US Tech Sector Index	A	Dividend	K	T	Buy	8/18	J		
161.	A	Dividend	J	T	Buy (add'l)	8/20	J		
162.	A	Dividend	J	T	Buy (add'l)	10/23	J		
163.	A	Dividend			Sold	12/26	K	A	
164. Materials Select Sector SPDR Fund	A	Dividend	J	T	Buy	8/18	J		
165.	A	Dividend	J	T	Buy (add'l)	8/20	J		
166.	A	Dividend	J	T	Buy (add'l)	10/23	J		
167.	A	Dividend			Sold	12/26	J	A	
168. Healthcare Select SPDR	A	Dividend	K	T	Buy	8/13	K		
169.	A	Dividend	J	T	Buy (add'l)	8/20	J		
170.	A	Dividend			Sold (part)	10/23	K	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 14 of 19

Name of Person Reporting

Bertelsman, William O.

Date of Report

05/11/2009

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171. Sector SPDR Consumers STPL	A	Dividend	J	T	Buy	8/13	J		
172.	A	Dividend			Sold (part)	10/23	J		
173.	A	Dividend	K	T	Buy (add'l)	12/26	K		
174. Consumers Discretionary SPDR	A	Dividend	K	T	Buy	8/18	K		
175.	A	Dividend	J	T	Buy (add'l)	8/20	J		
176.	A	Dividend	J	S	Buy (add'l)	10/23	J		
177.	A	Dividend			Sold	12/26	J	A	
178. Sector SPDR Energy	A	Dividend	K	T	Buy	8/18	K		
179.	A	Dividend	J	T	Buy (add'l)	8/20	J		
180.	A	Dividend	J	T	Buy (add'l)	10/23	J		
181.	A	Dividend			Sold	12/26	J	A	
182. Sector SPDR Financial	A	Dividend	J	T	Buy	8/18	J		
183.	A	Dividend	J	T	Buy (add'l)	8/20	J		
184.	A	Dividend	J	T	Buy (add'l)	10/23	J		
185.	A	Dividend			Sold	12/26	J	A	
186. Sector SPDR Industrial	A	Dividend	K	T	Buy	8/18	K		
187.	A	Dividend	J	T	Buy (add'l)	8/20	J		

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 15 of 19

Name of Person Reporting

Bertelsman, William O.

Date of Report

05/11/2009

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188.	A	Dividend	J	T	Buy (add'l)	10/23	J		
189.	A	Dividend			Sold	12/26	K	A	
190. PIMCO Total Return Fd CI A	A	Dividend	K	T	Buy	10/23	K		
191.	A	Dividend			Sold	12/26	K	A	
192. Alliance Bernstein Bal. Wealth Strategy	A	Dividend	K	T	Buy	12/22	K		
193. Alliance Bernstein	A	Dividend	J	T	Buy	12/22	J		
194. Loomis Sayles Growth Fund CI Y	A	Dividend	J	T	Buy	12/22	J		
195. Loomis Sayles Value Fund CI Y	A	Dividend	J	T	Buy	12/22	J		
196. Loomis Sayles Global Mkts Fd CI Y	A	Dividend	J	T	Buy	12/22	J		
197. Loomis Sayles Strategic Inc Fd CI Y	A	Dividend	J	T	Buy	12/22	J		
198. Blackrock Nat'l A Div Municipal Fund	A	Dividend	J	T	Buy	12/22	J		
199. Elements - Rogers Tr. A Div	A	Dividend	J	T	Buy	12/22	J		
200. iShares MSCI Emerging Mkts Fd	A	Dividend	J	T	Buy	12/22	J		
201. Vanguard Small Cap	A	Dividend	J	T	Buy	12/22	J		
202. iShares FTSE Xinhua China	A	Dividend	J	T	Buy	12/22	J		
203. PowerShares Global	A	Dividend	J	T	Buy	12/22	J		
204. SPDR Ser Tr	A	Dividend	J	T	Buy	12/22	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 = \$250,000,001 - \$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 16 of 19

Name of Person Reporting

Bertelsman, William O.

Date of Report

05/11/2009

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
205. IShares IBOX\$ High Yield Corp Bd Fund	A	Dividend	J	T	Buy	12/22	J		
206. IShares TR S and P Nat'l Mun Bd Fd	A	Dividend	J	T	Buy	12/22	J		
207. PowerShares VRDO Tax Free	A	Dividend	J	T	Buy	12/22	J		
208. PowerShares Global Exch Traded Fund	A	Dividend	J	T	Buy	12/22	J		
209. Sector SPDR Utilities	A	Dividend	K	T	Buy	12/22	K		
210. SPDR Gold Trust	A	Dividend	K	T	Buy	12/22	K		
211. Nuveen High Yield Muni Bond Fd Cl A	A	Dividend	J	T	Buy	12/22	J		
212. JP Morgan Int'l Value Fund Cl A	A	Dividend	J	T	Buy	12/22	J		
213. Aberdeen Equity Long Short Fd Cl A	A	Dividend	J	T	Buy	12/22	J		
214. Janus Adviser Forty Fund Cl A	A	Dividend	J	T	Buy	12/22	J		
215. JP Morgan Highbridge Stat Mkt Neutral Fd	A	Dividend	J	T	Buy	12/22	J		
216. Touchstone Large Cap Growth Fund Cl A	A	Dividend	J	T	Buy	12/22	J		
217. Nuveen Rittenhouse Growth Fund	A	Dividend	J	T	Buy	12/22	J		
218. Alliance Bernstein Muni Inc Fund	A	Dividend	J	T	Buy	12/22	J		
219. Alliance Bernstein Global Bond Fund	A	Dividend	J	T	Buy	12/22	J		
220. Endowment Fund	A	Dividend	M	T	Buy	10/1	M		
221. Citizens Bank of No. Ky (CD)	A	Interest	L	T	Buy	9/26	L		

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 = \$250,0001 - \$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 17 of 19

Name of Person Reporting

Bertelsman, William O.

Date of Report

05/11/2009

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
222. Citizens Bank of No. Ky. (CD)	A	Interest	J	T	Buy	5/25	J		
223. Citizens Bank of No. Ky (CD)	A	Interest	K	T	Buy	6/13	K		
224. Citizens Bank of No. Ky (CD)	A	Interest	K	T	Buy	10/8	K		
225. Merrill Lynch Money Fund (Muni)	A	Interest	L	T	Open	5/19	L		
226. Merrill Lynch Bank (Regular)	A	Interest	L	T	Open	5/19	M		
227. Merrill Lynch Bank (Allstate)	A	Interest	K	T	Open	5/16	K		
228.	A	Interest			Closed	8/12	K	A	
229. Merrill Lynch Bank (PIA)	A	Interest	J	T	Open	8/21	J		

1. Income Gain Codes:
(See Columns B1 and D4)A=\$1,000 or less
F=\$50,001 - \$100,000B=\$1,001 - \$2,500
G=\$100,001 - \$1,000,000C=\$2,501 - \$5,000
H1=\$1,000,001 - \$5,000,000D=\$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 - \$50,000,000K=\$15,001 - \$50,000
O=\$500,001 - \$1,000,000L=\$50,001 - \$100,000
P1=\$1,000,001 - \$5,000,000
P4=More than \$50,000,000M=\$100,001 - \$250,000
P2=\$5,000,001 - \$25,000,0003. Value Method Codes
(See Column C2)Q=Appraisal
U=Book ValueR=Cost (Real Estate Only)
V=OtherS=Assessment
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T=Cash Market

FINANCIAL DISCLOSURE REPORT

Page 18 of 19

Name of Person Reporting

Bertelsman, William O.

Date of Report

05/11/2009

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

I changed brokers in May 2008, so new accounts were opened and purchases made with the same money that was in the old accounts with the former broker.

FINANCIAL DISCLOSURE REPORT

Page 19 of 19

Name of Person Reporting

Bertelsman, William O.

Date of Report

05/11/2009

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

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