

**SELF INITIATED
AMENDMENT**

**UNITED STATES DISTRICT COURT
WESTERN DISTRICT OF KENTUCKY**

CHAMBERS OF
JOHN G. HEYBURN II
UNITED STATES DISTRICT JUDGE

UNITED STATES COURTHOUSE
LOUISVILLE, KY 40202
(502) 625-3620

May 21, 2010

Mr. George Reynolds
Administrative Office of the U.S. Courts
Thurgood Marshall Federal Judiciary Building
One Columbus Circle, N.W.
Room 2-323
Washington, DC 20544

Re: Self-Initiated Amendment to 2009 Financial Disclosure Report

Dear Mr. Reynolds:

Please consider this letter as a self-initiated amendment to my 2009 Financial Disclosure Report. I would ask that this letter and the amendment contained in it be made a part of my 2009 report for disclosure purposes.

My 2009 Financial Disclosure Report (Section VII, line 65) shows that a trust, designated MPS Trust, contained assets described as BP PLC ADR as of January 1, 2010. On May 13, 2010, the entirety of my interest in BP PLC ADR were sold from that account.

Thank for your attention to this matter.

Sincerely,



John G. Heyburn II

Heyburn II, John G.

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2009

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) HEYBURN II, JOHN G.	2. Court or Organization U.S.D.C. KENTUCKY WESTERN	3. Date of Report 04/29/2010
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Court Judge (Active)	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2009 to 12/31/2009
7. Chambers or Office Address 239 U.S. Courthouse Louisville, KY 40202	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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Trustee	Charitable Foundation - H
2.	
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.	

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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>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.	
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. Louisiana State Bar Association	October 16, 2009	New Orleans, LA	Symposium Speaker	
2.				
3.				
4.				
5.				

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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. Capital One Visa	Credit Card	J
2.		
3.		
4.		
5.		

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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-I)	(5) Identity of buyer/seller (if private transaction)
1. I.S. Trust	D	Dividend							
2. F.F.S. Trust	C	Dividend							
3. HILLIARD LYONS TRUSTEE(IRA)	D	Dividend	N	T					
4. Hilliard-Lyon Gov't Fd.			L	T					
5. Banco Bilbao Vizcaya					Sold	03/25/09	J	B	
6. Berkshire Hathaway-B			L	T					
7. Chevron			K	T					
8. Exxon Mobil			L	T					
9. Growth Fd. Of America			M	T					
10. HILLIARD LYONS TRUSTEE (IRA)-Hilliard-Lyon Gov't Fd.	D	Dividend	N	T					
11. 10a. Growth Fd. of America					Sold	3/25/09	M	E	
12. Invest.Co.of Am.					Sold	3/25/09	L	E	
13. Smallcap Wld.Fd.					Sold	3/25/09	L	E	
14. Hilliard Lyons Growth Fd			M	T	Buy	3/25/09	M		
15. Bond Fd of America			M	T	Buy		M		
16. OTHER INVESTMENTS									
17. Hilliard-Lyon Gov't Fd.	B	Dividend	K	T					

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 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 I12 = 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
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Date of Report

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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. Amazon	A	Dividend	J	T					
19. American Tower Corp	A	Dividend	J	T					
20. Apple Inc.	A	Dividend	K	T					
21. Berkshire Hathaway	A	Dividend	M	T	Sold	6/25/09	J	B	
22. Bristol Myers Squibb	C	Dividend	L	T					
23. Brown Forman Inc.	A	Dividend	L	T					
24. Chevron Corp.	B	Dividend	M	T					
25. Citadel Broadcasting	A	Dividend			Sold	3/9/09	J	B	
26. Clorox Co.	A	Dividend	L	T					
27. Colgate Palmolive	A	Dividend	L	T					
28. Costco	A	Dividend	K	T					
29. Daktronics, Inc.	A	Dividend			Sold	8/20/09	J	B	
30. Disney Co.	A	Dividend	K	T					
31. Ebay Inc.					sold	3/9/09	K	B	
32. Emerson Electric Co.	A	Dividend	J	T					
33. Exxon Mobil	B	Dividend	M	T					
34. General Electric Co.	B	Dividend	L	T	Sold	12/21/09	J	B	

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P1 = \$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	

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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. GlaxoSmithKline PLC * (W)	A	Dividend	K	T					
36. Goldman Sachs	A	Dividend	J	T					
37. Growth Fd. Of America	A	Dividend	L	T					
38. Hilliard Lyons Growth	B	Dividend	K	T					
39. Home Depot Inc.	A	Dividend	K	T					
40. Johnson and Johnson	A	Dividend	M	T					
41. Kimberly-Clark Corp	A	Dividend	K	T					
42. McGraw-Hill Cos.	A	Dividend			Sold	12/19/09	K	C	
43. Medtronic Inc.	A	Dividend	K	T					
44. Merck and Co.	A	Dividend	K	T					
45. Microsoft	A	Dividend	M	T	Sold	3/9/09	J	A	
46. Moodys	A	Dividend	K	T					
47. Pepsico	A	Dividend	J	T	Buy	3/9/09	J		
48. Powershares Global Exch.	A	Dividend	K	T	Buy	6/1/09	K		
49. Proctor & Gambill	B	Dividend	M	T					
50. Schlumberger Ltd (W)	A	Dividend	L	T					
51. Starbucks Corp.	A	Dividend			Sold	3/9/09	K	B	

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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	

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	(1) Amount Code 1 (A-I)	(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-I)	(5) Identity of buyer/seller (if private transaction)
52. SY Bank Corp.	A	Dividend			Sold	3/24/09	K	B	
53. US Wireless Online, Inc.	A	Dividend	J	T					
54. Walgreen Company	A	Dividend	K	T					
55. Wyeth, formerly Amer.Home Prod.	C	Dividend			Sold	12/14/09	L	D	
56. Zimmer Hldgs	A	Dividend			Sold	12/14/09	K	C	
57. TRUST - (HRH Tr.)	D	Dividend	N	T					
58. Baird Bond Fund									
59. Blackrock Fd.									
60. Gen.Elect.									
61. Ishares Tr.									
62. JP Morgan Co.									
63. TRUST (MPS Tr.) - Armanda Money Mkt.Fd.	D	Dividend	N	T					
64. Ky. Tax Exempt Money Fd									
65. BP PLC ADR									
66. Coca Cola Co									
67. General Electric									
68. GlaxoSmithKline PLC									

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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)					

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69. Honeywell Intl.									
70. Johnson & Johnson									
71. McGraw-Hill Co.									
72. Nokia Corp.									
73. Procter & Gamble									
74. Schlumberger Ltd.									
75. Texas Instruments									
76. CHARITABLE FOUNDATION - (JGH Fd.)	C	Dividend							
77. 73a. Hilliard Lyons Growth					Sold	5/20/09	J	A	
78. ING ReliaStar Ins.Co. Universal Life Policy			N	V					
79. MONY Whole Life			K	V					

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3. Value Method Codes (See Column C2)					

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

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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.

Signal

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