

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2010

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 4/19/2011
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) active/dist	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2010 to 12/31/2010
7. Chambers or Office Address 601 w.broadway #247 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.)

POSITION	NAME OF ORGANIZATION/ENTITY
1. advisory board	International Assn.for Ct. Admin.
2.	
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

DATE	PARTIES AND TERMS
1.	
2.	
3.	

Simpson, Charles R.

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simpson, charles r.

4/19/2011

A. Filer's Non-Investment Income

☒

INCOME
(yours, not spouse's)

1. _____
2. _____
3. _____
4. _____

(Dollar amount not required except for honoraria.)

☒

SOURCE AND TYPE

1. _____
2. _____
3. _____
4. _____

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

11

ITEMS PAID OR PROVIDED

1.	xxxxxxxxxxxxxxxxxxxxxxxxxxxxxx Courtsxxx	6/15-7/23-10	Dubai, Sharjah	Speeches	Transport to/frm Dubai-other items not reportable
2.	World Bk	6/24-7/6-10	Pula, Croatia	Peer Reviewer for World Bk Justice Sector Loan to Croatian MOJ.	Transport, lodging, meals
3.	American Councils	7/15-7/16	Wash DC	meet/orient Russian judicial delegations	Transport, meals, lodging
4.					
5.					

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Name of Person Reporting

simpson, charles r.

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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.		
2.		
3.		
4.		
5.		

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Name of Person Reporting

simpson, charles r.

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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)
1. ge com	A	Dividend	J	T					
2. -----calamos inv tr nw grwth fd cl c	A	Dividend	K	T					
3. davis n y venture fd cl c	A	Dividend	K	T					
4. euro pac growth fd clc	A	Dividend	K	T					
5. allianz multi mgr nfj dvid val fd clc	A	Dividend			Sold	08/19/10	K	A	
6. growth fd of america	A	Dividend	K	T					
7. Royce fund totl ret	A	Dividend	K	T					
8. thomBurg inv tr intl val	A	Dividend	K	T					
9. fundamental invs inc cl c	A	Dividend	K	T	Buy	08/20/10	K		
10. blackrk muni MM fd	A	Dividend			Sold	07/26/10	K	A	
11. Federated muni cash ser	A	Int./Div.			Buy	07/26/10	K		
12. federated muni cash ser	A	Int./Div.			Sold	08/24/10	K	A	
13. federated govt cash ser	A	Int./Div.	K	T	Buy	08/20/10	K		
14.									
15.									
16. ky telco fed cu	A	Interest	L	T					
17. Louv. fed CU	B	Interest	L	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	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)					

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Name of Person Reporting

simpson, charles r.

Date of Report

4/19/2011

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. Dupree Intermed. govt bond ser	B	Dividend	L	T					
19. us Bank cd	B	Interest	L	T					
20. HH bonds	A	Interest	K	T					
21. Stockyds bk acct	A	Interest	J	T					
22. Stockyds bk cd	A	Interest	K	T					
23. dupree ky tax-free	D	Dividend	M	T					
24.									
25. Churchill downs com	A	Dividend	J	T					
26. johnson outdrs com	A	Dividend	J	T					
27. vanguard totl stk mkt idx fd	A	Dividend			Sold	10/26/10	K	A	
28. Vangrd totl stk mky idx admiral fd	A	Dividend	K	T	Buy	10/26/10	K		
29. van guard Short-term Treas.adm fd	C	Dividend	M	T					
30. Vanguard adm treas mm fd	A	Dividend	K	T					
31. Vanguard Prime mm fd	A	Dividend	J	T	Buy	01/25/10	J		
32.									
33. Casual Male Retail com	A	Dividend	J	T					
34. Churchill Downs com	A	Dividend	J	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 | 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
H11 = \$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
H12 = 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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Name of Person Reporting

simpson, charles r.

Date of Report

4/19/2011

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. A t Cross com	A	Dividend	J	T					
36. Glimcher realty Trust com	A	Dividend	J	T					
37. Johnson Outdoors com	A	Dividend	J	T					
38. ventas com	C	Dividend	L	T					
39. vanguard total stock mkt idx fd	A	Dividend			Sold	10/26/10	K	A	
40. Vanguard totla stock mkt idx ADM fd	A	Dividend	K	T	Buy	10/26/10	K		
41. Vanguard Short-term tras fd	B	Dividend			Sold	10/26/10	L	A	
42. Vanguard Short-term treas ADM fd	A	Dividend	L	T	Buy	10/26/10	L		
43. Vanguard Admiral trsry mm fd	A	Dividend	K	T					
44. vanguard prime mm fd	C	Dividend	J	T					
45.									
46. Churchill Downs com	A	Dividend	J	T					
47. Healthsouth com	A	Dividend	J	T					
48. National Hlth invs com	A	Dividend	J	T					
49. Penna Real Est Invest. Trust com	A	Dividend	J	T					
50. ventas com	B	Dividend	K	T					
51. Vanguard Tax-managed Cap Apprec Adm fd	C	Dividend	M	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 | 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) | | | | | |

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Name of Person Reporting

simpson, charles r.

Date of Report

4/19/2011

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. Vanguard Tax-managed Int'l fd	B	Dividend	L	T					
53. vanguard Tax-managed sm Cap fd	A	Dividend	L	T					
54. Vanguard Tax-Exempt mm fd	C	Dividend	J	T					
55. Vanguard Trsy MM fd	C	Dividend	O	T	Sold (part)	03/11/10	J	A	
56. "					Sold (part)	03/29/10	J	A	
57. "					Sold (part)	03/29/10	J	A	
58. "					Sold (part)	04/07/10	L	A	
59. "					Sold (part)	05/11/10	L	A	
60. "					Sold (part)	06/03/10	J	A	
61. "					Sold (part)	06/23/10	K	A	
62. "					Sold (part)	08/03/10	J	A	
63. "					Sold (part)	08/18/10	K	A	
64. "					Sold (part)	09/27/10	J	A	
65. "					Sold (part)	10/28/10	J	A	
66. "					Sold (part)	11/22/10	J	A	
67. "					Sold (part)	12/07/10	J	A	
68. "					Sold (part)	12/20/10	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

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Name of Person Reporting	Date of Report
simpson, charles r.	4/19/2011

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-I)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
69.									
70. Dreyfus Strategis Municipals fd	A	Dividend	J	T					
71. GE com	A	Dividend	K	T					
72. Nextera com (name change from FPL Group 6/3)	A	Dividend	J	T					
73. Vanguard tax-manag Cap Apprec fd	A	Dividend	K	T					
74. Vanguard Tax-mang Int'l fd	A	Dividend	J	T					
75. VanguardtAX-mANAG Small Cap fd	A	Dividend	J	T					
76. Vanguard Tax-Exempt MM fd	A	Dividend	J	T					
77. vanguard Trsy MM fd	A	Dividend	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 \$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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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4/19/2011

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 WILFULLY 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