

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) Caldwell, Karen K.	2. Court or Organization U.S. District Court	3. Date of Report 5/11/2011
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III Judge, full-time	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 P.O. Box 2207 101 Barr Street Lexington, Kentucky 40507	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	Transylvania University
2. Trustee	Lloyd Cress Life Insurance Trust
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.	

Caldwell, Karen K.

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Name of Person Reporting

Caldwell, Karen K.

Date of Report

5/11/2011

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. 2010	Retirement Benefit - Ashland, Inc.
2. 2010	Retirement Benefit - Commonwealth of Kentucky
3. 2010	Greenebaum Doll & McDonald - Legal
4. 2010	Dinsmore & Shohl - Legal
5. 2010	Kentucky Coal Association - Legal

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.				

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Name of Person Reporting

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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. AAA Financial Services	Line of Credit - Credit Card	K
2. American Express	Line of Credit - Credit Card	M
3. Chase Bank	Line of Credit - Credit Card	K
4. USAA Savings Bank	Line of Credit - Credit Card	J
5. Capital One Bank	Line of Credit - Credit Card	J
6. Bank of America	Line of Credit - Credit Card	K
7. Caldwell Thrift Plan	Pension Plan Loan	K
8. Citibank	Line of Credit - Credit Card	J
9. Barclay Bank	Line of Credit - Credit Card	J

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Name of Person Reporting

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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. PNC Bank Account	A	Int./Div.	K	T					
2. Jefferson Pilot Life Ins. Life [REDACTED]					Sold	02/10/10	M	A	Mills, Potoczak & Co LPG
3. GDM Profit-Sharing Plan					Distributed	05/04/10	J	A	
4. NFSIRA					Distributed	02/17/10	J	A	
5. [REDACTED] Estate (X) [inherited, undistributed]			M	W		11/04/10			
6. - 1/4 residential house and lot									
7. - 1/4 unimproved farm land									
8. - 1/4 unimproved commercial real estate									
9.									
10.									
11.									
12.									
13.									
14.									
15.									
16.									
17.									

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

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Caldwell, Karen K.

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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.

Signature: s/ **Karen K. Caldwell**

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

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1. PNC Bank Account	A	Int./Div.	K	T					
2. Jefferson Pilot Life Ins. Life [REDACTED]		None			Sold	02/10/10	M	A	Mills, Potoczak & Co LPG
3. GDM Profit-Sharing Plan	A	Int./Div.			Distributed	05/04/10	J	A	
4. NFSIRA	A	Int./Div.			Distributed	02/17/10	J	A	
5. [REDACTED] Estate (X) [inherited, undistributed]			M	W		11/04/10			
6. - 1/4 residential house and lot Waynesburg KY		None							
7. - 1/4 unimproved farm land Waynesburg KY		None							
8. [REDACTED] Caldwell Ltd.		None							
9. D.R. Horton Common	A	Int./Div.			Sold	12/17/09	J	A	
10. Neuberger Berman	A	Int./Div.			Sold	10/09/09	J	A	
11. Items 9-10 inadvertently omitted from 2009 report									
12.									
13.									
14.									
15.									
16.									
17.									

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