

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2008Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Hood, Joseph M.	2. Court or Organization E.D. KY.	3. Date of Report 05/06/2009
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 P.O. Box 2227 Lexington, KY 40588-2227	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. Director	[REDACTED]
2. Board of Managers	Diederich Educational Trust
3. Director	Federal Judges Association
4. Director	St. Joseph Hospital Foundation
5. Director	St. Joseph Berea Hospital Foundation
6. Trustee	[REDACTED]

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FINANCIAL
DISCLOSURE OFFICE**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. 2008	 Substitute Teacher
2. 2008	Proctor
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. FJA	5/01/2008 - 5/03/2008	Washington, DC	Board Meeting	Housing, Travel & Meals
2. FJA	12/03/2008	Washington, DC	Board Meeting	Travel & Meals
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. _____	_____	_____
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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Fifth Third Bank, Lexington, KY Checking		None	J	T					
2. Wachovia Securities - Individual (X)		None			Transferred (to line 31)				
3. -Centennial Money Market	A	Dividend			Transferred (to line 31)	06-05	J		
4. -Amer Funds Euro Pacific		None			Transferred (to line 31)	06-05	J		
5. -Amer Funds Invmt Co of America	A	Dividend			Transferred (to line 31)	06-05	J		
6. -Amer Funds New Economy		None			Transferred (to line 31)	06-05	J		
7. -Amer Funds Small Cap World		None			Transferred (to line 31)	06-05	J		
8. -Amer Funds Washington Mutual		None			Transferred (to line 31)	06-05	J		
9. Metlife Invs Ins Co Ins Prod		None	J	T					
10. John Hancock Life Ins Co		None	K	T					
11. Lincoln National Life Ins Co		None	J	T					
12. IRA #1		None	K	T	Transferred (to line 53)				
13. -Centennial Money Market		None			Transferred (to line 53)				
14. -Amer Funds US Govvt Sec		None			Transferred (to line 53)				
15. -Amer Funds High Income Trust		None			Transferred (to line 53)				
16. -Amer Funds Bd Fund of Amer		None			Transferred (to line 53)				
17. -Amer Funds Growth Fund of Amer		None			Transferred (to line 53)				

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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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)
18. -Amer Funds Intm Bd Fund of Amer		None			Transferred (to line 53)				
19. -Amer Funds Washington Mutual		None			Transferred (to line 53)				
20. IRA #2		None	K	T	Transferred (to line 63)				
21. -Centennial Money Market		None			Transferred (to line 63)				
22. -Amer Funds US Govvt Sec		None			Transferred (to line 63)				
23. -Amer Funds High Income Trust		None			Transferred (to line 63)				
24. -Amer Funds Bd Fund of Amer		None			Transferred (to line 63)				
25. -Amer Funds Growth Fund of Amer		None			Transferred (to line 63)				
26. -Amer Funds Intm Bd Fund of Amer		None			Transferred (to line 63)				
27. -Amer Funds Washington Mutual		None			Transferred (to line 63)				
28. A G Edwards - Estate		None	K	T	Transferred (to line 73)				
29. -Centennial Money MKT		None			Transferred (to line 73)				
30. Fidelity Investments - Individual (X) Spouse		None	K	T					
31. -Fidelity Money Market	A	Dividend							
32. -Amer Funds Euro Pacific		None			Sold	06-19	J	A	
33. -Amer Funds Invmt Co of America	A	Dividend			Sold	06-19	J	A	
34. -Amer Funds New Economy		None			Sold	06-19	J	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	

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☐ NONE (No reportable income, assets, or transactions.)

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	(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)
35. -Amer Funds Small Cap World		None			Sold	06-19	J	A	
36. -Amer Funds Washington Mutual		None			Sold	06-19	J	A	
37. -Fidelity US Govt Reserves	A	Dividend	K	T	Sold (part)	10-23	J	A	
38. -Fidelity US Govt Reserves		None			Buy	06-25	K		
39. -Amer Funds Growth Fund of Amer		None			Sold	06-19	K	B	
40. -Fidelity Leveraged Company Stock Fd		None			Buy	06-25	J		
41. -Fidelity Leveraged Company Stock Fd		None			Sold	08-05	J	A	
42. -Fidelity Mid Cap Value		None			Buy	06-25	J		
43. -Fidelity Mid Cap Value		None			Sold	09-16	J	A	
44. -Fidelity Retirement Growth		None			Buy	06-25	J		
45. -Fidelity Retirement Growth		None			Sold	08-05	J	A	
46. -Janus Advisor Intl Equity		None			Buy	06-25	J		
47. -Janus Advisor Intl Equity		None			Sold	09-16	J	A	
48. -Janus Mid Cap Value		None			Buy	06-25	J		
49. -Janus Mid Cap Value		None			Sold	09-16	J	A	
50. -Spartan Market Index		None			Buy	06-25	J		
51. -Spartan Market Index		None			Sold	09-16	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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52. Fidelity IRA		None	J	T					
53. -Centennial Money Market		None			Sold	06-10	J	A	
54. -Amer Funds US Govvt Sec	A	Dividend			Sold	07-16	J	A	
55. -Amer Funds High Income Trust	A	Dividend			Sold	07-16	J	A	
56. -Amer Funds Bd Fund of Amer	A	Dividend			Sold	07-16	J	A	
57. -Amer Funds Growth Fund of Amer		None			Sold	07-16	J	A	
58. -Amer Funds Intm Bd Fund of Amer	A	Dividend			Sold	07-16	J	A	
59. -Amer Funds Washington Mutual	A	Dividend			Sold	07-16	J	A	
60. -Fidelity Cash Reserves	A	Dividend	J	T					
61. -Fidelity US Govt Reserves	A	Dividend	J	T					
62. Fidelity IRA #2 [REDACTED]		None	J						
63. -Centennial Money Market		None			Sold	07-16	J	A	
64. -Amer Funds US Govvt Sec	A	Dividend			Sold	07-16	J	A	
65. -Amer Funds High Income Trust	A	Dividend			Sold	07-16	J	A	
66. -Amer Funds Bd Fund of Amer	A	Dividend			Sold	07-16	J	A	
67. -Amer Funds Growth Fund of Amer		None			Sold	07-16	J	A	
68. -Amer Funds Intm Bd Fund of Amer	A	Dividend			Sold	07-16	J	A	

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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69. -Amer Funds Washington Mutual	A	Dividend			Sold	07-16	J	A	
70. -Fidelity Cash Reserves	A	Dividend							
71. -Fidelity US Govt Reserves	A	Dividend	J	T					
72. Fidelity Estate Account	A	Dividend	J	T					
73. -Berkshire Income Reality (X)		None			Sold	11/04	J	A	
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80.									
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86.									
87.									
88.									
89.									
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101.									
102.									

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
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103.									
104.									
105.									
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114.									
115.									
116.									

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

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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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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.

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