

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) Hood, Joseph M.	2. Court or Organization E.D. KY.	3. Date of Report 04/30/2010
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 01/01/2009 to 12/31/2009
7. Chambers or Office Address P.O. Box 2227 Lexington, KY 40588-2227	8. On the basis of the information contained in this I modifications pertaining thereto, it is, in with applicah' and regulati Reviewing _____	

IMPORTANT NOTES: The instructions accompanying this report 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. Director	
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	

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

☒ NONE (No reportable agreements.)

DATE	PARTIES AND TERMS
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. 02/07/2009	[REDACTED] - Midnight Stakes Raffle Fundraiser Winner	\$25,000.00
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. 2009	[REDACTED]
2. 2009	Proctor
3.	
4.	

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children; see pp. 23-27 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	5/02/2009 - 5/03/2009	Washington, DC	Board Meeting	Housing, Travel & Meals
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.		
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-H)	(5) Identity of buyer/seller (if private transaction)
1. Fifth Third Bank, Lexington, KY Checking	A	Interest	J	T					
2. Fifth Third Bank, Lexington, KY Checking (X)	A	Interest	J	T					
3. Metlife Invs Ins Co Ins Prod		None	J	T					
4. John Hancock Life Ins Co		None			Redeemed	06/10/09	K		
5. Lincoln National Life Ins Co		None	J	T					
6. Fidelity Investments - [REDACTED]		None	L	T					
7. -Ashland Inc New	A	Dividend	J	T	Buy	02/02/09	J		
8. -Fidelity Money Market	A	Dividend							
9. -Fidelity US Govt Reserves	A	Dividend			Sold	10/12/09	J		
10. -Fidelity Leveraged Company Stock Fd	A	Dividend	J	T					
11. -Fidelity Leveraged Company Stock Fd		None			Buy (add'l)	06/02/09	J		
12. -Fidelity Leveraged Company Stock Fd		None			Buy (add'l)	08/04/09	J		
13. -Fidelity Leveraged Company Stock Fd		None			Buy (add'l)	10/12/09	J		
14. -Fidelity China Region	A	Dividend	J	T	Buy	10/12/09	J		
15. -Fidelity Dividend Growth Fund	A	Dividend	J	T	Buy	06/02/09	J		
16. -Fidelity Dividend Growth Fund		None			Buy (add'l)	08/04/09	J		
17. -Fidelity Dividend Growth Fund		None			Buy (add'l)	10/12/09	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 = \$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 \$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	

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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. -Fidelity High Income	A	Dividend	J	T	Buy	06/02/09	J		
19. -Fidelity High Income		None			Buy (add'l)	08/04/09	J		
20. -Fidelity Select Materials Portfolio	A	Dividend	K	T	Buy	06/02/09	J		
21. -Fidelity Select Materials Portfolio		None			Buy (add'l)	08/04/09	J		
22. -Fidelity Select Materials Portfolio		None			Buy (add'l)	10/12/09	J		
23. -Fidelity Small Cap Stock Fund		None	J	T	Buy	06/02/09	J		
24. -Fidelity Small Cap Stock Fund		None			Buy (add'l)	08/04/09	J		
25. -Fidelity Small Cap Stock Fund		None			Buy (add'l)	10/12/09	J		
26. -Fidelity Value Fund	A	Dividend	J	T	Buy	06/02/09	J		
27. -Fidelity Value Fund		None			Buy (add'l)	08/04/09	J		
28. -Fidelity Value Fund		None			Buy (add'l)	10/12/09	J		
29. -Janus Overseas Fund	A	Dividend	J	T	Buy	06/02/09	J		
30. -Janus Overseas Fund		None			Buy (add'l)	08/04/09	J		
31. Fidelity IRA		None	J	T					
32. -Fidelity Cash Reserves	A	Dividend	J	T					
33. -Fidelity US Govt Reserves	A	Dividend			Sold	04/02/09	J		
34. -Fidelity Leveraged Company Stock Fd	A	Dividend	J	T					

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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. -Fidelity Leveraged Company Stock Fd		None			Buy (add'l)	06/02/09	J		
36. -Fidelity Leveraged Company Stock Fd		None			Buy (add'l)	08/04/09	J		
37. -Fidelity Leveraged Company Stock Fd		None			Buy (add'l)	10/12/09	J		
38. -Fidelity China Region	A	Dividend	J	T	Buy	10/12/09	J		
39. -Fidelity Dividend Growth Fund	A	Dividend	J	T	Buy	06/02/09	J		
40. -Fidelity Dividend Growth Fund		None			Buy (add'l)	08/04/09	J		
41. -Fidelity Dividend Growth Fund		None			Buy (add'l)	10/12/09	J		
42. -Fidelity High Income	A	Dividend	J	T	Buy	06/02/09	J		
43. -Fidelity High Income		None			Buy (add'l)	08/04/09	J		
44. -Fidelity Select Materials Portfolio	A	Dividend	J	T	Buy	06/02/09	J		
45. -Fidelity Select Materials Portfolio		None			Buy (add'l)	08/04/09	J		
46. -Fidelity Select Materials Portfolio		None			Buy (add'l)	10/12/09	J		
47. -Fidelity Small Cap Stock Fund		None	J	T	Buy	06/02/09	J		
48. -Fidelity Small Cap Stock Fund		None			Buy (add'l)	08/04/09	J		
49. -Fidelity Small Cap Stock Fund		None			Buy (add'l)	10/12/09	J		
50. -Fidelity Value Fund	A	Dividend	J	T	Buy	06/02/09	J		
51. -Fidelity Value Fund		None			Buy (add'l)	08/04/09	J		

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52. -Fidelity Value Fund		None			Buy (add'l)	10/12/09	J		
53. -Janus Overseas Fund	A	Dividend	J	T	Buy	06/02/09	J		
54. -Janus Overseas Fund		None			Buy (add'l)	08/04/09	J		
55. Fidelity IRA #2 Spouse		None	J	T					
56. -Fidelity Cash Reserves	A	Dividend	J	T					
57. -Fidelity US Govt Reserves	A	Dividend			Sold	04/02/09	J		
58. -Fidelity Leveraged Company Stock Fd	A	Dividend	J	T					
59. -Fidelity Leveraged Company Stock Fd		None			Buy (add'l)	06/02/09	J		
60. -Fidelity Leveraged Company Stock Fd		None			Buy (add'l)	08/04/09	J		
61. -Fidelity Leveraged Company Stock Fd		None			Buy (add'l)	10/12/09	J		
62. -Fidelity China Region	A	Dividend	J	T	Buy	10/12/09	J		
63. -Fidelity Dividend Growth Fund	A	Dividend	J	T	Buy	06/02/09	J		
64. -Fidelity Dividend Growth Fund		None			Buy (add'l)	08/04/09	J		
65. -Fidelity Dividend Growth Fund		None			Buy (add'l)	10/12/09	J		
66. -Fidelity High Income	A	Dividend	J	T	Buy	06/02/09	J		
67. -Fidelity High Income		None			Buy (add'l)	08/04/09	J		
68. -Fidelity Select Materials Portfolio	A	Dividend	J	T	Buy	06/02/09	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
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69. -Fidelity Select Materials Portfolio		None			Buy (add'l)	08/04/09	J		
70. -Fidelity Select Materials Portfolio		None			Buy (add'l)	10/12/09	J		
71. -Fidelity Small Cap Stock Fund		None	J	T	Buy	06/02/09	J		
72. -Fidelity Small Cap Stock Fund		None			Buy (add'l)	08/04/09	J		
73. -Fidelity Small Cap Stock Fund		None			Buy (add'l)	10/12/09	J		
74. -Fidelity Value Fund	A	Dividend	J	T	Buy	06/02/09	J		
75. -Fidelity Value Fund		None			Buy (add'l)	08/04/09	J		
76. -Fidelity Value Fund		None			Buy (add'l)	10/12/09	J		
77. -Janus Overseas Fund	A	Dividend	J	T	Buy	06/02/09	J		
78. -Janus Overseas Fund		None			Buy (add'l)	08/04/09	J		
79. Fidelity Estate Account		None			Closed	01/13/09	J		

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
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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