

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2007

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) Bertelsman, William O	2. Court or Organization KY-ED	3. Date of Report 05/06/2008
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 01/01/2007 to 12/31/2007
7. Chambers or Office Address 35 West Fifth Street, Rm. 505 P. O. Box 1012 Covington, KY 41012-1012	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. Adjunct Teacher (part-time)(one class)(non-compensated)	Salmon P. Chase College of Law, Northern Kentucky University, Highland Heights, KY
2. Owner	529 Trust Plans #1-#9
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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FINANCIAL DISCLOSURE REPORT

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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. 2007	Council on Postsecondary Education
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.				
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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. Victory Gradison Government Reserve	A	Dividend	N	T					
2. Dreyfus Municipal Bond Fund	B	Interest	K	T					
3. Dreyfus Intermediate Municipal Bond Fund	C	Interest	L	T					
4. Goldline (formerly Dreyfus Gold Fund)		None	K	T					
5. Legg Mason Europe Fund (stock)	A	Dividend	K	T					
6. U.S. Bank, Fort Thomas, KY	A	Interest	J	T					
7. Dreyfus Short Intermedidate Municipal Bond Fund	B	Interest	L	T					
8. Dupree, Kentucky- Short/Med. Fund	A	Interest	L	T					
9. Dupree, Kentucky - Tax Free Fund	B	Interest	N	T					
10. Undeveloped Lots in Charlotte Co., Florida		None	J	S					No Value-Assessed @ \$25,000
11. Fifth Third Bank (Account)	A	Interest	K	T					
12. Fifth Third Bank, Fort Thomas, KY (Common Shares)	A	Dividend	L	T					
13. Victory Established Value Fund G	A	Dividend	L	T					
14. Dreyfus Growth & Income Fund	A	Dividend	J	T					
15. Bank of Kentucky (Account)	C	Interest	L	T					
16. Lincoln County, KY (Public Property) #533199AM7	A	Interest			Sold	3/1	J	A	
17. Procter & Gamble - Common stock	A	Dividend	K	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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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				
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18. Citizens Bank of Campbell Co., Kentucky (Accounts)	D	Interest	M	T					
19. Victory Small Company Fund	A	Dividend	J	T					
20. NCR Corp. (common stock)		None	K	T					
21. Pomeroy IT Solutions Res. (Common stock)		None	J	T					formerly Pomeroy Computer
22. BankAmerica Corp. (common stock)	A	Dividend	K	T					
23. Bank of Kentucky (Account)	C	Interest	L	T					
24. United States Savings Bonds (I)	B	Interest	L	T					
25. Conagra Foods, Inc.	A	Dividend	J	T					
26. First Data Corp.	A	Dividend			Sold	9/25	K	D	
27. Sherwin Williams	A	Dividend	K	T					
28. Tyco International Ltd.	A	Dividend	J	T					
29. DWS Dreman High Return Fund	B	Dividend	L	T					
30. Russell County, KY Hospital	A	Interest	J	T					
31. American Express Co.	A	Dividend	J	T					
32. Kroger Co.	A	Dividend	J	T					
33. Harlan County, KY Health Care Facs Laurel Project	A	Interest	K	T					
34. Eastern KY Univ. Revs. Sys (Due 2/1/09)	A	Interest	J	T					

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☐ 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)
35. Victory Stock Index Fund (Account)	A	Dividend	J	T					
36. Barbourville, KY EDK Bldg Rev (Union College)	A	Interest	J	T					
37. Kentucky State Property & Bldg	A	Interest			Sold	10/1	K	A	
38. J.M. Smucker Co.	A	Dividend	J	T					
39. Comcast Corp. Class A	A	Dividend	J	T					
40. 529 Trust #1	B	Interest	K	T					
41. 529 Trust #2	B	Interest	M	T					
42. 529 Trust #3	B	Interest	M	T					
43. 529 Trust #4	B	Interest	M	T					
44. 529 Trust #5	B	Interest	M	T					
45. 529 Trust #6	B	Interest	M	T					
46. Allstate Corp.	C	Dividend	N	T					
47. BP PLC	B	Dividend	L	T			J		
48. Burlington Resources, Inc.	B	Dividend			Sold	1/1	J	A	Omitted Sale in 2006
49. Chevron-Texaco Corp.	B	Dividend	L	T					
50. Duke Energy	A	Dividend	J	T					
51. Clorox Co.	B	Dividend	L	T					

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52. Conoco Phillips	A	Dividend	J	T					
53. Exxon Mobil Corp.	A	Dividend	L	T					
54. General Mills, Inc.	A	Dividend	K	T					
55. Pepsico, Inc.	B	Dividend	M	T	Partial Sale	4/18	J	A	
56. Procter & Gamble Co.	A	Dividend	K	T					
57. Southern Co.	B	Dividend	L	T					
58. Sunoco, Inc.	A	Dividend	L	T					
59. Wachovia Corp.	A	Dividend	J	T					
60. Whirlpool Corp.	A	Dividend	K	T					
61. Wisconsin Energy Corp.	B	Dividend	L	T					
62. Yum Brands, Inc.	B	Dividend	L	T					
63. U.S. Savings Bonds (H)	B	Interest	K	T					
64. 529 Trust #7	C	Interest	M	T					
65. 529 Trust #8	C	Interest	M	T					
66. 529 Trust #9	C	Interest	M	T					
67. Elizabethtown, KY Public Properties Bond	B	Interest			Redeem	4/1	K	B	
68. University of Louisville, KY Educational Bldg. Bond	B	Interest			Redeem	5/1	K	A	

1. Income Gain Codes
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

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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
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69. Kentucky State Turnpike Authority Bond	B	Interest	L	T					
70. Kentucky State Property & Bldgs. Communication Revenue Bond	B	Interest	L	T					
71. Northern Kentucky Water District Bond	A	Interest	L	T					
72. Clay County, KY Justice Center Bond	B	Interest	K	T					
73. Owensboro, KY Public Project Bond	B	Interest	L	T					
74. Kentucky State Property & Bldgs Revenue Bond	C	Interest	L	T					
75. E-Trade Account	A	Interest	J	T					
76. Ky. State Turnpike Bond 3.6%	A	Interest	J	T					
77. Ky. State Turnpike Bond 3.75%	A	Interest	K	T					
78. Automatic Data Processing, Inc.	A	Dividend	K	T					
79. Johnson & Johnson	A	Dividend	K	T					
80. T-Rowe Price Equity Index 500	A	Interest	K	T					
81. Templeton Foreign Fund CI A	A	Interest	K	T					
82. Growth Fund of America	A	Interest	K	T					
83. Ky. State Property & Bldg. Commn. Bond	A	Interest	K	T					
84. Jessamine Co., KY School 2/1/11 3.125%	A	Interest	K	T					
85. Fleming Co., KY School 2.5%	A	Interest	K	T					

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86. J.P.Morgan Chase Bank	A	Interest	J	T					
87. Fifth Third Bank (CD)	A	Interest	J	T					
88. Ameriprise Fin. Inc.	A	Dividend	J	T					
89. Campbell County, KY Pub. Project (due 12/1/09)	A	Interest	K	T					
90. Peabody Energy Group	A	Interest	K	T					
91. No. KY Water District	B	Interest	L	T					
92. KY Interlocal School School Trans.	A	Interest	K	T					
93. KY Asset/Liability Commission	A	Interest	L	T					
94. KY Economic Development Finance Authority	A	Interest	M	T					
95. KY Interlocal School (due 3/1/11)	A	Interest	K	T					
96. American High Income Trust	A	Interest	J	T					
97. American High Income Trust	A	Interest	K	T					
98. Tronox Incorporated	A	Dividend	J	T					
99. Edmonson Co., KY School Dist.Bldg.Rev.	A	Interest	K	T	Buy	4/17	K		
100. Middlesboro, KY School Bldg. Rev.	A	Interest	K	T	Buy	4/17	K		
101. Hart Co., KY Public Property	A	Interest	K	T	Buy	5/7	K		
102. Louisville & Jefferson Co. Metro Gov't Health	C	Interest	M	T	Buy	6/25	M		

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103. Bowling Green, KY Independent (due 5/1/13)	A	Interest	K	T	Buy	3/1	K		
104. Broadridge Financial Solutions	A	Dividend	J	T	Spin Off	4/2	J		
105. Covidien Ltd.	A	Dividend	J	T	Spin Off	7/2	J		
106. Western Union Co.	A	Dividend	K	T	Spin Off	10/2	J		Omitted from 2006
107. Patriot Coal Co.	A	Dividend	J	T	Buy	9/13	J		Omitted from 2006
108. Teradata Corp.	A	Dividend	J	T	Spin Off	10/7	J		

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(See Columns B1 and D4)

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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