

United States District Court  
Eastern District of Kentucky

RECEIVED

William O. Bertelsman  
Judge  
Covington, Kentucky 41012

July 25, 2007

2007 JUL 31 A 10: 51

P.O. Box 1012  
(859) 392-7900

FINANCIAL  
DISCLOSURE OFFICE

Judicial Conference of the United States  
Committee on Financial Disclosure  
One Columbus Circle, N.E.  
Washington, DC 20544

Re: Calendar Year 2006 Filing

Dear Committee:

Thank you for your letter of July 6, 2007, concerning my 2006 Financial Disclosure Report.

I apologize for the ambiguities contained therein, which I hope will be resolved by the following information, which is submitted as an amendment to the Report.

(1) In Part VII, page 4, line 10, Column C(2), the "Two Undeveloped Lots in Charlotte Co., Florida" are assessed at approximately \$25,000 but realtors in the area whom I have contacted have informed me that these lots have **no value**.

(2) In Part VII, page 9, line 93, the Growth Fund of America should be amended to read "American Funds Growth Fund of America, Class F" and the amount is correct as stated.

(3) In Part IX, the date of the report should be the same date as my signature. I apologize for this error. My secretary did not think that I would be available on the date signed so she put the date of the report for 5/14/07.

I hope this is the information you require. If anything further is needed, please contact me.

Respectfully submitted,

William O. Bertelsman

WOB/ptb

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2006

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)<br><br>Bertelsman, William O                                                                                                                               | 2. Court or Organization<br><br>KY-ED                                                                                                                                                                                                                       | 3. Date of Report<br><br>05/14/2007                       |
| 4. Title (Article III judges indicate active or senior status;<br>magistrate judges indicate full- or part-time)<br><br>U.S. District Judge (Senior)                                                              | 5a. Report Type (check appropriate type)<br><br><input type="checkbox"/> Nomination,      Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br>5b. <input type="checkbox"/> Amended Report | 6. Reporting Period<br><br>01/01/2006<br>to<br>12/31/2006 |
| 7. Chambers or Office Address<br><br>35 West Fifth Street, Rm. 505<br>P. O. Box 1012<br>Covington, KY 41012-1012                                                                                                  | 8. On the basis of the information contained in this Report and any<br>modifications pertaining thereto, it is, in my opinion, in compliance<br>with applicable laws and regulations.<br><br>Reviewing Officer _____ Date _____                             |                                                           |
| <p><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts,<br/>checking the NONE box for each part where you have no reportable information. Sign on last page.</p> |                                                                                                                                                                                                                                                             |                                                           |

## I. POSITIONS. (Reporting individual only; see pp. 9-13 of 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 instructions.)

☒ NONE (No reportable agreements.)

| <u>DATE</u> | <u>PARTIES AND TERMS</u> |
|-------------|--------------------------|
| 1.          |                          |
| 2.          |                          |
| 3.          |                          |

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**FINANCIAL DISCLOSURE REPORT**

Page 2 of 12

Name of Person Reporting

Bertelsman, William O

Date of Report

05/14/2007

**III. NON-INVESTMENT INCOME.** *(Reporting individual and spouse; see pp. 17-24 of instructions.)***A. Filer's Non-Investment Income**☒ NONE *(No reportable non-investment income.)*

| <u>DATE</u> | <u>SOURCE AND TYPE</u> | <u>INCOME</u><br>(yours, not spouse's) |
|-------------|------------------------|----------------------------------------|
| 1.          |                        |                                        |
| 2.          |                        |                                        |
| 3.          |                        |                                        |
| 4.          |                        |                                        |
| 5.          |                        |                                        |

**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. 2006     | Council on Postsecondary Education |
| 2.          |                                    |
| 3.          |                                    |
| 4.          |                                    |
| 5.          |                                    |

**IV. REIMBURSEMENTS** -- *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)*☒ NONE *(No reportable reimbursements.)*

| <u>SOURCE</u> | <u>DESCRIPTION</u> |
|---------------|--------------------|
| 1.            |                    |
| 2.            |                    |
| 3.            |                    |
| 4.            |                    |
| 5.            |                    |

**FINANCIAL DISCLOSURE REPORT**

Page 3 of 12

Name of Person Reporting

Bertelsman, William O

Date of Report

05/14/2007

**V. GIFTS.** *(Includes those to spouse and dependent children. See pp. 28-31 of 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 instructions.)*☒ NONE *(No reportable liabilities.)*

|    | <u>CREDITOR</u> | <u>DESCRIPTION</u> | <u>VALUE CODE</u> |
|----|-----------------|--------------------|-------------------|
| 1. |                 |                    |                   |
| 2. |                 |                    |                   |
| 3. |                 |                    |                   |
| 4. |                 |                    |                   |
| 5. |                 |                    |                   |

# FINANCIAL DISCLOSURE REPORT

Page 4 of 12

Name of Person Reporting

Bertelsman, William O

Date of Report

05/14/2007

## VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the spouse and dependent children. See pp. 34-60 of filing instructions.)

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

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                              | C.<br>Gross value at end of<br>reporting period |                                           | D.<br>Transactions during reporting period     |                               |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|----------------------------------------------|-------------------------------------------------|-------------------------------------------|------------------------------------------------|-------------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.<br>buy, sell,<br>redemption) | (2)<br>Date<br>Month -<br>Day | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Victory Gradison Government Reserve                                                                                      | A                                       | Dividend                                     | N                                               | T                                         |                                                |                               |                                 |                                | Combined - see #16<br>& #42                                       |
| 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 Intermediate Municipal<br>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. Two Undeveloped Lots in Charlotte Co.,<br>Florida                                                                       |                                         | None                                         | J                                               | S                                         |                                                |                               |                                 |                                |                                                                   |
| 11. Fifth Third Bank (Account)                                                                                              | A                                       | Interest                                     | J                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 12. Fifth Third Bank, Fort Thomas, KY<br>(Common Shares)                                                                    | A                                       | Dividend                                     | M                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 13. Victory Established Value Fund G                                                                                        | A                                       | Dividend                                     | L                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 14. Dreyfus Growth & Income Fund                                                                                            | A                                       | Dividend                                     | J                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 15. Kentucky League of Cities (Dayton, KY)<br>[REDACTED]                                                                    | A                                       | Interest                                     |                                                 | T                                         | Redeemed                                       | 1/04                          | J                               | A                              | Omitted in 2004                                                   |
| 16. Victory Gradison Government Reserve                                                                                     | A                                       | Dividend                                     |                                                 | T                                         |                                                |                               |                                 |                                | Combined into #1<br>above                                         |
| 17. Bank of Kentucky (Account)                                                                                              | C                                       | Interest                                     | L                                               | T                                         |                                                |                               |                                 |                                |                                                                   |

|                                                  |                                                                     |                                                        |                                                                |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------|--------------------------------------------------------|----------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                     | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000        | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000                   | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000     | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 | T = Cash Market         |
| 3. Value Method Codes<br>(See Column C2)         | P3 = \$25,000,001 - \$50,000,000<br>Q = Appraisal<br>U = Book Value | R = Cost (Real Estate Only)<br>V = Other               | P4 = More than \$50,000,000<br>S = Assessment<br>W = Estimated |                                                              |                         |

# FINANCIAL DISCLOSURE REPORT

Page 5 of 12

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Bertelsman, William O

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## VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the spouse and dependent children. See pp. 34-60 of filing instructions.)

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

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                              | C.<br>Gross value at end of<br>reporting period |                                           | D.<br>Transactions during reporting period     |                               |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|----------------------------------------------|-------------------------------------------------|-------------------------------------------|------------------------------------------------|-------------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.<br>buy, sell,<br>redemption) | (2)<br>Date<br>Month -<br>Day | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. Lincoln County, KY (Public Property)                                                                                    | A                                       | Interest                                     | J                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 19. Procter & Gamble - Common stock                                                                                         | A                                       | Dividend                                     | K                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 20. Citizens Bank of Campbell Co., Kentucky<br>(Accounts)                                                                   | D                                       | Interest                                     | M                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 21. Victory Small Company Fund                                                                                              | A                                       | Dividend                                     | J                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 22. NCR Corp. (common stock)                                                                                                |                                         | None                                         | K                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 23. Pomeroy Computer Res. (Common stock)                                                                                    |                                         | None                                         | J                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 24. BankAmerica Corp. (common stock)                                                                                        | A                                       | Dividend                                     | L                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 25. Bank of Kentucky (Account)                                                                                              | C                                       | Interest                                     | L                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 26. United States Savings Bonds (I)                                                                                         | B                                       | Interest                                     | L                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 27. American Int'l Group, Inc.                                                                                              | A                                       | Dividend                                     |                                                 | T                                         | Sold                                           | 9/13                          | K                               | B                              |                                                                   |
| 28. Conagra Foods, Inc.                                                                                                     | A                                       | Dividend                                     | J                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 29. First Data Corp.                                                                                                        | A                                       | Dividend                                     | K                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 30. Sherwin Williams                                                                                                        | A                                       | Dividend                                     | K                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 31. Tyco International Ltd.                                                                                                 | A                                       | Dividend                                     | J                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 32. SDWS Dremar High Return Fund                                                                                            | A                                       | Dividend                                     | L                                               | T                                         |                                                |                               |                                 |                                | merged                                                            |
| 33. Russell County, KY Hospital                                                                                             | A                                       | Interest                                     | K                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 34. Mill Valley One Ltd (Ltd                                                                                                | A                                       | Interest                                     |                                                 | T                                         | Sold                                           | 5/1                           | J                               | A                              |                                                                   |

|                                                  |                                                                                                                                          |                                                                                                                                                            |                                                                                                                                                                                         |                                                                                                                                         |                         |
|--------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000<br>J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000<br>K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000<br>R = Cost (Real Estate Only)<br>V = Other | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000<br>L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000<br>S = Assessment<br>W = Estimated | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000<br>M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000<br>T = Cash Market | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        |                                                                                                                                          |                                                                                                                                                            |                                                                                                                                                                                         |                                                                                                                                         |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                                                                          |                                                                                                                                                            |                                                                                                                                                                                         |                                                                                                                                         |                         |

# FINANCIAL DISCLOSURE REPORT

Page 6 of 12

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

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                              | C.<br>Gross value at end of<br>reporting period |                                           | D.<br>Transactions during reporting period     |                               |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|----------------------------------------------|-------------------------------------------------|-------------------------------------------|------------------------------------------------|-------------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.<br>buy, sell,<br>redemption) | (2)<br>Date<br>Month -<br>Day | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| partnership)(promissory note)                                                                                               |                                         |                                              |                                                 |                                           |                                                |                               |                                 |                                |                                                                   |
| 35. American Express Co.                                                                                                    | A                                       | Dividend                                     | J                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 36. Kroger Co.                                                                                                              | A                                       | Dividend                                     | J                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 37. Ross Sinclair Brokerage Account                                                                                         | A                                       | Dividend                                     |                                                 | T                                         | Closed                                         | 1/3                           | J                               | A                              |                                                                   |
| 38. Harlan County, KY Health Care Facs Laurel Project                                                                       | A                                       | Interest                                     | K                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 39. Eastern KY Univ. Revs. Sys (Due 2/1/09)                                                                                 | A                                       | Interest                                     | J                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 40. Victory Stock Index Fund (Account)                                                                                      | A                                       | Dividend                                     | J                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 41. Barbourville, KY EDK Bldg Rev (Union College)                                                                           | A                                       | Interest                                     | J                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 42. Victory Gradison Government Reserve                                                                                     | A                                       | Dividend                                     |                                                 | T                                         |                                                |                               |                                 |                                | Combined into #1 above                                            |
| 43. Kentucky State Property & Bldg                                                                                          | A                                       | Interest                                     | K                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 44. J.M. Smucker Co.                                                                                                        | A                                       | Dividend                                     | J                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 45. Comcast Corp. Class A                                                                                                   | A                                       | Dividend                                     | J                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 46. 529 Trust #1                                                                                                            | B                                       | Interest                                     | L                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 47. 529 Trust #2                                                                                                            | B                                       | Interest                                     | M                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 48. 529 Trust #3                                                                                                            | B                                       | Interest                                     | M                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 49. 529 Trust #4                                                                                                            | B                                       | Interest                                     | M                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 50. 529 Trust #5                                                                                                            | B                                       | Interest                                     | M                                               | T                                         |                                                |                               |                                 |                                |                                                                   |

|                                                  |                                                                     |                                                        |                                                                |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------|--------------------------------------------------------|----------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                     | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000        | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000                   | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000     | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 | T = Cash Market         |
| 3. Value Method Codes<br>(See Column C2)         | P3 = \$25,000,001 - \$50,000,000<br>Q = Appraisal<br>U = Book Value | R = Cost (Real Estate Only)<br>V = Other               | P4 = More than \$50,000,000<br>S = Assessment<br>W = Estimated |                                                              |                         |

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Page 7 of 12

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| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                              | C.<br>Gross value at end of<br>reporting period |                                           | D.<br>Transactions during reporting period     |                               |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|----------------------------------------------|-------------------------------------------------|-------------------------------------------|------------------------------------------------|-------------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.<br>buy, sell,<br>redemption) | (2)<br>Date<br>Month -<br>Day | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 51. 529 Trust #6                                                                                                            | B                                       | Interest                                     | M                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 52. Allstate Corp.                                                                                                          | D                                       | Dividend                                     | N                                               | T                                         | Partial Sale                                   | 1/20                          | M                               | F                              |                                                                   |
| 53. BP PLC                                                                                                                  | B                                       | Dividend                                     | L                                               | T                                         | Partial Sale                                   | 1/3                           | J                               | B                              |                                                                   |
| 54. Burlington Resources, Inc.                                                                                              | B                                       | Dividend                                     | J                                               | T                                         | Partial Sale                                   | 1/3                           | J                               | D                              |                                                                   |
| 55. Chevron-Texaco Corp.                                                                                                    | B                                       | Dividend                                     | K                                               | T                                         | Partial Sale                                   | 1/3                           | J                               | B                              |                                                                   |
| 56. Duke Energy (formerly Cinergy Corp.)                                                                                    | A                                       | Dividend                                     | J                                               | T                                         | Partial Sale                                   | 1/3                           | J                               | C                              |                                                                   |
| 57. Clorox Co.                                                                                                              | B                                       | Dividend                                     | L                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 58. Conoco Phillips                                                                                                         | A                                       | Dividend                                     | J                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 59. Exxon Mobil Corp.                                                                                                       | A                                       | Dividend                                     | K                                               | T                                         | Partial Sale                                   | 1/3                           | J                               | B                              |                                                                   |
| 60. General Mills, Inc.                                                                                                     | A                                       | Dividend                                     | K                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 61. Kerr McGee Corp.                                                                                                        | A                                       | Dividend                                     | J                                               | T                                         | Partial Sale                                   | 1/3                           | J                               | C                              |                                                                   |
| 62. Kerr McGee Corp.                                                                                                        | A                                       | Dividend                                     |                                                 | T                                         | Sale                                           | 8/14                          | J                               | B                              |                                                                   |
| 63. Pepsico, Inc.                                                                                                           | C                                       | Dividend                                     | M                                               | T                                         | Partial Sale                                   | 1/20                          | L                               | D                              |                                                                   |
| 64. Pfizer, Inc.                                                                                                            | B                                       | Dividend                                     |                                                 | T                                         | Sale                                           | 1/20                          | L                               | A                              |                                                                   |
| 65. Procter & FGamble Co.                                                                                                   | E                                       | Dividend                                     | O                                               | T                                         | Partial Sale                                   | 1/20                          | M                               | E                              |                                                                   |
| 66. Southern Co.                                                                                                            | C                                       | Dividend                                     | L                                               | T                                         | Partial Sale                                   | 1/3                           | J                               | C                              |                                                                   |
| 67. Sunoco, Inc.                                                                                                            | A                                       | Dividend                                     | K                                               | T                                         | Partial Sale                                   | 1/20                          | K                               | D                              |                                                                   |

|                                                  |                                                                                                                                          |                                                                                                                                                            |                                                                                                                                                                                         |                                                                                                                                         |                         |
|--------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000<br>J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000<br>K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000<br>R = Cost (Real Estate Only)<br>V = Other | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000<br>L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000<br>S = Assessment<br>W = Estimated | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000<br>M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000<br>T = Cash Market | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        |                                                                                                                                          |                                                                                                                                                            |                                                                                                                                                                                         |                                                                                                                                         |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                                                                          |                                                                                                                                                            |                                                                                                                                                                                         |                                                                                                                                         |                         |

# FINANCIAL DISCLOSURE REPORT

Page 8 of 12

Name of Person Reporting

Bertelsman, William O

Date of Report

05/14/2007

## VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of the spouse and dependent children. See pp. 34-60 of filing instructions.)

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

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                              | C.<br>Gross value at end of<br>reporting period |                                           | D.<br>Transactions during reporting period     |                               |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|----------------------------------------------|-------------------------------------------------|-------------------------------------------|------------------------------------------------|-------------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.<br>buy, sell,<br>redemption) | (2)<br>Date<br>Month -<br>Day | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 68. Wachovia Corp.                                                                                                          | A                                       | Dividend                                     | K                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 69. Whirlpool Corp.                                                                                                         | A                                       | Dividend                                     | K                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 70. Wisconsin Energy Corp.                                                                                                  | B                                       | Dividend                                     | L                                               | T                                         | Partial Sale                                   | 1/3                           | J                               | C                              |                                                                   |
| 71. Xcel Energy, Inc.                                                                                                       | A                                       | Dividend                                     |                                                 | T                                         | Sale                                           | 1/3                           | J                               | A                              |                                                                   |
| 72. Yum Brands, Inc.                                                                                                        | A                                       | Dividend                                     | L                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 73. U.S. Savings Bonds (H)                                                                                                  | B                                       | Interest                                     | K                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 74. 529 Trust #7                                                                                                            | C                                       | Interest                                     | M                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 75. 529 Trust #8                                                                                                            | C                                       | Interest                                     | M                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 76. 529 Trust #9                                                                                                            | C                                       | Interest                                     | M                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 77. Louisville & Jefferson Co., KY Metro Sewer<br>& Drain Bond                                                              | C                                       | Interest                                     |                                                 | T                                         | Redeemed                                       | 5/15                          | K                               | A                              |                                                                   |
| 78. Elizabethtown, KY Public Properties Bond                                                                                | B                                       | Interest                                     | L                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 79. University of Louisville, KY Educational<br>Bldg. Bond                                                                  | B                                       | Interest                                     | L                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 80. Kentucky State Turnpike Authority Bond                                                                                  | C                                       | Interest                                     | L                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 81. Kentucky State Property & Bldgs.<br>Communication Revenue Bond                                                          | C                                       | Interest                                     | L                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 82. Northern Kentucky Water District Bond                                                                                   | B                                       | Interest                                     | L                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 83. Clay County, KY Justice Center Bond                                                                                     | B                                       | Interest                                     | K                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 84. Owensboro, KY Public Project Bond                                                                                       | B                                       | Interest                                     | L                                               | T                                         |                                                |                               |                                 |                                |                                                                   |

|                                                  |                                                                     |                                                        |                                                                |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------|--------------------------------------------------------|----------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                     | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000        | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000                   | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000     | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | P3 = \$25,000,001 - \$50,000,000<br>Q = Appraisal<br>U = Book Value | R = Cost (Real Estate Only)<br>V = Other               | P4 = More than \$50,000,000<br>S = Assessment<br>W = Estimated | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

Page 9 of 12

Name of Person Reporting

Bertelsman, William O

Date of Report

05/14/2007

## VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of the spouse and dependent children. See pp. 34-60 of filing instructions.)

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

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                              | C.<br>Gross value at end of<br>reporting period |                                           | D.<br>Transactions during reporting period     |                               |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|----------------------------------------------|-------------------------------------------------|-------------------------------------------|------------------------------------------------|-------------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.<br>buy, sell,<br>redemption) | (2)<br>Date<br>Month -<br>Day | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 85. Kentucky State Property & Bldgs Revenue Bond                                                                            | C                                       | Interest                                     | L                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 86. E-Trade Account                                                                                                         | A                                       | Interest                                     | J                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 87. Ky. State Turnpike Bond 3.6%                                                                                            | A                                       | Interest                                     | J                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 88. Ky. State Turnpike Bond 3.75%                                                                                           | B                                       | Interest                                     | K                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 89. Automatic Data Processing, Inc.                                                                                         | A                                       | Dividend                                     | K                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 90. Johnson & Johnson                                                                                                       | A                                       | Dividend                                     | K                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 91. T-Rowe Price Equity Index 500                                                                                           | A                                       | Interest                                     | K                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 92. Templeton Foreign Fund CI A                                                                                             | A                                       | Interest                                     | K                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 93. Growth Fund of America                                                                                                  | A                                       | Interest                                     | K                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 94. Ky. State Property & Bldg. Commn. Bond                                                                                  | A                                       | Interest                                     | K                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 95. Jessamine Co., KY School 2/1/11 3.125%                                                                                  | A                                       | Interest                                     | K                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 96. Fleming Co., KY School 2.5%                                                                                             | A                                       | Interest                                     | K                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 97. J.P.Morgan Chase Bank                                                                                                   | A                                       | Interest                                     | J                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 98. Fifth Third Bank (CD)                                                                                                   | A                                       | Interest                                     | J                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 99. Ameriprise Fin. Inc.                                                                                                    | A                                       | Dividend                                     | J                                               | T                                         |                                                |                               |                                 |                                |                                                                   |
| 100. Campbell County, KY Pub. Project (due 12/1/09)                                                                         | A                                       | Interest                                     | K                                               | T                                         | Buy                                            | 6/1                           | K                               |                                |                                                                   |
| 101. Peabody Energy Group                                                                                                   | A                                       | Interest                                     | K                                               | T                                         | Buy                                            | 9/13                          | K                               |                                |                                                                   |

|                                                  |                                                                     |                                                        |                                                                |                                                              |                         |
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| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000                   | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000     | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 | T = Cash Market         |
| 3. Value Method Codes<br>(See Column C2)         | P3 = \$25,000,001 - \$50,000,000<br>Q = Appraisal<br>U = Book Value | R = Cost (Real Estate Only)<br>V = Other               | P4 = More than \$50,000,000<br>S = Assessment<br>W = Estimated |                                                              |                         |

# FINANCIAL DISCLOSURE REPORT

Page 10 of 12

Name of Person Reporting

Bertelsman, William O

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## VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of the spouse and dependent children. See pp. 34-60 of filing instructions.)

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|----------------------------------------------|-------------------------------------------------|-------------------------------------------|------------------------------------------------|-------------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.<br>buy, sell,<br>redemption) | (2)<br>Date<br>Month -<br>Day | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 102. No. KY Water District                                                                                                  | A                                       | Interest                                     | K                                               | T                                         | Buy                                            | 9/15                          | K                               |                                |                                                                   |
| 103. KY Economic Development Finance Authority                                                                              | A                                       | Interest                                     | N                                               | T                                         | Buy                                            | 1/25                          | N                               |                                |                                                                   |
| 104. KY Economic Development Finance Authority                                                                              | A                                       | Interest                                     | N                                               | T                                         | Partial Sale                                   | 9/21                          | M                               |                                |                                                                   |
| 105. KY Economic Development Finance Authority                                                                              | A                                       | Interest                                     |                                                 | T                                         | Sale                                           | 10/9                          | N                               |                                |                                                                   |
| 106. KY Interlocal School School Trans.                                                                                     | A                                       | Interest                                     | K                                               | T                                         | Buy                                            | 1/11                          | K                               |                                |                                                                   |
| 107. KY Asset/Liability Commission                                                                                          | A                                       | Interest                                     | L                                               | T                                         | Buy                                            | 10/6                          | L                               |                                |                                                                   |
| 108. KY Economic Development Finance Authority                                                                              | A                                       | Interest                                     | M                                               | T                                         | Buy                                            | 10/17                         | M                               |                                |                                                                   |
| 109. KY Interlocal School (due 3/1/11)                                                                                      | A                                       | Interest                                     | K                                               | T                                         | Buy                                            | 10/30                         | K                               |                                |                                                                   |
| 110. American High Income Trust                                                                                             | B                                       | Interest                                     | J                                               | T                                         | Buy                                            | 1/23                          | J                               |                                |                                                                   |
| 111. American High Income Trust                                                                                             | C                                       | Interest                                     | K                                               | T                                         | Buy                                            | 4/3                           | K                               |                                |                                                                   |
| 112. Tronox Incorporated                                                                                                    | A                                       | Dividend                                     | J                                               | T                                         | Spin-off                                       | 7/3                           | J                               |                                | Spin-off from Kerr-McGee                                          |

|                                                  |                                                                     |                                                        |                                                                |                                                              |                         |
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| 3. Value Method Codes<br>(See Column C2)         | P3 = \$25,000,001 - \$50,000,000<br>Q = Appraisal<br>U = Book Value | R = Cost (Real Estate Only)<br>V = Other               | P4 = More than \$50,000,000<br>S = Assessment<br>W = Estimated |                                                              |                         |

**FINANCIAL DISCLOSURE REPORT**

Page 11 of 12

Name of Person Reporting

Bertelsman, William O

Date of Report

05/14/2007

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

# FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

Bertelsman, William O

Date of Report

05/14/2007

## 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

Date

May 11, 2007

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