

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2010

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) HEYBURN II, JOHN G.	2. Court or Organization U.S.D.C.KENTUCKY WESTERN	3. Date of Report 03/28/2011
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Court Judge (Active)	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2010 to 12/31/2010
7. Chambers or Office Address 239 U.S. Courthouse Louisville, KY 40202	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	

IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. Sign on last page.

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

☒ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____
5. _____	_____

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

☒ NONE (No reportable agreements.)

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

Heyburn II, John G.

FINANCIAL DISCLOSURE REPORT
Page 2 of 9

Name of Person Reporting
HEYBURN II, JOHN G.

Date of Report
03/28/2011

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of filing instructions.)

A. Filer's Non-Investment Income

☒ NONE (No reportable non-investment income.)

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

B. Spouse's Non-Investment Income - (If you were married during any portion of the reporting year, complete this section.
(Dollar amount not required except for honoraria.)

☐ NONE (No reportable non-investment income.)

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 12/15/10	Norton Healthcare, Inc. - Director's Fee
2.	
3.	
4.	

IV. REIMBURSEMENTS - transportation, lodging, food, entertainment.
(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)

☐ NONE (No reportable reimbursements.)

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. National Conference on Class Actions (Am. Bar Assoc.)	October 13-14, 2010	Chicago, IL	Symposium Speaker	Transportation, Room and Meals
2. Ontario Bar Assoc.	Nov. 30-Dec. 1, 2010	Toronto, Canada	Symposium Speaker	Transportation, Room and Meals
3. Am. Conf. Inst.	December 7-9, 2010	New York, NY	Symposium Speaker	Transportation, Room and Meals
4.				
5.				

FINANCIAL DISCLOSURE REPORT
Page 3 of 9

Name of Person Reporting
HEYBURN II, JOHN G.

Date of Report
03/28/2011

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ **NONE** *(No reportable gifts.)*

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

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*

☐ **NONE** *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1. Capital One Visa	Credit Card	J
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

HEYBURN II, JOHN G.

Date of Report

03/28/2011

VII. INVESTMENTS and TRUSTS – Income, value, transactions (Includes those of spouse and dependent children; see pp. 34-40 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. I.S. Trust See note #1	D	Dividend							
2. F.F.S. Trust See note #1	C	Dividend							
3. HILLIARD LYONS TRUSTEE(IRA)	D	Dividend	N	T					
4. Hilliard-Lyon Gov't Fd.			L	T					
5. Berkshire Hathaway-B			L	T					
6. Chevron			K	T					
7. Exxon Mobil			L	T					
8. Growth Fd. Of America			M	T					
9. HILLIARD LYONS TRUSTEE (IRA)-Hilliard-Lyon Gov't Fd.	D	Dividend	N	T					
10. New World Fd.			L	T	Buy	6/25	L		
11. Capital Income Bldr. Fd.			L	T	Buy	6/25	L		
12. Hilliard Lyons Growth Fd					Sold	6/25	M	D	
13. Bond Fd of America			L	T					
14. OTHER INVESTMENTS									
15. Amazon	A	Dividend	J	T	Buy	9/20	J		
16. American Tower Corp	A	Dividend	J	T					
17. Apple Inc.	A	Dividend	K	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P1 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000 R = Cont (Real Estate Only) V = Other	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$3,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000 S = Assessment W = Estimated	D = \$5,001 - \$15,000 I12 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000 T = Cash Market	E = \$15,001 - \$50,000
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FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

HEYBURN II, JOHN G.

Date of Report

03/28/2011

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

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. Berkshire Hathaway	A	Dividend	M	T					
19. Bristol Myers Squibb	C	Dividend	L	T	Sold (part)	6/25/	J	C	
20. Brown Forman Inc.	A	Dividend	L	T					
21. Chevron Corp.	B	Dividend	M	T					
22. Clorox Co.	A	Dividend	L	T					
23. Colgate Palmolive	A	Dividend	L	T					
24. Costco	A	Dividend	K	T	Buy	9/20/	J		
25. Disney Co.	A	Dividend	K	T					
26. Emerson Electric Co.	A	Dividend	J	T					
27. Exxon Mobil	B	Dividend	M	T	Sold (part)	6/25/	L	F	
28. General Electric Co.	B	Dividend	L	T	Sold (part)	12/7/	K	B	
29. GlaxoSmithKline PLC * 	A	Dividend	K	T					
30. Goldman Sachs	A	Dividend	J	T					
31. Growth Fd. Of America	A	Dividend	L	T					
32. Hilliard Lyons Growth	B	Dividend	K	T					
33. Home Depot Inc.	A	Dividend	K	T	Sold (part)	4/21	K	C	
34. Johnson and Johnson	A	Dividend	M	T	Sold (part)	11/30	K	D	

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2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

HEYBURN II, JOHN G.

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03/28/2011

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35. Kimberly-Clark Corp	A	Dividend			Sold	11/30	K	D	
36. Medtronic Inc.	A	Dividend			Sold	6/24/	J	C	
37. Merck and Co.	A	Dividend	K	T	Sold (part)	12/7/	J	C	
38. Microsoft	A	Dividend	M	T	Sold (part)	6/24/	K	C	
39. Moodys	A	Dividend			Sold	6/24/	K	D	
40. Pepsico	A	Dividend	J	T					
41. Powershares Global Exch.	A	Dividend			Sold	9/28/	K		
42. Proctor & Gambill	B	Dividend	L	T	Sold (part)	11/30	K	D	
43. Schlumberger Ltd	A	Dividend	L	T					
44. US Wireless Online, Inc.	A	Dividend	J	T					
45. Walgreen Company	A	Dividend	K	T	Sold (part)	3/15/	J	C	
46. TRUST - (HRH Tr.)	D	Dividend	M	T					
47. Baird Bond Fund									
48. Blackrock Fd.									
49. Gen.Elect.									
50. Ishares Tr.									
51. JP Morgan Co.									

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FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

HEYBURN II, JOHN G.

Date of Report

03/28/2011

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52. TRUST (MPS Non-exempt Tr.) - Armanda Money Mkt.Fd.	D	Dividend	M	T					
53. Ky. Tax Exempt Money Fd									
54. BP PLC ADR					Sold	5/13/			
55. Coca Cola Co									
56. General Electric					Sold	6/24/			
57. GlaxoSmithKline PLC									
58. Honeywell Intl.									
59. Johnson & Johnson									
60. McGraw-Hill Co.									
61. Nokia Corp.					Sold	6/24/			
62. Proctor & Gamble					Sold	6/24/			
63. Schlumberger Ltd.									
64. Texas Instruments					Sold	6/24/			
65. ING ReliaStar Ins.Co. Universal Life Policy			N	V					
66. MONY Whole Life			K	V					

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3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

HEYBURN II, JOHN G.

Date of Report

03/28/2011

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

NOTE 1 - The I.S. Trust and the F.F.S. Trust are trusts under which I am not a direct income or principal beneficiary. I am not a trustee and have no control over the investments. I receive income by assignment [REDACTED]. I do not read or review any records of investments and have little knowledge of them. Consequently, I do not believe that the individual investments within the trust create a conflict or are necessary to be reported.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

HEYBURN II, JOHN G.

Date of Report

03/28/2011

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature _____



NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544