

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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

1. Person Reporting (last name, first, middle initial) Bertelsman, William O.	2. Court or Organization KY-ED	3. Date of Report 08/12/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (Senior)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address 35 West Fifth Street P. O. Box 1012 Covington, KY 41012-1012		
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.		

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

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.		
2.		
3.		

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Name of Person Reporting

Bertelsman, William O.

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

A. Filer's Non-Investment Income



NONE (No reportable non-investment income.)

DATE

SOURCE AND TYPE

INCOME
(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.)

DATE

SOURCE AND TYPE

1.		
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.)

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Bertelsman, William O.	08/12/2020

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

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
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.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. Individual Assets (H)									
2. Fifth Third Bank (cash)	A	Interest	L	T					
3. WesBanco (formerly United Bank And Capital Trust) (cash)	A	Interest	L	T					
4. BB&T (cash)	A	Interest	M	T					
5. Goldline		None	L	T					
6. Legg Mason QS Intl Eq Fd A (LMEAX)	A	Dividend	K	T					
7. Dupree, Kentucky- Short/Med. Fund (KYSMX)	C	Dividend	M	T					
8. Dupree, Kentucky - Tax Free Fund (KYTFX)	D	Dividend	O	T					
9. Dreyfus Growth & Income Fund (DGRIX)	B	Dividend	J	T					
10. BankAmerica Corp. (common stock) (BAC)	A	Dividend	J	T					
11. U.S. Savings Bonds	A	Interest	K	T					
12. IRA #1 (H)									
13. Blackrock Global Allocation Fd Inc C (MCLOX)	C	Dividend	L	T					
14. First Eagle Global Class C (FESGX)	A	Dividend	K	T					
15. Ivy Asset Strategy Fund CL C (WASCX)	B	Dividend	K	T					
16. Loomis Sayles Strategic Income Fd Cl C (NECZX)	A	Dividend	J	T					
17. Michigan Education Savings Program (H)									

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. Michigan Education Savings Program Principal Plus Option 1934		None	M	T	Distributed (part)	12/23/19	K		
19. Michigan Education Savings Program Moderate Age-Based Opt. 18 & Over		None	M	T	Distributed (part)	12/23/19	K		
20. BROKERAGE #1 (H)									
21. Merrill Lynch Bank (cash)	A	Interest	M	T					
22. Chevron-Texaco Corp. (CVX)	B	Dividend	L	T					
23. Clorox Co. (CLX)	C	Dividend	M	T					
24. Duke Energy (DUK)	A	Dividend	J	T					
25. Enbridge (ENB)	A	Dividend	J	T					
26. Energy Transfer LP (ET)	B	Dividend	J	T					
27. Exxon Mobil Corp. (XOM)	B	Dividend	K	T					
28. General Mills, Inc. (GIS)	B	Dividend	K	T					
29. Pepsico, Inc. (PEP)	D	Dividend	N	T					
30. Procter & Gamble Co. (PG)	E	Dividend	P1	T					
31. Southern Co. (SO)	C	Dividend	M	T					
32. Suncoke Energy Inc (SXC)		None	J	T					
33. Wisconsin Energy Corp. (WEC)	C	Dividend	M	T					
34. AB All Market Total Return Port Cl C (ABWCX)		None	M	T					

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

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☐ 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				
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35. Alliance Bernstein Disc. Growth Fd (CHCCX)	E	Dividend	L	T					
36. Blackrock Global Allocation Fund (MCLOX)	D	Dividend	M	T					
37. Goldman Sachs Rising Div. (GSRCX)	E	Dividend	K	T					
38. Ivy Asset Strategy Fund CL C (WASCX)	E	Dividend	L	T					
39. Janus Henderson Forty Fund C (JACCX)	C	Dividend	L	T					
40. Natixis Oakmark Int'l Fund (NOICX)	B	Dividend	K	T					
41. PGIM (formerly Prudential) Jennison Equity Income Fund (AGOCX)	D	Dividend	K	T					
42. BROKERAGE #2 (H)									
43. Merrill Lynch Bank Deposit Program (cash)	A	Interest	O	T					
44. Ky. State Turnpike Authority (491552WU5)	B	Interest	L	T					
45. Ky State Turnpike Auth (491552VP7)	B	Interest	L	T					
46. New York St. Dorm Auth. (649902U68)	A	Interest	K	T					
47. Franklin Ky PPC First (352832AN9)	B	Interest	L	T					
48. Ky State Ppty & Bldg (49151E5L3)	B	Interest	L	T					
49. New Jersey State Revenue Series O (646039RA7)	C	Interest	L	T					
50. New Mexico St. Severance (647310Q95)	B	Interest	K	T					
51. Washington State Various Purpose Series R (93974CH86)	C	Interest	L	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52. University of Kentucky Gen'l Resources (914378FK5)	B	Interest	K	T					
53. Va. College Bldg. Authority (927781ZN7)	A	Interest	L	T					
54. Louisiana University Agriculture (546540MK8)	B	Interest	L	T					
55. Louisville Jefferson KY MET (546585JE1)	B	Dividend	K	T					
56. Wisconsin St Go Bds Ser C (97705MAS4)	B	Interest	K	T					
57. Nevada Sys. Hgr. Ed. (641496HW7)	B	Interest	L	T					
58. Oregon St Dept Transn (68607DTA3)		None	K	T					
59. Vermont Mun Bd Bk Ser 5 RF (924214WA3)	C	Interest	L	T					
60. Charlotte NC Arpt Rev (161036NQ7)	B	Interest	L	T					
61. Illinois Fin Auth Rev Fd Rev Bds (45204EXS2)	B	Interest	L	T					
62. Kentucky Infrastructure (4913138A3)		None	K	T					
63. Connecticut St Go Bds B (20772J7G1)	B	Interest	L	T					
64. Saline Mich Area SHS (795200JM7)	A	Interest	L	T					
65. Louisville-Jeff Ky Met Swr Rv Rev Bds Ser A (546589RS3)	B	Interest	K	T					
66. Auburn Univ Al Gen Fee (050589PG9)	B	Interest	L	T					
67. Dekalb Cnty Ga Wtr-Sew Rev Ref Bds Ser A (240523YS3)	C	Interest	L	T					
68. Maine St Tpk Auth Tpk (560551PV9)	B	Interest	L	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
69. Massachusetts St Go Ref Bds Lt Ser B (57582RKP0)	B	Interest	K	T					
70. BROKERAGE #3 (H)									
71. Fifth Third Bank, Fort Thomas, KY (Common Shares) (FITB)	A	Dividend	K	T					
72. BROKERAGE #4 (H)									
73. UBS Government Reserve	A	Interest	J	T					
74. Automatic Data Processing, Inc (ADP)	B	Dividend	L	T					
75. CDK Global Income (CDK)	A	Dividend	J	T					
76. Clorox (CLX)		None	K	T					
77. Coca Cola Co. (KO)	B	Dividend	L	T					
78. Exxon Mobile Corp. (XOM)	A	Dividend	J	T					
79. Johnson & Johnson (JNJ)	B	Dividend	L	T					
80. Kroger Co. (KR)	A	Dividend	K	T					
81. Medtronic (MDT)	A	Dividend	K	T					
82. Occidental Petroleum (OXY)	A	Dividend	J	T					
83. Procter & Gamble - Common stock (PG)	B	Dividend	L	T					
84. Western Union Co. (WU)	A	Dividend	K	T					
85. 3M Co. (MMM)	B	Dividend	L	T					

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86. IShares Trust Russell Midcap Growth (IWP)	A	Dividend	J	T					
87. American Funds Growth Fund of America (GFAFX)	A	Dividend	L	T					
88. DWS Group GmbH & Co. KGaA (DWS)	B	Dividend	L	T					
89. Templeton Foreign Fund Cl A (TEMFX)	A	Dividend	K	T					
90. T-Rowe Price Equity Index 500 (PREIX)	B	Dividend	M	T					
91. Victory Small Company Fund (GOGFX)	A	Dividend	K	T					
92. Victory Established Value Fund (GETGX)	A	Dividend	L	T					
93. BROKERAGE #5 (H)									
94. T. Rowe Price Equity Index 500 (PREIX)	A	Dividend	J	T					
95. T. Rowe Price Health Sciences Fund (PRHSX)	D	Dividend	M	T					
96. T. Rowe Price Financial Services (PRISX)	B	Dividend	K	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

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IX. CERTIFICATION.

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

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

Signature: **s/ William O. Bertelsman**

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

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