

**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) simpson, charles r.	2. Court or Organization kywd	3. Date of Report 04/03/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) senior/dist	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 601 w.broadway #247 louisville, ky 40202		
IMPORTANT NOTES: <i>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>		

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

☐ NONE *(No reportable positions.)*

POSITION

NAME OF ORGANIZATION/ENTITY

1. Executive Committee	Federal judges Assn
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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simpson, charles r.

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

A. Filer's Non-Investment Income



NONE *(No reportable non-investment income.)*

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

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.*

(Dollar amount not required except for honoraria.)



NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
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.	Federal Judges Assn	3/26-3/27	Washington DC	Board Meeting	Transport, meals, lodging
2.	Federal Judges Assn	4/15-4/16	Dallas, TX	Board meeting	Transport, meals, lodging
3.					
4.					
5.					

Name of Person Reporting simpson, charles r.	Date of Report 04/03/2020
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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. Transcend CU	A	Interest	L	T					
2. Louv. fed CU	A	Interest	L	T	Sold (part)	01/17/19	K	A	
3. Dupree Taxable Muni Bond ser	B	Dividend	K	T	Sold (part)	11/01/19	J	A	
4. vanguard Totl Stk Mkt idx fnd	B	Dividend	L	T	Sold (part)	11/06/19	J	A	
5. HH bonds	E	Interest	J	T	Sold (part)	02/15/19	J	B	
6.					Sold (part)	06/05/19	K	E	
7.					Sold (part)	12/04/19	J	D	
8. Stockyrds bk cash acct	A	Interest	L	T					
9. dupree ky tax-free	D	Dividend	M	T					
10. A (H)									
11. Vanguard Prime MM Fnd	A	Dividend	J	T					
12. Vanguard federal MM Fund	A	Dividend	J	T	Buy (add'l)	06/28/19	J		
13.					Sold (part)	07/02/19	J	A	
14. Churchill downs com	A	Dividend	K	T					
15. johnson outdrs com	A	Dividend	K	T	Sold (part)	06/28/19	J	A	
16. Vangrd totl stk mkt idx admiral fd	B	Dividend	L	T					
17. van guard Short-term Treas.adm fd	B	Dividend	M	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)

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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simpson, charles r.

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. Vanguard adm treas mm fd	A	Dividend	K	T					
19. C (H)									
20. Vanguard Fed MM Fnd	A	Dividend	J	T	Buy (add'l)	07/02/19	K		
21.					Sold (part)	07/03/19	K	A	
22. Vanguard Prime MM Fund	A	Dividend	K	T					
23. Churchill Downs com	A	Dividend	K	T					
24. Washington Prime Group com (CUSIP change from WP Glimcher Com	A	Dividend			Sold	06/28/19	J	A	
25. Johnson Outdoors com	A	Dividend	K	T	Sold (part)	06/28/19	K	A	
26. ventas com	C	Dividend	L	T					
27. SABRA Health Care comm	A	Dividend			Sold	06/28/19	J	A	
28. Vanguard totla stock mkt idx ADM fd	D	Dividend	O	T					
29. Vanguard Short-term treas ADM fd	B	Dividend	L	T					
30. B (H)									
31. Vanguard Fed MM Fnd	A	Dividend	J	T					
32. Churchill Downs com	A	Dividend	M	T					
33. Encompass Health Corp com	A	Dividend	J	T					
34. National Hlth invs com	B	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 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
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)					

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Name of Person Reporting

simpson, charles r.

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(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)
35. ventas com	B	Dividend	K	T					
36. SABRA Health Care comm	A	Dividend	J	T					
37. Vanguard Tax-managed Cap Apprec Adm fd	D	Dividend	O	T	Buy (add'l)	07/02/19	J		
38. Devel Markets Idx fd (formerly Vanguard Tax-manged Int'l fd)	C	Dividend	L	T					
39. vanguard Tax-managed sm Cap fd	B	Dividend	M	T					
40. Municipal Money Market Fund (formerly Vanguard Tax-Exempt mm fd)	A	Dividend	K	T					
41. Vanguard Trsy (Admiral) MM fd	D	Dividend	O	T					
42. D (H)									
43. Vanguard Fed MM Fnd	C	Dividend	M	T	Buy (add'l)	01/23/19	K		
44.					Buy (add'l)	07/09/19	M		
45.					Buy (add'l)	12/30/19	L		
46. BNY Strategic Municipals fd (Formerly Dreyfus)	A	Dividend	J	T					
47. GE com	A	Dividend	J	T					
48. WABTEC com.	A	Dividend	J	T	Spinoff (from line 47)	02/25/19	J		
49. Nextera com	A	Dividend	K	T					
50. Devel Markets idx fd (formerly Vanguard Tax-mang Int'l fd)	A	Dividend	J	T					
51. Vanguard Tax-Managed Small Cap fd	A	Dividend	K	T					

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

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	(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)
52. Vanguard Municipal Money Mkt Fnd (formerly Vanguard Tax-Exempt MM fd)	A	Dividend	J	T	Buy (add'l)	07/08/19	J		
53. vanguard Trsy MM fd	A	Dividend			Sold	07/08/19	J	A	
54. Vanguard Tax-Managed Cap. Apprec. Admiral Fund	C	Dividend	M	T	Buy (add'l)	07/03/19	K		
55. Investment Club #1 (H)									
56. -Citibank, NA (cash bank acct.)(Changed from Wells Fargo October 2019	A	Int./Div.	J	T					
57. -Accenture PLC com	A	Dividend	L	T	Buy	01/16/19	K		
58.					Sold (part)	02/11/19	K	A	
59.					Buy (add'l)	03/13/19	K		
60.					Buy (add'l)	05/15/19	K		
61. -Air Products & Chemicals com	B	Dividend	L	T					
62. -Allstate Corp com	A	Dividend	K	T					
63. -Alphabet Inc. Com	A	Dividend	M	T	Buy (add'l)	11/13/19	K		
64. -Amazon Com Inc. com	A	Dividend	L	T					
65. -American Tower Com	A	Dividend	L	T					
66. -Apple Com	B	Dividend	M	T	Buy (add'l)	03/13/19	J		
67. -Berkshire Hathaway Cl B Com	A	Dividend	L	T					
68. -Brown-Forman A com`	A	Dividend	L	T	Buy (add'l)	09/11/19	K		

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2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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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. -CVS Health Corp. com	A	Dividend			Sold	03/13/19	K	D	
70. -Churchill Downs com	A	Dividend	L	T					
71. -Diageo PLC ADR Com	A	Dividend	K	T					
72. -Facebook Inc. Com	A	Dividend	L	T	Buy (add'l)	07/10/19	K		
73. -Fiserv Inc. Com	A	Dividend	M	T					
74. -Home Depot com	B	Dividend	L	T					
75. -McDonalds Com	B	Dividend	L	T					
76. -Norfolk Southern Corp Com	B	Dividend	L	T					
77. -Schlumberger com	A	Dividend			Buy (add'l)	05/15/19	J		
78.					Sold (part)	07/10/19	J	A	
79.					Sold	09/11/19	J	A	
80. -Southwest Airlines com	A	Dividend			Buy (add'l)	01/16/19	K		
81.					Buy (add'l)	03/13/19	J		
82.					Sold	11/13/19	K	C	
83. -Sysco com	A	Dividend	K	T	Buy	07/10/19	J		
84.					Buy (add'l)	11/13/19	K		
85. -Visa Inc Cl A com	A	Dividend	M	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 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000 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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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)
86. -Waters Corp Com	A	Dividend	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
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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	

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

Lines 11-12 and 19-20 Funds were not combined as erroneously reported last year, so I have separated them correctly in this report.

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IX. CERTIFICATION.

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

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

Signature: **s/ charles r. simpson**

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544