

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) Jennings, Rebecca G.	2. Court or Organization U.S. District Court, Western District of Kentucky	3. Date of Report 05/12/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District Judge - Active	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 Chambers of Judge Rebecca Grady Jennings United States District Court for the Western District of Kentucky 601 West Broadway Louisville, Kentucky 40202		
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.)

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

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

☒ NONE (No reportable agreements.)

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Jennings, Rebecca G.

Date of Report

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

A. Filer's Non-Investment Income



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

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

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

(Dollar amount not required except for honoraria.)



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

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2019	Commonwealth Alliances, LLC - government relations services income
2. 2019	Self-Employed - ParSyd, LLC - government relations services income
3.	
4.	

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)



NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Jennings, Rebecca G.	05/12/2020

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.		

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Name of Person Reporting

Jennings, Rebecca G.

Date of Report

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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)
1. Bank Cash Accounts (H)									
2. -BB&T Cash Accounts	A	Interest	N	T					
3. -Wells Fargo Cash Account	A	Interest	J	T					
4. -UMB Health SavingsAccount	A	Interest	J	T					
5. RGJ 401K - Fidelity Netbenefit (H)									
6. -American Century One Choice 2050 Portfolio	E	Dividend	M	T	Buy	03/28/19	J		
7. -Fidelity Total Bond Fund	B	Dividend	K	T					
8. -T Rowe Price Blue Chip Growth Fund	A	Dividend	L	T	Buy	03/28/19	J		
9. -Hartford International Oppertunities Fund Inc.	A	Dividend	K	T	Buy	03/28/19	J		
10. -Blackrock High Yield Portfolio	B	Dividend	K	T					
11. I-nvesco Diversified Divided Fund	B	Dividend	K	T					
12. -Vanguard Small Cap Index Fund	A	Dividend	K	T					
13. -JP Morgan Midcap Value Fund	A	Dividend	J	T					
14. -Fidelity Small Cap Value Fund	A	Dividend	K	T	Buy	03/28/19	J		
15. -Vanguard vmmr-FED Market	A	Interest	J	T					
16. -Janus Henderson Triton Fund	A	Dividend	K	T	Buy	03/28/19	J		
17. -Vanguarg Mid Cap Growth Index Fund	A	Dividend	J	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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Name of Person Reporting

Jennings, Rebecca G.

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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 REIT Indev Fund	A	Dividend	J	T					
19. RGJ IRA #1 PCH (H)									
20. -Greenbrier Companies Inc. Common Stock	A	Dividend	J	T					
21. -First Eagle Overseas Fund	A	Dividend	J	T					
22. -JP Morgan Midcap Value Fund	A	Dividend	J	T					
23. -JP Morgan Small Cap Equity	A	Dividend	J	T					
24. -Prudential Total Return Bond A	A	Dividend	J	T					
25. -Prudential Total Return Bond C	A	Dividend	J	T					
26. MPJ IRA #2 PCH (H)									
27. -Microsoft Corporaction	A	Dividend	K	T					
28. -Delta Airlines Incorporated	A	Dividend	J	T					
29. -American Funds New World Fund Class A	A	Dividend	J	T					
30. -American Funds The Investment Company of America Class A	A	Dividend	J	T					
31. -American Fund Small Cap World Fund Class A	A	Dividend	J	T					
32. -Perishing Government Account	A	Interest	J	T					
33. -American Funds The Growth Fund of America Class A	A	Dividend	J	T					
34. -Transocean Common Stock	A	Dividend	J	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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☐ NONE (No reportable income, assets, or transactions.)

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35. PRJ 529 #1 (H)									
36. -American Funds Capital World Growth and Income - 529A	A	Dividend	J	T					
37. PRJ 529 #2 (H)									
38. -American Funds College Target Date 2024 (CFTAX)	A	Dividend	K	T					
39. SAJ 529 #1 (H)									
40. -American Funds Capital World Growth and Income - 529A	A	Dividend	J	T					
41. SAJ 529 #2 (H)									
42. -American Funds College Target Date 2030 (CTHAX)	A	Dividend	J	T					
43. MPJ SEP IRA #3 (H)									
44. -iShares Floating Rate Bond (FLOT) EFT	A	Dividend	J	T	Buy	04/22/19	J		N/A
45.					Buy (add'l)	11/20/19	J		N/A
46. -iShares S&P 500 GROWTH (IVW) EFT	A	Dividend	K	T	Buy	04/22/19	J		N/A
47.					Sold (part)	11/20/19	J	A	N/A
48. -iShares S&P 500 Value (IVE) EFT	A	Dividend	K	T	Buy	04/15/19	J		N/A
49.					Buy (add'l)	04/22/19	J		N/A
50.					Sold (part)	11/20/19	J	A	N/A
51. -iShares TIP Bond (TIP) ETF	A	Dividend	J	T	Buy	04/22/19	J		N/A

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 M =\$100,001 - \$250,000
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	P2 =\$5,000,001 - \$25,000,000	
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52. -AB Interm Bond Port (ABQYX) (name change to AB Total Return Bond)	A	Dividend	J	T	Buy	04/22/19	J		N/A
53.					Sold (part)	11/20/19	J	A	N/A
54. -Baird Agg Bond (BAGIX)	A	Dividend	K	T	Buy	04/15/19	J		N/A
55.					Buy (add'l)	04/22/19	J		N/A
56.					Sold (part)	11/20/19	J	A	N/A
57. -Blackrock High Inc Opp (BDHIX)	A	Dividend	J	T	Buy	04/22/19	J		N/A
58.					Sold (part)	11/20/19	J		N/A
59. -Federated Equity Str Value Div (SVAIX)	A	Dividend	J	T	Buy	04/15/19	J		N/A
60.					Buy (add'l)	04/22/19	J		N/A
61.					Sold (part)	11/20/19	J		N/A
62. -Fidelity Advisors New Market Income (FGZMX)	A	Dividend			Buy	04/22/19	J		N/A
63.					Sold	11/20/19	J	A	N/A
64. -Fidelity New Market (FNMIX)	A	Dividend	J	T	Buy	11/20/19	J		N/A
65. -Fidelity Advisors Real Estate Income (FRIRX)	A	Dividend			Buy	04/22/19	J		N/A
66.					Sold	11/20/19	J	A	N/A
67. -Fidelity Real Estate (FRIFX)	A	Distribution	J	T	Buy	11/20/19	J		N/A
68. -American Funds EuroPacific Growth Fund Class F2 (AEPFX)	A	Dividend			Buy	04/15/19	J		N/A

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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69.					Buy (add'l)	04/22/19	J		N/A
70.					Sold	11/20/19	K	C	N/A
71. -American Funds EuroPacific Growth Class F3 (FEUPX)	B	Dividend	K	T	Buy	11/20/19	K		N/A
72. -Oppenheimer Dev Mkts(name change Invesco Oppenhiemer Dev Mkts (ODVYX)		Dividend			Sold (part)	04/15/19	J		N/A
73.					Buy	04/22/19	J		N/A
74.					Sold	11/20/19	K	C	N/A
75. -Invesco Oppenheimer Dev. R6 (ODVIX)	A	Dividend	K	T	Buy	11/20/19	K		N/A
76. -Russell Invt US Small Cap Equity (RLESX)	B	Dividend	K	T	Buy	04/15/19	J		N/A
77.					Buy (add'l)	04/22/19	J		N/A
78.					Buy (add'l)	11/20/19	J		N/A
79. -iShares Core S&P Mid ETF (IJH)	A	Dividend	K	T	Buy	04/15/19	J		N/A
80.					Buy (add'l)	04/22/19	J		N/A
81.					Buy (add'l)	11/20/19	J		N/A
82. -iShares Intermediate Government Credit Bond (GVI)	A	Dividend	J	T	Buy	04/22/19	J		N/A
83. -iShares MSCI EAFE Value (EVF)	B	Dividend	K	T	Buy	04/15/19	J		N/A
84.					Buy (add'l)	04/22/19	J		N/A
85.					Buy (add'l)	11/20/19	J		N/A

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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86. -iShares High Dividend (HDV)	A	Dividend	J	T	Buy	04/15/19	J		N.A
87.					Buy (add'l)	04/22/19	J		N/A
88.					Buy (add'l)	11/20/19	J		N/A
89. -Hilliard Lyons Money Market	A	Interest			Closed	10/16/19	J		N/A
90. -Baird Money Market Gen Govt Sec MM D CL	A	Interest	J	T					
91.									
92.									
93.									
94.									
95.									
96.									
97.									
98.									
99.									
100.									
101.									
102.									

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

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

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.)

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103.									
104.									

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

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IX. CERTIFICATION.

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

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

Signature: **s/ Rebecca G. Jennings**

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