

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) Hale, David J.	2. Court or Organization U.S. District Court, Western Kentucky	3. Date of Report 05/14/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address Gene Snyder U.S. Courthouse 601 W. 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Member, Advisory Board	Judge John G. Heyburn II Initiative for Excellence in the Federal Judiciary
2. Member, Board of Directors	Federal Judges Association
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Hale, David J.

Date of Report

05/14/2020

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	Baptist Health - salary
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.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Hale, David J.	05/14/2020

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.	Transylvania University	Tuition payment plan	J
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Hale, David J.

Date of Report

05/14/2020

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)
1. First Financial Bank	A	Interest	K	T					
2. Louisville Federal Credit Union (opened in 2019)	A	Interest	J	T					
3. Investment Account (H)									
4. Legg Mason Funds Clearbridge Dividend Strategy Fd Class I	C	Dividend	K	T	Sold (part)	08/02/19	J	A	
5.					Buy (add'l)	12/20/19	J		
6. Virtus Funds KAR Small Cap Core Fund Class I	C	Dividend	K	T	Sold (part)	08/02/19	J	A	
7.					Buy (add'l)	12/23/19	J		
8. Wells Fargo Cash Accounts	A	Interest	J	T					
9. Legg Mason Funds Clearbridge Aggressive Growth Fd Class I	A	Dividend	J	T	Sold (part)	08/02/19	J	A	
10.					Buy (add'l)	12/19/19	J		
11. Blackrock Funds IShares S&P 500 Index Fd	B	Dividend	J	T	Sold (part)	08/02/19	J	A	
12.					Buy (add'l)	12/13/19	J		
13. Retirement Accounts (H)									
14. Vanguard Inst'l Target Retirement 2035 Fund	B	Dividend	K	T					
15. Vanguard Target Retirement 2035 Trust I	A	Dividend	J	T					
16. Aberdeen Emerging Markets Fd Inst'l Class I	A	Dividend	J	T	Sold (part)	12/05/19	J	A	
17.					Buy (add'l)	12/23/19	J		

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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Hale, David J.

Date of Report

05/14/2020

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)
18. Edgewood Funds Growth Fd Inst'l Class	A	Dividend	J	T	Sold (part)	03/21/19	J	A	
19.					Sold (part)	12/05/19	J	A	
20.					Buy (add'l)	12/23/19	J		
21. Goldman Sachs Financial Square Treasury Instruments Fd (Money Market	A	Interest	J	T	Sold (part)	01/11/19	J	A	
22.					Buy (add'l)	03/21/19	J		
23.					Sold (part)	04/12/19	J	A	
24.					Sold (part)	07/12/19	J	A	
25.					Sold (part)	10/11/19	J	A	
26.					Buy (add'l)	12/05/19	J		
27. American Funds Growth Fd of America Class F-2	A	Dividend	J	T	Buy (add'l)	07/24/19	J		
28.					Buy (add'l)	08/28/19	J		
29.					Buy (add'l)	12/05/19	J		
30. Hartford Mutual Funds Midcap Fd	A	Dividend	J	T	Sold (part)	12/05/19	J	A	
31.					Buy (add'l)	12/11/19	J		
32. American Funds Washington Mutual Fund F2	B	Dividend	J	T	Buy	02/08/19	J		
33.					Buy (add'l)	07/23/19	J		
34.					Buy (add'l)	08/28/19	J		

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		

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Hale, David J.

Date of Report

05/14/2020

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)
35.					Sold (part)	12/05/19	J	A	
36. Lazard International Equity Portfolio Institutional Shares	A	Dividend	J	T	Buy (add'l)	02/11/19	J		
37.					Sold (part)	07/23/19	J	A	
38. Meridian Funds Small Cap Growth Fund	A	Dividend	J	T	Sold (part)	02/08/19	J	A	
39.					Buy (add'l)	07/23/19	J		
40.					Buy (add'l)	12/05/19	J		
41. Metropolitan West Funds Total Return Bd Fd Class I	A	Dividend	J	T	Buy (add'l)	02/08/19	J		
42.					Buy (add'l)	08/28/19	J		
43.					Buy (add'l)	12/05/19	J		
44. American Funds Europacific Growth Fund	A	Dividend	J	T	Buy (add'l)	02/11/19	J		
45.					Sold (part)	12/05/19	J	A	
46. Pimco Funds Emerging Markets Bd Fd Inst'l Class	A	Dividend	J	T					
47. Touchstone Mid Cap Value Fd Class Y	A	Dividend	J	T					
48. Dean Small Cap Value Fd Class I	A	Dividend	J	T	Sold (part)	02/08/19	J	A	
49.					Buy (add'l)	07/23/19	J		
50. Principal Global Real Estate Securities Fd	A	Dividend			Sold	07/23/19	J	A	
51. Invesco Balanced Risk Commodity Strategy Fd Class Y	A	Dividend			Sold	07/23/19	J	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	
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 7 of 10

Name of Person Reporting

Hale, David J.

Date of Report

05/14/2020

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)
52. Diamond Hill Funds Large Cap Fd Class 1	A	Dividend			Sold	02/08/19	J	C	
53. Virtus Vontobel Emerging Markets Opportunities Fund	A	Dividend	J	T	Sold (part)	08/28/19	J	A	
54.					Buy (add'l)	12/05/19	J		
55.					Buy (add'l)	12/23/19	J		
56. Virtus Funds KAR Small Cap Core Fund Class 1	D	Dividend	K	T	Sold (part)	01/11/19	J	A	
57.					Sold (part)	04/12/19	J	A	
58.					Sold (part)	07/12/19	J	A	
59.					Sold (part)	10/11/19	J	A	
60.					Sold (part)	10/25/19	J	A	
61.					Buy (add'l)	12/23/19	J		
62. Blackrock Funds IShares S&P 500 Index Fd	D	Dividend	K	T	Sold (part)	10/25/19	J	A	
63.					Buy (add'l)	12/13/19	J		
64. Legg Mason Funds Clearbridge Dividend Strategy Fd Class 1	D	Dividend	L	T	Sold (part)	10/25/19	J	A	
65.					Buy (add'l)	12/20/19	J		
66. Legg Mason Funds Clearbridge Aggressive Growth Fd Class 1	A	Dividend	K	T	Sold (part)	10/25/19	J	A	
67.					Buy (add'l)	12/06/19	J		
68. Legg Mason Funds Clearbridge Appreciation Fund Class 1	B	Dividend	K	T	Sold (part)	10/25/19	J	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	
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	

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)
69.					Buy (add'l)	12/06/19	J		
70. Wells Fargo Cash Accounts	A	Interest	J	T					
71.									
72.									

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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting	Date of Report
Hale, David J.	05/14/2020

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

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Hale, David J.

Date of Report

05/14/2020

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/ **David J. Hale**

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