

AO-10
Rev. 1/91

FINANCIAL DISCLOSURE REPORT

Report Required by the Ethics
Reform Act of 1989, Pub. L. No.
101-194, November 30, 1989
(5 U.S.C.A. App. 6, §§101-112)

1. Person Reporting (Last name, first, middle initial) Heyburn, John G. II		2. Court or Organization Brown, Todd & Heyburn	3. Date of Report 3/20/92
4. Title (Article III judges indicate active or senior status; Registrars indicate full- or part-time) Partner		5. Report Type (check appropriate type) ☒ Election, Date <u>3/20/92</u> — Initial — Annual — Final	6. Reporting Period Jan. 1, 1991 to March 15, 1992
7. Chambers or Office Address 1600 Citizens Plaza Louisville, Kentucky 40202			
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each section where you have no reportable information. Sign on last page.			

I. POSITIONS. (Reporting individual only; see pp. 7-8 of Instructions.)

POSITION

NAME OF ORGANIZATION/ENTITY

☐

NONE (No reportable positions)

Partner

Brown, Todd & Heyburn

Director

Cave Hill Cemetery, Inc.

Trustee

Henry R. Heyburn and John Gilpin Heyburn

Memorial Fund

II. AGREEMENTS. (Reporting individual only; see p. 8-9 of Instructions.)

DATE

PARTIES AND TERMS

☒

NONE (No reportable agreements)

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 9-12 of Instructions.)

DATE

SOURCE AND TYPE

GROSS INCOME

(Honoraria only)

(yours, not spouse's)

☐

NONE (No reportable non-investment income)

1	1991	Brown, Todd & Heyburn Partnership (estimate)	\$ 70,000
2	1991	Ophthalmology Associates, P.S.C. (S)	\$ N/A
3			\$
4			\$
5			\$
			\$

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting

John G. Heyburn II

Date of Report

3/20/92

IV. REIMBURSEMENTS and GIFTS – transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children; use the parentheticals "(S)" and "(DC)" to indicate reportable reimbursements and gifts received by spouse and dependent children, respectively. See pp.13-15 of instructions.)

SOURCE

DESCRIPTION

☐

NONE (No such reportable reimbursements or gifts)

1

Exempt

2

3

4

5

6

7

8

V. OTHER GIFTS.

(Includes those to spouse and dependent children; use the parentheticals "(S)" and "(DC)" to indicate other gifts received by spouse and dependent children, respectively. See pp.15-16 of instructions.)

SOURCE

DESCRIPTION

VALUE

☐

NONE (No such reportable gifts)

1

Exempt

2

3

4

\$

\$

\$

\$

VI. LIABILITIES.

(Includes those of spouse and dependent children; indicate where applicable, person responsible for liability by using the parenthetical "(S)" for separate liability of spouse, "(J)" for joint liability of reporting individual and spouse, and "(DC)" for liability of a dependent child. See pp.16-18 of instructions.)

CREDITOR

DESCRIPTION

VALUE CODE*

☒

NONE (No reportable liabilities)

1

2

3

4

5

6

7

* VALUE CODES: J = \$15,000 or less K = \$15,001 to \$50,000 L = \$50,001 to \$100,000 M = \$100,001 to \$250,000
 N = \$250,001 to \$500,000 O = \$500,001 to \$1,000,000 P = More than \$1,000,000

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting
John G. Hayburn IIDate of Report
3/20/92

VII. INVESTMENTS and TRUSTS – income, value, transactions. (Includes those of spouse and dependent children; see pp. 18-27 of instructions.)

A. Description of Assets (including trust assets) Indicate, where applicable, owner of the asset by using the parenthetical "(S)" for joint ownership of reporting individual and spouse, "(S)" for separate ownership by spouse, "(DC)" for ownership by dependent child. Place "(X)" after each asset except from prior disclosure.	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amt. Code (A-S)	(2) Type (Div., Bond, Int., etc.)	(1) Value Code (J-P)	(2) Value Method Code (Q-W)	If not exempt from disclosure				
					(1) Type (e.g., Div., Bond, Int., etc.)	(2) Date: Month/Day	(3) Value Code (J-P)	(4) Gain/Loss Code (A-S)	(5) Identity of Buyer/Seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions)									
1 Isaac Starks Trust	D	Distr.			See Section VIII (Note #1)				
2 SBC Partners Ltd.	A	Distr.	J	U					
3 BT&H Retirement Account			M	T					
4 Ophth.Assoc.Retire.Acct. (S)			M	T					
5 Citizens Fid.Mon.Mkt (S)	B	Int.	J	T					
6 Cash Equiv.Fd. (R1) (S) (DC)	B	Div.	L	T					
7 Am.Home Products	A	Div.	J	T	See Section VIII (Note #2)				
8 Anheuser Busch	A	Div.	K	T					
9 BellSouth Corp.	A	Div.	J	T					
10 Bristol Myers Squibb	B	Div.	L	T					
11 Brist.Myers Squibb (S)	A	Div.	J	T					
12 C.A. Blockers	A	Div.	J	T					
13 C.A. Blockers	A	Div.	J	T					
14 Capital Holding	A	Div.	J	T					
15 Chiron Corp. (S)	A	Div.	J	T					
16 Clorox Co.	A	Div.	J	T					
17 Colgate Palmolive	A	Div.	J	T					
18 Com.Clearing House (S)	A	Div.	J	T					
19 Walt Disney Co. (S)	A	Div.	J	T					
20 Dun and Bradstreet	B	Div.	K	T					

1 Income/Gain Codes: A=\$1,000 or less (See Col. B1 & D4)	B=\$1,001 to \$2,500	C=\$2,501 to 5,000	D=\$5,001 to \$15,000
2 Value Codes: A=\$15,001 to \$50,000	F=\$50,001 to \$100,000	G=\$100,001 to \$1,000,000	H=more than \$1,000,000
(See Col. C1 & D1)	I=\$15,001 to \$50,000	L=\$100,001 to \$1,000,000	M=\$1,000,001 to \$250,000
3 Value Method Codes: Q=Appraisal	R=Cost (real estate only)	S=Assessment	T=Cash/Market
(See Col. C2)	U=Book Value	W=Other	X=Estimated

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting

John G. Heyburn II

Date of Report

3/20/92

VII. INVESTMENTS and TRUSTS -- income, value, transactions. (Includes those of spouse and dependent children; see pp. 18-27 of Instructions.)

A. Description of Assets (including trust assets) Indicate, where applicable, owner of the asset by using the parenthetical "(J)" for joint ownership of reporting individual and spouse, "(S)" for separate ownership by spouse, "(DC)" for ownership by dependent child. 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) Int. Code ¹ (A-B)	(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, Mktgr., Redemption)	If not exempt from disclosure			
						(2) Date: Month- Day	(3) Value Code ² (J-P)	(4) Gain Code ¹ (A-B)	(5) Identity of Buyer/Seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions)									
1 Exxon Corp.	A	Div.	J	T					
2 Exxon Corp. (S)	A	Div.	J	T					
3 Hanson PLC	A	Div.	J	T					
4 Home Depot Inc. (DC)	A	Div.	J	T					
5 IBM	A	Div.	K	T					
6 IBM (S)	A	Div.	J	T					
7 Int. Flavors & Frag. (S)	A	Div.	J	T					
8 Jeff. Ctry. Hosp. Bds. (S)	A	Int.	J	T					
9 Johnson and Johnson (S)	A	Div.	J	T					
10 Jones & Laughlin Bd. (S)	A	Int.	J	T					
11 Kellogg Co.	B	Div.	K	T					
12 Lib. Nat. Bancorp.	A	Div.	J	T					
13 Lib. Nat. Bancorp (S)	A	Div.	J	T					
14 May Dept. Stores (S)	A	Div.	J	T					
15 Melville Corp. (S)	A	Div.	J	T					
16 Merck and Co.	A	Div.	K	T					
17 Merck and Co. (DC)	A	Div.	J	T					
18 Morton Inter. (S)	A	Div.	J	T					
19 National City Corp. (DC)	A	Div.	K	T					
20 New York Times Co. (S)	A	Div.	J	T					

¹ Income/Gain Codes: A=\$1,000 or less B=\$1,001 to \$2,500 C=\$2,501 to 5,000 D=\$5,001 to \$15,000
 (See Col. B1 & D4) E=\$15,001 to \$50,000 F=\$50,001 to \$100,000 G=\$100,001 to \$1,000,000 H=more than \$1,000,000
² Value Codes: A=\$15,000 or less B=\$15,001 to \$50,000 C=\$50,001 to \$100,000 D=\$100,001 to \$250,000 E=\$250,001 to \$500,000 F=\$500,001 to \$1,000,000 G=more than \$1,000,000
 (See Col. C1 & D1) H=\$1,000,001 to \$250,000 I=\$250,001 to \$500,000 J=\$500,001 to \$1,000,000 K=more than \$1,000,000
³ Value Method Codes: Q=Appraisal R=Cost (real estate only) S=Donation T=Cash/Market
 (See Col. C2) U=Book Value V=Other W=Estimated

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting

John G. Hayburn II

Date of Report

3/20/92

VII. INVESTMENTS and TRUSTS -- income, value, transactions. (Includes those of spouse and dependent children; see pp. 12-27 of Instructions.)

A. Description of Assets (including trust assets) Indicate, where applicable, owner of the asset by using the parenthetical "(J)" for joint ownership of reportable individual and spouse, "(S)" for separate ownership by spouse, "(DC)" for ownership by dependent child. 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) Net Cost (A-B)	(2) Type (S, J, DC, Trust or Int.)	(1) Value, Code (J-P)	(2) Value Method Code (Q-U)	If not exempt from disclosure			
		(1) Buy, sell, day, exch., transfer, redemption	(2) Date: Month, Day	(3) Value, Code (J-P)	(4) Gain, Code (A-B)	(5) Identity of buyer/seller (if private transaction)			
☐ NONE (No reportable income, assets, or transactions)									
1 Philip Morris Co.	A Div.	J	T						
2 RJR Nabisco	A Div.	J	T						
3 RJR Nabisco Bds.	A Int.	J	T						
4 Reuters Hold.	A Div.	K	T						
5 Reuters Hold. (DC)	A Div.	J	T						
6 Sara Lee Corp.	A Div.	J	T						
7 Sara Lee Corp. (S)	A Div.	J	T						
8 U.S. Treasury Notes	B Div.	K	T						
9 U.S. Treasury Notes (S)	A Int.	K	T						
10 U.S. West Inc.	A Div.	J	T						
11 Venture Stores (S)	A Div.	J	T						
12 Vulcan Materials	A Div.	J	T						
13									
14									
15									
16									
17									
18									
19									
20									

1 Income/Gain Codes: (See Col. B1 & B4)	A-\$1,000 or less J-\$15,001 to \$50,000 K-\$15,000 or less	B-\$1,001 to \$2,500 F-\$20,001 to \$100,000 G-\$15,001 to \$50,000	C-\$2,501 to 5,000 H-\$100,001 to \$1,000,000 I-\$50,001 to \$100,000	D-\$5,001 to \$15,000 W-more than \$1,000,000 N-\$100,001 to \$250,000
2 Value Codes: (See Col. C1 & C2)	B-\$250,001 to \$500,000 Q-Appraisal U-Book Value	Q-\$500,001 to \$1,000,000 S-Cost (real estate only) W-Other	P-more than \$1,000,000 S-Assessment W-Estimated	T-Cash/Market

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting

John G. Heyburn II

Date of Report

3/20/92

VIII. ADDITIONAL INFORMATION or EXPLANATIONS. (Indicate part of Report.)

Section VII

(1) **Isaac F. Starks Trust:** The Isaac F. Starks Trust (the "Trust") was created by the will of Isaac F. Starks dated January 10, 1948. I have no right to manage or supervise the management of the Trust. I have no knowledge whatsoever as to the specific assets held by the Trust. I receive approximately 5.5% of the net income from the Trust due to an Assignment dated July 3, 1977, by my mother, Frances S. Heyburn.

(2) Unless otherwise indicated, all company listings are for common stock holdings.

IX. CERTIFICATION.

In compliance with the provisions of 28 U.S.C. § 455 and of Advisory Opinion No. 57 of the Advisory Committee on Judicial Activities, and to the best of my knowledge at the time after reasonable inquiry, I did not perform any adjudicatory function in any litigation during the period covered by this report in which I, my spouse, or my minor or dependent children had a financial interest, as defined in Canon 3C(3)(c), in the outcome of such litigation.

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.A. app. 7, § 501 et. seq., 5 U.S.C. § 7353 and Judicial Conference regulations.

Signature

JGH

Date

3/20/92

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.A. APP. 6, § 104, AND 18 U.S.C. § 1001.)

FILING INSTRUCTIONS:

Mail signed original and 3 additional copies to:

Judicial Ethics Committee
Administrative Office of the
United States Courts
Washington, DC 20544