

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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 03/26/2021
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 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address 601 w.broadway #247 louisville, ky 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. 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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Name of Person Reporting

simpson, charles r.

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.)*

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
simpson, charles r.	03/26/2021

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

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)

1. Transcend CU	A	Interest	L	T					
2. Louv. fed CU	A	Interest	L	T					
3. Dupree Taxable Muni Bond ser	B	Dividend	K	T					
4. vanguard Totl Stk Mkt idx fnd	B	Dividend	L	T	Sold (part)	02/04/20	J	A	
5. Vanguard Federal MM fnd	A	Dividend	J	T	Buy	02/04/20	J		
6. HH bonds	B	Interest			Sold	09/03/20	J	B	
7. Stockyrds bk cash acct	A	Interest	L	T					
8. dupree ky tax-free	D	Dividend	N	T	Buy	11/13/20	L		
9. A (H)									
10. Vanguard Prime MM Fnd Renamed Vanguard Cash Reserves Federal MM Fnd	A	Dividend			Sold	11/27/20	J	A	
11. Vanguard federal MM Fund	A	Dividend	J	T					
12. Churchill downs com	A	Dividend	L	T					
13. johnson outdrs com	A	Dividend	K	T					
14. Vangrd totl stk mkt idx admiral fd	B	Dividend	M	T					
15. van guard Short-term Treas.adm fd	B	Dividend	M	T	Buy (add'l)	11/27/20	J		
16.					Buy (add'l)	11/27/20	K		
17. Vanguard adm treas mm fd	A	Dividend			Sold	11/27/20	K	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	

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Name of Person Reporting

simpson, charles r.

Date of Report

03/26/2021

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. C (H)									
19. Vanguard Fed MM Fnd	A	Dividend	J	T					
20. Vanguard Prime MM Fnd Renamed Vanguard Cash Reserves Fed MM Fnd ADM	A	Dividend	K	T					
21. Churchill Downs com	A	Dividend	L	T					
22. Johnson Outdoors com	A	Dividend	L	T					
23. ventas com	B	Dividend	L	T					
24. Vanguard totla stock mkt idx ADM fd	D	Dividend	O	T					
25. Vanguard Short-term treas ADM fd	A	Dividend	L	T					
26. B (H)									
27. Vanguard Fed MM Fnd	A	Dividend	K	T					
28. Churchill Downs com	A	Dividend	M	T					
29. Encompass Health Corp com	A	Dividend	J	T					
30. National Hlth invs com	B	Dividend	K	T					
31. ventas com	B	Dividend	K	T					
32. SABRA Health Care comm	A	Dividend	J	T					
33. Vanguard Tax-managed Cap Apprec Adm fd	D	Dividend	P1	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 =\$250,000,001 - \$500,000,000	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.)

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34. Devel Markets Idx fd (formerly Vanguard Tax-managed Int'l fd)	B	Dividend	M	T					
35. vanguard Tax-managed sm Cap fd	B	Dividend	M	T					
36. Municipal Money Market Fund (formerly Vanguard Tax-Exempt mm fd)	A	Dividend			Sold	11/27/20	K	A	
37. Vanguard Trsy (Admiral) MM fd	B	Dividend	L	T	Sold (part)	11/04/20	M	A	
38.					Sold (part)	11/03/20	M	A	
39.					Sold (part)	11/06/20	L	A	
40.					Sold (part)	11/27/20	L	A	
41.					Sold (part)	11/27/20	M	A	
42. Vanguard Intermediate Term Tax Exempt Fnd ADM	A	Dividend	M	T	Buy	11/04/20	M		
43.					Buy (add'l)	11/27/20	K		
44.					Buy (add'l)	11/27/20	L		
45. Vanguard Short Term Federal Fnd ADM	A	Dividend	M	T	Buy	11/03/20	M		
46.					Buy (add'l)	11/27/20	M		
47. D (H)									
48. Vanguard Fed MM Fnd	C	Dividend	K	T	Sold (part)	11/03/20	M	A	
49.					Sold (part)	11/06/20	M	A	
50. Vanguard Intermediate Term Tax Exempt Fnd ADM	B	Dividend	M	T	Buy	11/06/20	M		

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
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51. Vanguard Short Term Treasury Fnd ADM	A	Dividend	L	T	Buy	11/03/20	M		
52. BNY Strategic Municipals fd (Formerly Dreyfus)	A	Dividend	J	T					
53. GE com	A	Dividend	J	T					
54. WABTEC com.	A	Dividend	J	T					
55. Nextera com	A	Dividend	K	T					
56. Vanguard Devel Markets Idx Fnd	A	Dividend	K	T					
57. Vanguard Tax-Managed Small Cap fd	A	Dividend	K	T					
58. Vanguard Municipal Money Mkt Fnd (formerly Vanguard Tax-Exempt MM fd)	A	Dividend			Sold	11/27/20	J	A	
59. Vanguard Limited Term Tax Exempt Fnd	A	Dividend	J	T	Buy	11/27/20	J		
60. Vanguard Tax-Managed Cap. Apprec. Admiral Fund	C	Dividend	N	T					
61. Investment Club #1 (H)									
62. -Citibank, NA (cash bank acct.)	A	Int./Div.	K	T					
63. -Accenture PLC com	B	Dividend	L	T					
64. -Air Products & Chemicals com	B	Dividend	L	T					
65. -Alibaba ADS	A	Dividend	K	T	Buy	11/11/20	K		
66. -Allstate Corp com	B	Dividend	K	T	Buy (add'l)	09/16/20	K		
67. -Alphabet Inc. Com	A	Dividend	M	T					

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Name of Person Reporting

simpson, charles r.

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

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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)
68. -Amazon Com Inc. com	A	Dividend	M	T					
69. -American Tower Com	B	Dividend	L	T					
70. -Apple Com	B	Dividend	M	T					
71. -Berkshire Hathaway Cl B Com	A	Dividend	L	T	Buy (add'l)	03/11/20	K		
72. -Brown-Forman A com`	A	Dividend	L	T					
73. -CVS Health Corp. com	A	Dividend	K	T	Buy	07/15/20	K		
74. -Carmax Com	A	Dividend	L	T	Buy	01/15/20	J		
75.					Buy (add'l)	03/11/20	K		
76.					Buy (add'l)	07/15/20	J		
77. -Churchill Downs com	A	Dividend	M	T					
78. -Diageo PLC ADR Com	A	Dividend	K	T					
79. -Facebook Inc. Com	A	Dividend	L	T					
80. -Fiserv Inc. Com	A	Dividend	M	T					
81. -Home Depot com	B	Dividend	L	T	Buy (add'l)	01/15/20	J		
82. -Johnson & Johnson com	B	Dividend	K	T	Buy	05/13/20	K		
83.					Buy (add'l)	09/16/20	K		
84. -McDonalds Com	B	Dividend	L	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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Table with 2 columns: Name of Person Reporting (simpson, charles r.), Date of Report (03/26/2021)

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.)

Table with 10 columns: A (Description of Assets), B (Income during reporting period), C (Gross value at end of reporting period), D (Transactions during reporting period), and sub-columns for transactions (1-5). Rows include assets like -Norfolk Southern Corp Com, -Sysco com, -Visa Inc Cl A com, and -Waters Corp Com.

Table with 6 columns: 1 Income Gain Codes, 2 Value Codes, 3 Value Method Codes, and corresponding code descriptions (A through W).

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Name of Person Reporting

simpson, charles r.

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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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Name of Person Reporting

simpson, charles r.

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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