

**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) Russell, Thomas B.	2. Court or Organization United States District Court - Kentucky	3. Date of Report 05/10/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III - Senior Status	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 501 Broadway, Federal Building Paducah, KY 42001		
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. Partner	First Investors of Paducah (Investment Club) See additional information
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.	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting	Date of Report
Russell, Thomas B.	05/10/2021

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
Russell, Thomas B.	05/10/2021

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

Russell, Thomas B.

Date of Report

05/10/2021

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) 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. Checking Account - Paducah Bank	A	Interest	K	T					
2. Checking Account - Regions Bank	A	Interest	K	T					
3. -Optimum Fixed Income Fund CI I	C	Dividend	M	T					
4. -Optimum International fund CI I	A	Dividend	K	T					
5. -Optimum Large Capital Growth Fd CI I	A	Dividend	M	T					
6. -Optimum Large Capital Value Fd CI I	B	Dividend	M	T					
7. -Optimum Small Cap Growth Fd CI Instl	A	Dividend	K	T					
8. -Optimum Small Cap Value Fd CI I	A	Dividend	K	T					
9. -Optimum Fixed Income Fund CI I	A	Dividend	K	T					
10. -Optimum International Fund CI I	A	Dividend	J	T					
11. -Optimum Large Capital Growth Fd CI I	A	Dividend	J	T					
12. -Optimum Large Capital Value Fd CI I	A	Dividend	J	T					
13. -Optimum Small Cap Growth Fd CI Instl	A	Dividend	J	T					
14. -Optimum Small Cap Value Fd CI I	A	Dividend	J	T					
15. Savings Acct. Regions Bank	A	Interest	L	T					
16. Common Stock, Regions Bank	A	Dividend	K	T					
17. -US Banc (common)	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	

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. -IBM (common)	A	Dividend	J	T					
19. -Cisco Sys (common)	A	Dividend	J	T					
20. -Intel (common)	A	Dividend	J	T					
21. -Schlumberge (common)	A	Dividend	J	T					
22. -Simon P (common)	A	Dividend	J	T					
23. -Fastenal (common)	A	Dividend	J	T					
24. -Microsoft (common)	A	Dividend	J	T					
25. -Coke (common)	A	Dividend	J	T					
26. -Johnson (common)	A	Dividend	J	T					
27. -Minnesota (3M) (common)	A	Dividend	J	T					
28. -Proctor (common)	A	Dividend	J	T					
29. -CSI (common)	A	Dividend	J	T					
30. -Exon Mobil (common)	A	Dividend	J	T					
31. -Apple (common)	A	Dividend	J	T					
32. -Trinity (TRN)	A	Dividend	J	T					
33. -Wells Fargo	A	Dividend	J	T					
34. -Gilead	A	Dividend	J	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

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. -Clean	A	Dividend			Sold	10/2020	J	A	
36. -Plexus	A	Dividend	J	T					
37. -Ashland (ASH)	A	Dividend	J	T					
38. -Yum (YUM)	A	Dividend	J	T					
39. -UTX	A	Dividend			Sold	4/2020	J	A	
40. -Dollar General	A	Dividend	J	T					
41. -JP Morgan (JPM)	A	Dividend	J	T					
42. -Baidu (BIDU)	A	Dividend	J	T					
43. -Cnooc (CEO)	A	Dividend	J	T					
44. -Uranium (UEC)	A	Dividend	J	T					
45. -GOOG (Alphabet) Google	A	Dividend	J	T					
46. -Kroger	A	Dividend	J	T					
47. - MA Mastercard	A	Dividend	J	T					
48. -MDT Medtronic	A	Dividend	J	T					
49. -Great Western Bancorp (GWB)	A	Dividend	J	T					
50. -Nike (NKE)	A	Dividend	J	T					
51. -IQVIA -formerly-Quintiles Hldgs (Q)	A	Dividend	J	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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Name of Person Reporting

Russell, Thomas B.

Date of Report

05/10/2021

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

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52. -Visa, Inc Class A	A	Dividend	J	T					
53. -YUM China Holdings	A	Dividend	J	T					
54. -Citigroup, Inc.	A	Dividend	J	T					
55. -AT&T, Inc.	A	Dividend	J	T					
56. -Cannon, Inc. ADRF	A	Dividend			Sold	4/2020	J	A	
57. -CVS Health Corp.	A	Dividend	J	T					
58. -Valvoline	A	Dividend	J	T					
59. -Albermarle Corp (ALB)	A	Dividend	J	T					
60. -Salesforce.com (CRM)	A	Dividend	J	T					
61. -American Tower Corp Reit (AMT)	A	Dividend	J	T					
62. -Paypal Holdings, Inc. (PYPL)	A	Dividend	J	T					
63. -Verizon Communications (VZ)	A	Dividend	J	T					
64. -Walmart Inc (WMT)	A	Dividend	J	T					
65. -Enbridge Inc (ENB)	A	Dividend	J	T					
66. -Arcosa Inc (ACA)	A	Dividend	J	T					
67. -Occidental Pete Corp (Oxy)	A	Dividend	J	T					
68. -Bristol Myers Squibb (BMY)	A	Dividend	J	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
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69. -Tencent Holdings (TCEHY)	A	Dividend	J	T					
70. -FED EX Co (FDX)	A	Dividend			Sold	9/2020	J	A	
71. -Archer Daniels Midland Co. (ADM)	A	Dividend	J	T					
72. -Chubb (CB)	A	Dividend	J	T					
73. -DTE Energy (DTE)	A	Dividend	J	T					
74. -Qualcom (QCOM)	A	Dividend	J	T					
75. -American Waterworks (AWK)	A	Dividend	J	T					
76. -Nexterm Energy (NEE)	A	Dividend	J	T					
77. -Analog Devices Inc. (ADI)	A	Dividend	J	T	Buy	10/2020	J		
78. -T-Mobile US, Inc. (TMUS)	A	Dividend	J	T	Buy	10/2020	J		
79. -Carrier Global Corp. (CARR)	A	Dividend	J	T	Buy	4/2020	J		
80. -Otis Worldwide Corp. (OTIS)	A	Dividend	J	T	Buy	4/2020	J		
81. -Smucker JM Company New (SJM)	A	Dividend	J	T	Buy	9/2020	J		
82. -Tyson Foods Inc. (TSN)	A	Dividend	J	T	Buy	9/2020	J		
83. -Walt Disney (DIS)	A	Dividend	J	T	Buy	9/2020	J		
84. -Raytheon Technologies (RTX)	A	Dividend	J	T	Buy	4/2020	J		
85. -Chevron Corp. (CVX)	A	Dividend	J	T	Buy	12/2019	J		

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

I. POSITIONS

In October of 1996, I became a member of an investment club known as First Investors of Paducah, which is organized as a partnership. There are 15 partners divided into 7 teams. Each team invests their portion. I only have control over the investment of my team. I do have a 1/15 interest in all of those investments. The individual stocks owned by the partnership are included in the stocks listed in Section VII.

VII. INVESTMENTS AND TRUSTS - Line 85 - Chevron was mistakenly left off of last year's report. It was purchases in Dec. 2019.

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Name of Person Reporting

Russell, Thomas B.

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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/ Thomas B. Russell**

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