

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) Bertelsman, William O.	2. Court or Organization KY-ED	3. Date of Report 08/12/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (Senior)	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 35 West Fifth Street P. O. Box 1012 Covington, KY 41012-1012		
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.		
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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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.	
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.				

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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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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. Individual Assets (H)									
2. Fifth Third Bank (cash)	A	Interest	M	T					
3. WesBanco (cash) (Y)									
4. Goldline		None	J	T					
5. Nationwide (formerly Legg Mason) QS Intl Eq Fd A (LMEAX)	A	Dividend	K	T					
6. Dupree, Kentucky- Short/Med. Fund (KYSMX)	C	Dividend	M	T					
7. Dupree, Kentucky - Tax Free Fund (KYTFX)	D	Dividend	O	T					
8. Dreyfus Growth & Income Fund (DGRIX) (Y)									
9. BankAmerica Corp. (common stock) (Y) (BAC)									
10. U.S. Savings Bonds (Y)									
11. P&G Common Stock (PG) (X)	C	Dividend	M	T					
12. Computershare (BAC) (X)	A	Dividend	K	T					
13. ACCOUNT #1 (H)									
14. Blackrock Global Allocation Fd Inc A (MDLOX)	D	Dividend	L	T					
15. First Eagle Global Class AC (SGENX)	A	Dividend	K	T					
16. Ivy Asset Strategy Fund CL A (WASAX)	B	Dividend	L	T					
17. Loomis Sayles Strategic Income Fd Cl A (NEFZX)	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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18. ACCOUNT #2 (H)									
19. Fifth Third Bancorp (Common Shares) (FITB)	A	Dividend	J	T					
20. ACCOUNT #3 (H)									
21. T. Rowe Price Equity Index 500 (PREIX)		None	J	T					
22. T. Rowe Price Health Sciences Fund (PRHSX)		None	N	T					
23. T. Rowe Price Financial Services (PRISX)		None	K	T					
24. ACCOUNT #4 (H)									
25. Merrill Lynch Bank (cash)	A	Interest	M	T					
26. Chevron-Texaco Corp. (CVX)	C	Dividend	L	T					
27. Clorox Co. (CLX)	C	Dividend	M	T					
28. Duke Energy (DUK)	A	Dividend	J	T					
29. Enbridge (ENB)	A	Dividend	J	T					
30. Energy Transfer LP (ET)		None			Sold	04/27/20	J	D	
31. Exxon Mobil Corp. (XOM)	B	Dividend	K	T					
32. General Mills, Inc. (GIS)	B	Dividend	K	T					
33. Pepsico, Inc. (PEP)	D	Dividend	N	T					
34. Procter & Gamble Co. (PG)	E	Dividend	P1	T					

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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)
35. Southern Co. (SO)	C	Dividend	M	T					
36. Suncoke Energy Inc (SXC)	A	Dividend	J	T					
37. Wisconsin Energy Corp. (WEC)	C	Dividend	M	T					
38. AB All Market Total Return Port Cl A (ABWAX)	D	Dividend	M	T					
39. Alliance Bernstein Disc. Growth Fd Cl A (CHCLX)	E	Dividend	M	T					
40. Blackrock Global Allocation Fund Cl A (MDLOX)	D	Dividend	M	T					
41. Goldman Sachs Rising Div Growth Cl A (GSRAx)	B	Dividend	L	T					
42. Ivy Asset Strategy Fund CL A (WASAX)	D	Dividend	M	T					
43. Janus Henderson Forty Fund A (JDCAX)	D	Dividend	M	T	Buy (add'l)	04/27/20	J		
44. Janus Henderson Forty Fund C (JACCX)	B	Dividend	K	T	Buy	03/31/20	J		
45. Natixis Oakmark Int'l Fund (NOICX)	A	Dividend	K	T					
46. PGIM Jennison Equity Income Fund Cl A (SPQAX)		None	K	T					
47. ACCOUNT #5 (H)									
48. Merrill Lynch Bank Deposit Program (cash)	A	Interest	K	T					
49. New Mexico St. Severance (647310Q95)	A	Interest	K	T					
50. Washington State Go Ref Bds (93974CH86)	B	Interest	L	T					
51. University of Kentucky Genl Resources (914378FK5)	A	Interest	K	T					

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52. VA Clg Bldg AT Eductnl (92778FDJ9)	A	Interest	K	T	Buy	07/06/20	K		
53. VA Clg Blg Auth (92778FDW0)	A	Interest	J	T	Buy	07/06/20	J		
54. Ohio St Spl Oblig Caps (67759HJK1)	A	Interest	L	T	Buy	05/10/20	L		
55. Louisville Jefferson KY MET (546585JE1)	A	Interest	K	T					
56. Wisconsin St Go Bds Ser C (97705MAS4)	A	Interest	K	T					
57. Maricopa Cnty Ariz Sch (66897WP5)	A	Interest	L	T	Buy	09/11/20	L		
58. Nevada Sys. Hgr. Ed. (641496HW7)	B	Interest	L	T					
59. University Ark Univ Rev (9140722Q5)	B	Interest	K	T	Buy	07/25/20	K		
60. Oregon St Dept Transn (68607DTA3)	A	Interest	K	T					
61. Vermont Mun Bd Bk Ser 5 RF (924214WA3)	B	Interest	L	T					
62. Charlotte NC Arpt Rev (161036NQ7)	B	Interest	L	T					
63. Illinois Fin Auth Rev Fd Rev Bds (45204EXS2)	B	Interest	L	T					
64. Kentucky Infrastructure (4913138A3)	A	Interest	K	T					
65. Connecticut St Go Bds B (20772J7G1)	B	Interest	L	T					
66. Texas A&M Univ Rev (88213AGU3)	A	Interest	L	T	Buy	07/19/20	L		
67. Saline Mich Area SHS (795200JM7)	B	Interest	L	T					
68. Auburn Univ Al Gen Fee (050589PG9)	C	Interest	L	T					

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69. Campbell & Kenton Cntys Ky Sanit (134041KU5)		None	L	T	Buy	09/17/20	L		
70. Dekalb Cnty Ga Wtr-Sew Rev Ref Bds Ser A (240523YS3)	C	Interest	L	T					
71. Maine St Tpk Auth Tpk (560551PV9)	B	Interest	L	T					
72. Massachusetts St Go Ref Bds Lt Ser B (57582RKP0)	B	Interest	K	T					
73. Metro Nashville Arpt Auth (592190NJ7)	A	Interest	K	T	Buy	12/06/20	K		
74. New York St. Dorm Auth. (649902U68)	A	Interest			Redeemed	02/17/20	K		
75. Franklin Ky PPC First (352832AN9)	A	Interest			Redeemed	04/27/20	K		
76. Ky State Ppty & Bldg (49151E5L3)	B	Interest			Redeemed	08/03/20	K		
77. New Jersey State Revenue Series O (646039RA7)	B	Interest			Redeemed	08/03/20	L		
78. Va. College Bldg. Authority (927781ZN7)	A	Interest			Redeemed	07/06/20	K		
79. Louisiana University Agriculture (546540MK8)	B	Interest			Sold	09/25/20	L	B	
80. ACCOUNT #6 (H)									
81. UBS Government Reserve	A	Interest	J	T					
82. Automatic Data Processing, Inc (ADP)	B	Dividend	L	T					
83. CDK Global Income (CDK)	A	Dividend	J	T					
84. Clorox (CLX)	A	Dividend	J	T					
85. Coca Cola Co. (KO)	B	Dividend	K	T					

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86. Exxon Mobile Corp. (XOM)	A	Dividend	J	T					
87. Johnson & Johnson (JNJ)	B	Dividend	L	T					
88. Kroger Co. (KR)	A	Dividend	K	T					
89. Medtronic (MDT)	B	Dividend	L	T					
90. Occidental Petroleum (OXY)	A	Dividend	J	T					
91. Procter & Gamble - Common stock (PG)	B	Dividend	L	T					
92. Western Union Co. (WU)	B	Dividend	K	T					
93. 3M Co. (MMM)	B	Dividend	L	T					
94. IShares Trust Russell Midcap Growth (IWP)	A	Dividend	J	T					
95. American Funds Growth Fund of America (GFAFX)	D	Dividend	L	T					
96. DWS CROCI Equity Dividend Fund (KDHAX)	C	Dividend	L	T					
97. Templeton Foreign Fund Cl A (TEMFX)	B	Dividend	K	T					
98. T-Rowe Price Equity Index 500 (PREIX)	B	Dividend	M	T					
99. Victory Sycamore Small Company Fund (GOGFX)	A	Dividend	M	T					
100. Victory Sycamore Established Value Fund (GETGX)	C	Dividend	L	T					
101. ACCOUNT #7 (H)									
102. Michigan Education Savings Program Principal Plus Option 1934		None	K	T	Buy (add'l)	06/12/20	M		

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103.					Sold (part)	09/09/20	M		
104.					Sold (part)	12/28/20	K		
105. Michigan Education Savings Program In School Option		None	K	T	Buy (add'l)	06/12/20	K		
106.					Sold (part)	08/13/20	J		
107. ACCOUNT #8 (H)									
108. Michigan Education Savings Program Principal Plus Option 1934		None	K	T	Buy (add'l)	06/12/20	M		
109.					Sold (part)	07/27/20	K		
110.					Sold (part)	12/18/20	K		
111. Michigan Education Savings Program In School Option		None	K	T	Buy (add'l)	06/12/20	K		
112.					Sold (part)	07/27/20	J		

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

Parenthetical numbers in Part VII are CUSIP numbers.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

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Name of Person Reporting

Bertelsman, William O.

Date of Report

08/12/2021

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/ William O. Bertelsman**

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
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