

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 08/17/2017
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 5b. ☒ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 501 Broadway, Federal Building Paducah, KY 42001		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
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.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
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.)*

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.

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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. Checking Account - Paducah Bank	A	Interest	K	T					
2. Checking Account - Regions Bank	A	Interest	K	T					
3. IRA, LPL FINANCIAL (See Section VIII)									
4. -Optimum Fixed Income Fund C1 I	C	Interest	M	T					
5. -Optimum International fund C1 I	A	Interest	K	T					
6. -Optimum Large Capital Growth Fd C1 I	A	Interest	M	T					
7. -Optimum Large Capital Value Fd C1 I	B	Interest	M	T					
8. -Optimum Small Cap Growth Fd C1 Instl	A	Interest	K	T					
9. -Optimum Small Cap Value Fd C1 I	A	Interest	K	T					
10. IRA, LPL FINANCIAL (See Section VIII)									
11. -Optimum Fixed Income Fund C1 I	A	Interest	J	T					
12. -Optimum International Fund C1 I	A	Interest	J	T					
13. -Optimum Large Capital Growth Fd C1 I	A	Interest	J	T					
14. -Optimum Large Capital Value Fd C1 I	A	Interest	J	T					
15. -Optimum Small Cap Growth Fd C1 Instl	A	Interest	J	T					
16. -Optimum Small Cap Value Fd C1 I	A	Interest	J	T					
17. Savings Acct. Regions Bank	A	Interest	L	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 = \$250,001 - \$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 \$5,000,000	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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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 I (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)

18. Common Stock, Regions Bank	A	Dividend	K	T					
19. -US Banc (common)	A	Dividend	J	T					
20. -IBM (common)	A	Dividend	J	T					
21. -Cisco Sys (common)	A	Dividend	J	T					
22. -Intel (common)	A	Dividend	J	T					
23. -Schlumberge (common)	A	Dividend	J	T					
24. -Simon P (common)	A	Dividend	J	T					
25. -Fastenal (common)	A	Dividend	J	T					
26. -Microsoft (common)	A	Dividend	J	T					
27. -Coke (common)	A	Dividend	J	T					
28. -Johnson (common)	A	Dividend	J	T					
29. -Minnesota (3M) (common)	A	Dividend	J	T					
30. -Proctor (common)	A	Dividend	J	T					
31. -CSI (common)	A	Dividend	J	T					
32. -Exon Mobil (common)	A	Dividend	J	T					
33. -Walgreen (common)	A	Dividend	J	T					
34. -B.P. PLC (common)	A	Dividend	J	T					

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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	
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35. -Apple (common)	A	Dividend	J	T					
36. -Trinity	A	Dividend	J	T					
37. -Wells Fargo	A	Dividend	J	T					
38. -Gilead	A	Dividend	J	T					
39. -Fluor	A	Dividend	J	T					
40. -Clean	A	Dividend	J	T					
41. -Plexus	A	Dividend	J	T					
42. -Ashland (ASH)	A	Dividend	J	T					
43. -Tata (TTM)	A	Dividend	J	T	Sold	10/2016	J	A	
44. -Yum (YUM)	A	Dividend	J	T					
45. -Tesoro (TSO)	A	Dividend	J	T	Sold	8/2016	J	A	
46. -UTX	A	Dividend	J	T					
47. -Dollar General	A	Dividend	J	T					
48. -Baker BHI	A	Dividend	J	T					
49. -JP Morgan (JPM)	A	Dividend	J	T					
50. -Baidu (BIDU)	A	Dividend	J	T					
51. -Cnooc (CEO)	A	Dividend	J	T					

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52. -Delphi (DLPH)	A	Dividend	J	T	Sold	10/2016	J	A	
53. -Uranium (UEC)	A	Dividend	J	T					
54. -Whole Foods	A	Dividend	J	T					
55. -GOOG (Alphabet) Google	A	Dividend	J	T					
56. -Kroger	A	Dividend	J	T					
57. -MA Mastercard	A	Dividend	J	T					
58. -MDT Medtronic	A	Dividend	J	T					
59. -Great Western Bancorp (GWB)	A	Dividend	J	T					
60. -Celgene Corp (CELG)	A	Dividend	J	T					
61. -Priceline Group ((PCLN)	A	Dividend	J	T					
62. -Nike (NKE)	A	Dividend	J	T					
63. -Quintiles Hlds (Q)	A	Dividend	J	T					
64. -Visa, Inc Class A	A	Dividend	J	T					
65. -YUM China Holdings	A	Dividend	J	T	Buy	11/2016	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

(No. 3-9) IRA - LPL FINANCIAL

This is the IRA account at LPL Financial.

(No. 10-16) IRA- LPL FINANCIAL

This is an IRA account at LPL Financial.

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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
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