

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) Lindsay, Colin H.	2. Court or Organization U.S. District Court, Western District of Kentucky	3. Date of Report 08/01/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge, full-time	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 601 W. Broadway 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. Delegate to the American Bar Association House of Delegates	Louisville Bar Association
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. 12/30/2014	Return of capital and interest in former firm (Dinsmore & Shohl) commencing 12/31/2015 and ending 12/31/2017
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. 12/02/2015	Dinsmore & Shohl LLP; return of capital	\$23,005.00
2. 12/02/2015	Dinsmore & Shohl LLP; return of interest in firm	\$33,450.00
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. 2016	Salary; Louisville Bar Association
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. American Bar Association	2/6/2015-2/10/2015	Houston, TX	Attend ABA Midyear Meeting	Airfare
2. Louisville Bar Association	2/6/2015-2/10/2015	Houston, TX	Attend ABA Midyear Meeting	Lodging, Meals, Local Transportation
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.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	American Express	Credit Card	K
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. Alliance Bernstein CollegeBoundfund 529		None			Redeemed	01/12/16	J	B	
2.									
3. Alliance Bernstein CollegeBoundfund 529		None	K	T					
4.									
5. American Funds Capital Income Builders Fund	B	Dividend	L	T	Buy (add'l)	01/29/16	J		
6.					Buy (add'l)	04/29/16	K		
7.					Sold (part)	07/29/16	J	C	
8.					Buy (add'l)	10/28/16	J		
9. American Funds New World Fund	A	Dividend	K	T	Sold (part)	04/29/16	J	D	
10. American Funds The Growth Fund of America	B	Dividend	K	T	Buy (add'l)	01/29/16	J		
11.					Sold (part)	04/29/16	J	D	
12. AQR Managed Funds Strategy Funds	A	Dividend	J	T	Sold (part)	01/29/16	J	B	
13.					Sold (part)	04/29/16	J	B	
14. Calamos Growth & Income Fund	A	Dividend	J	T	Sold (part)	04/29/16	J	D	
15.					Sold (part)	07/29/16	J	D	
16. Charles Schwab Money Market Account	A	Interest	J	T					
17. Calvert Global Energy Fund	A	Dividend	J	T	Sold (part)	04/29/16	J	D	

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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = \$50,001 - \$100,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000.01 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	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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☐ 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)
18. Cohen & Steers Realty Fund	A	Dividend	J	T	Sold (part)	01/29/16	J	C	
19.					Sold (part)	07/29/16	J	C	
20. Davis New York Venture Fund	B	Dividend	K	T	Buy (add'l)	01/29/16	J		
21. Delaware Diversified Income Fund	A	Dividend	K	T	Sold (part)	01/29/16	J	C	
22.					Buy (add'l)	04/29/16	K		
23. Diamond Hill Long Short Fund	A	Dividend	J	T					
24. Eaton Vance Floating Rate Fund	B	Dividend	K	T	Buy (add'l)	04/29/16	K		
25. Fidelity Advisor Materials Fund	A	Dividend	J	T	Buy (add'l)	01/29/16	J		
26.					Sold (part)	04/29/16	J	B	
27. First Eagle Overseas Fund	B	Dividend	K	T	Sold (part)	01/29/16	J	B	
28.					Sold (part)	04/29/16	J	D	
29. Franklin Utilities Fund	A	Dividend	J	T	Buy (add'l)	04/29/16	J		
30.					Sold (part)	07/29/16	J	C	
31. iShares Convertible Bond (X)	A	Dividend	J	T	Buy	07/29/16	J		
32. Oppenheimer Developing Markets Fund	A	Dividend	K	T	Buy (add'l)	01/29/16	J		
33.					Sold (part)	04/29/16	J	D	
34.					Sold (part)	10/28/16	J	B	

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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. PIMCO Commodity Real Return Strategy Fund	A	Dividend	K	T	Buy (add'l)	01/29/16	J		
36.					Buy (add'l)	04/29/16	J		
37.					Buy (add'l)	07/29/16	J		
38. ROYCE Opportunity Fund	B	Dividend	K	T	Buy (add'l)	01/29/16	J		
39.					Sold (part)	04/29/16	K	E	
40.					Buy (add'l)	07/29/16	J		
41. SCOUT International Fund		None			Sold	01/29/16	K	E	
42. Templeton Global Bond Fund (FKA Franklin Templeton Global Bond Fund)	B	Dividend	K	T	Sold (part)	01/29/16	J	B	
43.					Buy (add'l)	04/29/16	K		
44.					Buy (add'l)	07/29/16	J		
45.					Sold (part)	10/28/16	J	B	
46. Vanguard Developing Markets Fund(X)	B	Dividend	K	T	Buy	01/29/16	K		
47.					Sold (part)	04/29/16	J	C	
48.					Buy (add'l)	07/29/16	J		
49. Vanguard Mid Cap ETF	A	Dividend	K	T	Buy (add'l)	01/29/16	J		
50.					Sold (part)	04/29/16	K	D	
51.					Buy (add'l)	07/29/16	J		

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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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52.					Buy (add'l)	10/28/16	J		
53. VOYA International Real Estate Fund (FKA ING International RE Fund)	A	Dividend	J	T	Sold (part)	04/29/16	J	D	
54. Wasatch Small Cap Growth Fund	A	Dividend	J	T	Buy (add'l)	01/29/16	J		
55.					Sold (part)	04/29/16	K	E	
56.					Sold (part)	07/29/16	J	C	
57. Westcore Plus Bond Fund (X)	A	Dividend	K	T	Buy	04/29/16	K		
58.									
59. American Funds Capital Income Builder	A	Dividend	J	T					
60. American Funds New World Fund	A	Dividend	J	T					
61. American Funds The Growth Fund of America	A	Dividend	J	T					
62. AQR Managed Future Strategy Fund	A	Dividend	J	T					
63. Calamos Growth and Income Fund	A	Dividend	J	T					
64. Calvert Global Energy Fund	A	Dividend	J	T					
65. Charles Schwab Money Market Account	A	Interest	J	T					
66. Cohen & Steers Realty Fund	A	Dividend	J	T					
67. Davis New York Venture Fund	A	Dividend	J	T					
68. Delaware Diversified Income Fund	A	Dividend	J	T					

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69. Diamond Hill Long Short Fund	A	Dividend	J	T					
70. Eaton Vance Floating Rate Fund	A	Dividend	J	T					
71. First Eagle Overseas Fund	A	Dividend	J	T					
72. Franklin Utilities Fund	A	Dividend	J	T					
73. Oppenheimer Developing Markets Fund	A	Dividend	J	T					
74. PIMCO Commodity Real Return Strategy Fund	A	Dividend	J	T					
75. ROYCE Opportunity Fund	A	Dividend	J	T					
76. SCOUT International Fund	A	Dividend			Sold	01/29/16	J	A	
77. Templeton Global Bond Fund (FKA Franklin Templeton Global Bond Fund)	A	Dividend	J	T					
78. Vanguard Developing Markets Fund (X)	A	Dividend	J	T	Buy	01/29/16	J		
79. Vanguard Midcap ETF	A	Dividend	J	T					
80. VOYA International Real Estate Fund (FKA ING Real Estate Fund)	A	Dividend	J	T					
81. Wasatch Small Cap Growth Fund	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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII. Investments and Trusts-Spouse's account is small and most transactions were not above the \$1000.00 threshold.

Part VII. Investments and Trusts-Templeton Global Bond Fund was FKA Franklin Templeton Global Bond Fund.

Part VII. Investments and Trusts-Per Amendment Request: Lines 16 & 65 (Listed as lines 14 & 62 in the admendment request) Charles Schwab Money Markets are indeed accurate on the initial report. The interest generated on these two accounts is a very nominal amount(less than \$5.00 in each account) The amount in these accounts is less than \$15,000.

Part VII. Investments and Trusts-Per Admendment Request: Line 47 (2015 Admended) report listed "Dreyfus Midcap Index Fund" but it was not listed in the 2016 report. This asset was listed as Sold on the 2015 report. It had a "sold" date of 8/17/2015

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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/ Colin H. Lindsay

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