

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) simpson, charles r.	2. Court or Organization kywd	3. Date of Report 04/18/2017
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. International advisory Committee	National Center for State Courts
2. board membr	Federal judges Assn
3. Third Study Commission President	International assn of judges
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. National Center for State Courts	2/15 - 2/17	Arlington VA	Committee meeting	Transport, meals, lodging
2. Federal judges Ass	5/16 - 5/18	Washington DC	Board Meeting	Transport, meals, lodging
3. Federal Judges Assn	9/13 - 9/15	Washington DC	Congressional Reception	Transport, meals, lodging
4. Federal Judges Assn	10/15 - 10/21	Mexico City DF, Mexico	International Association of Judges Meeting	Transport, meals, lodging
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. ky telco fed cu	A	Interest	L	T					
2. Louv. fed CU	A	Interest	L	T					
3. Dupree Intermed. govt bond ser	C	Dividend	L	T					
4. vanguard Totl Stk Mkt idx fnd	C	Dividend	L	T					
5. HH bonds	A	Interest	K	T					
6. Stockyds bk acct	A	Interest	L	T					
7. dupree ky tax-free	D	Dividend	M	T					
8. A									
9. Churchill downs com	A	Dividend	K	T					
10. johnson outdrs com	A	Dividend	K	T					
11. Vangrd totl stk mkt idx admiral fd	B	Dividend	L	T					
12. van guard Short-term Treas.adm fd	B	Dividend	M	T					
13. Vanguard adm treas mm fd	A	Dividend	K	T					
14. Vanguard Prime mm fd	A	Dividend	J	T					
15. C									
16. Destination XL Group Inc.(formerly Casual Male Retail Group) com	A	Dividend	J	T					
17. Churchill Downs com	A	Dividend	K	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 - \$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 \$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.)

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	(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. Washington Prime Group com (CUSIP change from WP Glimcher Com	A	Dividend	J	T					
19. Johnson Outdoors com	A	Dividend	K	T					
20. ventas com	C	Dividend	L	T					
21. CARE CAP PPTYS INC. com	A	Dividend	J	T					
22. Vanguard totla stock mkt idx ADM fd	A	Dividend	N	T	Buy (add'l)	01/14/16	N		
23. Vanguard Short-term treas ADM fd	A	Dividend	L	T					
24. Vanguard Admiral trsry mm fd	A	Dividend	K	T					
25. vanguard prime mm fd	B	Dividend	L	T					
26. B									
27. Churchill Downs com	A	Dividend	K	T					
28. HealthSouth com	A	Dividend	J	T					
29. National Hlth invs com	B	Dividend	K	T					
30. ventas com	B	Dividend	K	T					
31. CARE CAP PPTYS INC. com	A	Dividend	J	T					
32. Vanguard Tax-managed Cap Apprec Adm fd	D	Dividend	N	T					
33. Devel Markets Idx fd (formerly Vanguard Tax-managed Int'l fd)	B	Dividend	L	T					
34. vanguard Tax-managed sm Cap fd	B	Dividend	M	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. Vanguard Tax-Exempt mm fd	A	Dividend	K	T					
36. Vanguard Trsy (Admiral) MM fd	B	Dividend	O	T	Sold (part)	08/19/16	N	A	
37. Vanguard Treas (Adm) MM Fd	B	Dividend	O	T	Buy (add'l)	10/19/16	N		
38. D									
39. Dreyfus Strategis Municipals fd	A	Dividend	J	T					
40. GE com	A	Dividend	K	T					
41. Nextera com	A	Dividend	K	T					
42. Vanguard tax-managed Cap Apprec Adm Fnd	B	Dividend	L	T					
43. Devel Markets idx fd (formerly Vanguard Tax-mang Int'l fd)	A	Dividend	J	T					
44. VanguardtAX-mANAG Small Cap fd	A	Dividend	K	T					
45. Vanguard Tax-Exempt MM fd	A	Dividend	J	T					
46. vanguard Trsy MM fd	A	Dividend	J	T					
47. Investment Club #1									
48. -Hilliard-Lyons Insured Deposit Prgm	A	Int./Div.	K	T					
49. -Air Products & Chemicals com	A	Dividend	K	T	Buy	05/11/16	K		
50. -Alphabet Inc. Com	A	Dividend	K	T	Buy (add'l)	07/13/16	J		
51. -American intl Group Com	A	Dividend			Sold	09/14/16	J	A	

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52. -American Tower Com	A	Dividend	K	T	Buy (add'l)	03/10/16	J		
53. -Apple Com	A	Dividend	K	T					
54. -Ashland Com	A	Dividend			Sold	09/14/16	K	A	
55. -Berkshire Hathaway Cl B Com	A	Dividend	K	T					
56. -CVS Health Com (same as CVS Caremark on prev. report)	A	Dividend	K	T					
57. -Chubb LTD com	A	Dividend	K	T	Buy	09/14/16	K		
58. -Churchill Downs com					Buy	07/13/16	J		
59. -Churchill Downs com	A	Dividend	K	T	Buy (add'l)	11/16/16	J		
60. -Colgate palmolive Com	A	Dividend	K	T					
61. -Diageo PLC ADR Com	A	Dividend	K	T					
62. -Walt Disney Com	A	Dividend			Sold	11/16/16	J	A	
63. -EMC Corp Com	A	Dividend			Sold	05/11/16	K	A	
64. -Exxon Mobile Com	A	Dividend	K	T	Buy (add'l)	03/10/16	J		
65. -Fiserv Inc. Com	A	Dividend	L	T					
66. -Halliburton Com	A	Dividend	K	T	Buy (add'l)	03/10/16	J		
67. -Home Depot com					Buy	09/14/16	K		
68. -Home Depot com	A	Dividend	K	T	Buy (add'l)	11/16/16	J		

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69. -Humana Com	A	Dividend			Sold	05/11/16	K	B	
70. -McDonalds Com	A	Dividend	K	T					
71. -National Oilwell Com	A	Dividend			Sold	03/10/16	J	A	
72. -Norfolk Southern Corp Com	A	Dividend	K	T					
73. -Visa Inc. Cl. A Com					Buy (add'l)	03/10/16	J		
74. -Visa Inc Cl A com	A	Dividend	K	T	Buy (add'l)	07/13/16	J		
75. -Waters Corp Com	A	Dividend	K	T					

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

2015 report Part VII, lines 1-16 no longer reportable in 2016 "Y". 5 USC App 4 sec 102 (e)(1)(E)

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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