

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 07/25/2019
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
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.)*

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.)*

<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.		
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. Fifth Third Bank (cash)	A	Interest	M	T					
2. United Bank And Capital Trust (cash)	A	Interest	M	T					
3. BB&T (cash)	A	Interest	M	T					
4. Goldline		None	L	T					
5. 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)	B	Dividend	J	T					
9. BankAmerica Corp. (common stock) (BAC)	A	Dividend	J	T					
10. U.S. Savings Bonds	A	Interest	K	T					
11. IRA #1 (H)									
12. Blackrock Global Allocation Fd Inc C (MCLOX)	C	Dividend	L	T					
13. First Eagle Global Class C (FESGX)	A	Dividend	K	T					
14. Ivy Asset Strategy Fund CL C (WASCX)	B	Dividend	K	T	Sold (part)	12/11/18	J		
15. Loomis Sayles Strategic Income Fd Cl C (NECZX)	A	Dividend	J	T					
16. Michigan Education Savings Program (H)									
17. Michigan Education Savings Program Principal Plus Option 1934		None	N	T	Distributed (part)	03/26/18	J		

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.					Distributed (part)	07/30/18	J		
19.					Distributed (part)	10/22/18	J		
20.					Distributed (part)	11/19/18	J		
21. Michigan Education Savings Program Moderate Age-Based Opt. 18 & Over		None	M	T	Distributed (part)	01/16/18	J		
22.					Distributed (part)	03/26/18	J		
23.					Buy (add'l)	06/20/18	L		
24.					Distributed (part)	09/24/18	J		
25.					Distributed (part)	11/19/18	J		
26. Michigan Education Savings Program Mod Age-Based Opt. 16		None			Sold	06/20/18	L		
27. BROKERAGE #1 (H)									
28. Merrill Lynch Bank (cash)	A	Interest	L	T					
29. Chevron-Texaco Corp. (CVX)	B	Dividend	L	T					
30. Clorox Co. (CLX)	C	Dividend	M	T					
31. Duke Energy (DUK)	A	Dividend	J	T					
32. Enbridge (ENB)	A	Dividend	J	T					
33. Energy Transfer LP (ET) (X)	B	Dividend	J	T					
34. Exxon Mobil Corp. (XOM)	B	Dividend	K	T					

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35. General Mills, Inc. (GIS)	B	Dividend	K	T					
36. Pepsico, Inc. (PEP)	D	Dividend	M	T					
37. Procter & Gamble Co. (PG)	E	Dividend	O	T					
38. Southern Co. (SO)	C	Dividend	L	T					
39. Suncoke Energy Inc (SXC)		None	J	T					
40. Wisconsin Energy Corp. (WEC)	C	Dividend	M	T					
41. AB All Market Total Return Port Cl C (ABWCX)		None	M	T					
42. Alliance Bernstein Disc. Growth Fd (CHCCX)	E	Dividend	L	T					
43. Blackrock Global Allocation Fund (MCLOX)	D	Dividend	M	T					
44. Goldman Sachs Rising Div. (GSRGX)	E	Dividend	K	T					
45. Ivy Asset Strategy Fund CL C (WASGX)	E	Dividend	M	T					
46. Janus Henderson Forty Fund C (JACGX)	C	Dividend	L	T					
47. Natixis Oakmark Int'l Fund (NOICX)	B	Dividend	K	T					
48. PGIM (formerly Prudential) Jemison Equity Income Fund (AGOCX)	D	Dividend	K	T					
49. BROKERAGE #2 (H)									
50. Merrill Lynch Money Fund (cash)	A	Interest			Closed	11/30/18	L		
51. Merrill Lynch Bank Deposit Program (cash)	A	Interest	L	T	Open	11/30/18	L		

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52. Louisville-Jeff Ky Met Swr Rv Rev Bds Ser A (546589RG9)	B	Int./Div.			Redeemed	05/15/18	L		
53. Bowling Green, KY Proj. (102637ME2)	B	Interest			Redeemed	06/01/18	K		
54. Oklahoma Dept. Trans. Rev. (67884NDY2)	B	Interest			Redeemed	09/04/18	L		
55. Ky. State Turnpike Authority (491552WU5)	B	Interest	L	T					
56. Ky State Turnpike Auth (491552VP7)	B	Interest	L	T					
57. New York St. Dorm Auth. (649902U68)	A	Interest	K	T					
58. Franklin Ky PPC First (352832AN9)	B	Interest	L	T					
59. Ky State Ppty & Bldg (49151E5L3)	B	Interest	L	T					
60. New Jersey State Revenue Series O (646039RA7)	C	Interest	L	T					
61. New Mexico St. Severance (647310Q95)	B	Interest	K	T					
62. Washington State Various Purpose Series R (93974CH86)	C	Interest	L	T					
63. University of Kentucky Gen'l Resources (914378FK5)	B	Interest	K	T					
64. Va. College Bldg. Authority (927781ZN7)	A	Interest	L	T					
65. Louisiana University Agriculture (546540MK8)	B	Interest	L	T					
66. Louisville Jefferson KY MET (546585JE1)	B	Dividend	K	T					
67. Wisconsin St Go Bds Ser C (97705MAS4)	B	Interest	K	T					
68. Nevada Sys. Hgr. Ed. (641496HW7)	B	Interest	L	T					

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69. Oregon St Dept Transn (68607DTA3)		None	K	T	Buy	11/30/18	K		
70. Vermont Mun Bd Bk Ser 5 RF (924214WA3)	C	Interest	L	T					
71. Charlotte NC Arpt Rev (161036NQ7)	B	Interest	L	T	Buy	01/24/18	L		
72. Illinois Fin Auth Rev Fd Rev Bds (45204EXS2)	B	Interest	L	T					
73. Kentucky Infrastructure (4913138A3)		None	K	T	Buy	10/10/18	K		
74. Connecticut St Go Bds B (20772J7G1)	B	Interest	L	T					
75. Saline Mich Area SHS (795200JM7)	A	Interest	L	T	Buy	07/11/18	L		
76. Louisville-Jeff Ky Met Swr Rv Rev Bds Ser A (546589RS3)	B	Interest	K	T					
77. Auburn Univ Al Gen Fee (050589PG9)	B	Interest	L	T	Buy	06/22/18	L		
78. Dekalb Cnty Ga Wtr-Sew Rev Ref Bds Ser A (240523YS3)	C	Interest	L	T					
79. Maine St Tpk Auth Tpk (560551PV9)	B	Interest	L	T	Buy	01/25/18	L		
80. Massachusetts St Go Ref Bds Lt Ser B (57582RKP0)	B	Interest	K	T					
81. BROKERAGE #3 (H)									
82. Fifth Third Bank, Fort Thomas, KY (Common Shares) (FITB)	A	Dividend	J	T					
83. BROKERAGE #4 (H)									
84. UBS Government Reserve	A	Interest	J	T					
85. Automatic Data Processing, Inc (ADP)	B	Dividend	L	T					

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86. CDK Global Income (CDK)	A	Dividend	J	T					
87. Clorox (CLX)		None	J	T	Buy	10/12/18	J		
88. Coca Cola Co. (KO)	B	Dividend	K	T					
89. Exxon Mobile Corp. (XOM)	A	Dividend	J	T					
90. Johnson & Johnson (JNJ)	B	Dividend	L	T					
91. Kroger Co. (KR)	A	Dividend	K	T					
92. Medtronic (MDT)	A	Dividend	K	T					
93. Occidental Petroleum (OXY)	A	Dividend	J	T					
94. Procter & Gamble - Common stock (PG)	B	Dividend	L	T					
95. Western Union Co. (WU)	A	Dividend	K	T					
96. 3M Co. (MMM)	B	Dividend	L	T					
97. iShares Trust Russell Midcap Growth (IWP)	A	Dividend	J	T					
98. American Funds Growth Fund of America (GFAFX)	A	Dividend	M	T					
99. DWS Group GmbH & Co. KGaA (DWS)	B	Dividend	L	T					
100. Templeton Foreign Fund Cl A (TEMTX)	A	Dividend	K	T					
101. T-Rowe Price Equity Index 500 (PREIX)	B	Dividend	L	T					
102. Victory Small Company Fund (GOGFX)	A	Dividend	M	T					

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103. Victory Established Value Fund (GETGX)	A	Dividend	L	T					
104. BROKERAGE #5 (H)									
105. T. Rowe Price Equity Index 500 (PREIX)	A	Dividend	J	T					
106. T. Rowe Price Health Sciences Fund (PRHSX)	D	Dividend	M	T					
107. T. Rowe Price Financial Services (PRISX)	B	Dividend	K	T					

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

Part VII, line 99: Name change only; formerly Deutsche Croci Equity Div Fd Cl A (KDHAX).

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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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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