

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 10/13/2016
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 01/01/2015 to 12/31/2015
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. 2015	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	J	T	Redeemed (part)	01/16/15	J		
2.					Redeemed (part)	02/17/15	J		
3.					Redeemed (part)	03/17/15	J		
4. Alliance Bernstein CollegeBoundfund 529		None	K	T					
5.									
6. American Funds Capital Income Builders Fund	B	Dividend	K	T	Sold (part)	04/09/15	K	C	
7.					Sold (part)	05/12/15	J	A	
8.					Buy (add'l)	06/12/15	K		
9.					Sold (part)	08/17/15	J	A	
10. American Funds New World Fund	A	Dividend	K	T	Buy (add'l)	04/09/15	J		
11.					Sold (part)	05/12/15	J		
12.					Buy (add'l)	06/12/15	K		
13.					Buy (add'l)	08/17/15	J		
14. American Funds The Growth Fund of America	C	Dividend	K	T	Buy (add'l)	04/09/15	J		
15.					Sold (part)	05/12/15	J	B	
16.					Buy (add'l)	06/12/15	K		
17.					Sold (part)	08/17/15	J	C	

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 \$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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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. AQR Managed Funds Strategy Funds	A	Dividend	J	T	Sold (part)	04/09/15	J	A	
19.					Sold (part)	05/12/15	J	A	
20.					Buy (add'l)	05/21/15	J		
21.					Sold (part)	08/17/15	J	A	
22. Calamos Growth & Income Fund	B	Dividend	K	T	Buy (add'l)	04/09/15	J		
23.					Sold (part)	05/12/15	J		
24.					Buy (add'l)	05/21/15	K		
25.					Sold (part)	08/17/15	J		
26. Charles Schwab Money Market	A	Interest	K	T					
27. Calvert Global Energy Fund	A	Dividend	K	T	Buy (add'l)	04/09/15	J		
28.					Sold (part)	05/12/15	J		
29.					Buy (add'l)	05/21/15	J		
30.					Buy (add'l)	08/17/15	J		
31. Cohen & Steers Realty Fund	B	Dividend	J	T	Sold (part)	04/09/15	J	A	
32.					Sold (part)	05/12/15	J	A	
33.					Buy (add'l)	05/21/15	J		
34.					Sold (part)	08/17/15	J	A	

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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☐ 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)

35. Davis New York Venture Fund	C	Dividend	J	T	Sold (part)	04/09/15	J	A	
36.					Sold (part)	05/12/15	J	A	
37.					Buy (add'l)	05/21/15	J		
38.					Sold (part)	08/17/15	J	A	
39. Delaware Diversified Income Fund	A	Dividend	J	T	Sold (part)	04/09/15	J		
40.					Sold (part)	05/12/15	J		
41.					Buy (add'l)	05/21/15	J		
42.					Sold (part)	08/17/15	J		
43. Diamond Hill Long Short Fund	A	Dividend	J	T	Sold (part)	04/09/15	J	A	
44.					Sold (part)	05/12/15	J	A	
45.					Buy (add'l)	05/21/15	J		
46.					Sold (part)	08/17/15	J	A	
47. Dreyfus Midcap Index Fund	A	Dividend			Buy (add'l)	04/09/15	J		
48.					Sold (part)	04/10/15	J	A	
49.					Sold (part)	05/08/15	J	A	
50.					Sold (part)	05/12/15	J	B	
51.					Sold (part)	05/14/15	J	A	

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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52.					Buy (add'l)	05/21/15	K		
53.					Sold	08/17/15	L	B	
54. Eaton Vance Floating Rate Fund	A	Dividend	J	T	Sold (part)	04/09/15	K		
55.					Sold (part)	05/12/15	J		
56.					Buy (add'l)	05/21/15	J		
57.					Sold (part)	08/17/15	J		
58. Fidelity Advisor Materials Fund	A	Dividend	J	T	Sold (part)	04/09/15	J		
59.					Sold (part)	05/12/15	J		
60.					Buy (add'l)	05/21/15	J		
61.					Buy (add'l)	08/17/15	J		
62. First Eagle Overseas Fund	A	Dividend	K	T	Buy (add'l)	04/09/15	J		
63.					Sold (part)	05/12/15	J	A	
64.					Buy (add'l)	05/21/15	K		
65.					Buy (add'l)	08/17/15	J		
66. Franklin Templeton Global Bond Fund	A	Dividend	K	T	Sold (part)	04/09/15	J		
67.					Sold (part)	05/12/15	J		
68.					Buy (add'l)	05/21/15	K		

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69.					Buy (add'l)	08/17/15	J		
70. Franklin Utilities Fund	A	Dividend	J	T	Sold (part)	04/09/15	J	A	
71.					Sold (part)	05/12/15	J	A	
72.					Buy (add'l)	05/21/15	J		
73.					Sold (part)	08/17/15	J	A	
74. Oppenheimer Developing Markets Fund	A	Dividend	K	T	Buy (add'l)	04/09/15	J		
75.					Sold (part)	05/12/15	J	A	
76.					Buy (add'l)	05/21/15	K		
77.					Buy (add'l)	08/17/15	J		
78. PIMCO Commodity Real Return Strategy Fund	A	Dividend			Sold	04/09/15	J		
79.			J	T	Buy (add'l)	04/09/15	J		
80.					Sold (part)	05/12/15	J	A	
81.					Buy (add'l)	05/21/15	J		
82.					Buy (add'l)	08/17/15	J		
83. ROYCE Opportunity Fund	C	Dividend	K	T	Buy (add'l)	04/09/15	J		
84.					Sold (part)	05/12/15	J	A	
85.					Buy (add'l)	05/21/15	K		

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86.					Buy (add'l)	08/17/15	J		
87. SCOUT International Fund	D	Dividend	K	T	Buy (add'l)	04/09/15	J		
88.					Sold (part)	05/12/15	J		
89.					Buy (add'l)	05/21/15	K		
90.					Buy (add'l)	08/17/15	J		
91. Vanguard Mid Cap ETF (X)	A	Dividend	K	T	Buy	08/17/15	K		
92. VOYA International Real Estate Fund (FKA ING International RE Fund)	A	Dividend	J	T	Buy (add'l)	04/09/15	J		
93.					Sold (part)	05/12/15	J	A	
94.					Buy (add'l)	05/21/15	J		
95.					Sold (part)	08/17/15	J	A	
96. Wasatch Small Cap Growth Fund	D	Dividend	K	T	Buy (add'l)	04/09/15	K		
97.					Sold (part)	05/12/15	J		
98.					Buy (add'l)	05/21/15	K		
99.					Buy (add'l)	08/17/15	J		
100. Westcore Plus Bond Fund	A	Dividend			Sold	04/09/15	K	A	
101.									
102. American Funds Capital Income Builder (X)	A	Dividend	J	T					

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103. American Funds New World Fund (X)	A	Dividend	J	T					
104. American Funds The Growth Fund of America (X)	A	Dividend	J	T					
105. AQR Managed Future Strategy Fund (X)	A	Dividend	J	T					
106. Calamos Growth and Income Fund (X)	A	Dividend	J	T					
107. Calvert Global Energy Fund (X)	A	Dividend	J	T					
108. Charles Schwab Money Market (X)		None	J	T					
109. Cohen & Steers Realty Fund (X)	A	Dividend	J	T					
110. Davis New York Venture Fund (X)	A	Dividend	J	T					
111. Delaware Diversified Income Fund (X)	A	Dividend	J	T					
112. Diamond Hill Long Short Fund (X)	A	Dividend	J	T					
113. Eaton Vance Floating Rate Fund (X)	A	Dividend	J	T					
114. First Eagle Overseas Fund (X)	A	Dividend	J	T					
115. Franklin Templeton Global Bond Fund (X)	A	Dividend	J	T					
116. Franklin Utilities Fund (X)		None	J	T					
117. Oppenheimer Developing Markets Fund (X)		None	J	T					
118. PACE Alternative Strategies Investment Fund		None			Sold	12/04/15	J	A	
119. PACE Global Real Estate Securities Investment Fund (Y)									

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 ~\$50,001 - \$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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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)
120. PACE Government Securities Fixed Income Investment Fund (Y)									
121. PACE High Yield Investment Fund	A	Dividend			Sold	12/04/15	J		
122. PACE Intermediate Fixed Income Investment Fund (Y)									
123. PACE International Emerging Markets Equity Investment Funds (Y)									
124. PACE International Equity Investment Fund (Y)									
125. PACE International Fixed Income Investment Fund (Y)									
126. PACE Large Company Growth Equity Investment Fund		None			Sold	12/04/15	J	A	
127. PACE Large Company Value Equity Investment Fund		None			Sold	12/04/15	J	A	
128. PACE Mortgage Backed Securities Fixed Income Investment Fund (Y)									
129. PACE Small/Medium Company Growth Equity Investments Fund (Y)									
130. PACE Small/Medium Company Value Equity Investment Fund (Y)									
131. PACE Strategic Fixed Income Investment Fund	A	Dividend			Sold	12/04/15	J		
132. PIMCO Commodity Real Return Strategy Fund (X)	A	Dividend	J	T					
133. ROYCE Opportunity Fund (X)	A	Dividend	J	T					
134. SCOUT International Fund (X)	A	Dividend	J	T					
135. Vanguard Midcap ETF (X)	A	Dividend	J	T					
136. VOYA International Real Estate Fund (X) (FKA ING Real Estate 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
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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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)
137. Wasatch Small Cap Growth Fund (X)	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII. Investments and Trusts-All investments held during the reporting period are listed under A. If there were no Dividends or Interest paid during the reporting period for an investment part B was left blank for that investment. If an investment was not held on 12/31/15 part C for that investment is blank.

Part VII. Investments and Trusts-Both accounts were transferred from UBS Financial Services to Charles Schwab in February 2015. Spouse's entire portfolio was switched from PACE investments to our current portfolio. The account is small and most transactions were not above the \$1000.00 threshold. These assets will not show up for the 2016 report.

In response to the letter of inquiry:

Part VII. Investments and Trusts-The Hartford Inflation Plus Fund was sold completely on April 15th, 2014. The codes are as follows... Column D

- 1-Sell
- 2-4/15/2014
- 3-J
- 4-B
- 5-Leave Blank

In response to the letter of inquiry:

Part VII. Investments and Trusts-ING International Real Estate Fund went through a company name change and is now VOYA International Real Estate Fund. This has been reflected in Part VII.

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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
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Washington, D.C. 20544