

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Hood, Joseph M.	2. Court or Organization E.D. KY.	3. Date of Report 05/16/2018
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 01/01/2017 to 12/31/2017
7. Chambers or Office Address P.O. Box 2227 Lexington, KY 40588-2227		
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. Board of Managers	Diederich Educational Trust
2. Trustee	Lexington Catholic High School
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. Fifth Third Bank -(Various Accounts)	A	Interest	J	T					
2. Metlife Invs Ins Co Ins Prod-Variable Annuity (H)									
3. -Invesco Comstock Portfolio	A	Dividend	J	T					
4. -Invesco Mid Cap Value	A	Dividend	J	T					
5. -Investco V.I. International	A	Dividend	J	T					
6. -Jennison Growth Portfolio	A	Dividend	J	T					
7. -Loomis Sayles Small Cap	A	Dividend	J	T					
8. -MFS Emerging Markets	A	Dividend	J	T					
9. -T. Rowe Price Larger Cap	A	Dividend	J	T					
10. -T. Rowe Price Mid Cap Growth	A	Dividend	J	T					
11. -Templeton Foreign VIP Fund	A	Dividend	J	T					
12. -Third Avenue Small Cap Value	A	Dividend	J	T					
13. -WMC Core Equity Opportunities	A	Dividend	J	T					
14. Lincoln National Life Ins Co -Variable Annuity (H)					Closed	01/31/17	J	B	
15. -LVIP Jan CA Ap					Sold	01/31/17	J	B	
16. -Fid Overseas					Sold	01/31/17	J	B	
17. -AF Global Sm Cap					Sold	01/31/17	J	B	

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

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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. -AF Growth					Sold	01/31/17	J	B	
19. -AF Growth Inc					Sold	01/31/17	J	B	
20. -AF Intl					Sold	01/31/17	J	B	
21. -AF GLBL Growth					Sold	01/31/17	J	B	
22. -Fid Mid Cap					Sold	01/31/17	J	B	
23. Charles Schwab Individual (H)									
24. -Ashland Inc New	A	Dividend	J	T					
25. -Penney J C Co Inc		None	J	T					
26. -Valvoline	A	Dividend	J	T					
27. -Schwab Money Market cash equivalent	A	Interest	J	T					
28. -Fidelity Leveraged Company Stock Fd	A	Dividend			Sold	10/05/17	K	C	
29. -Fidelity Select Materials Portfolio	B	Dividend	K	T					
30. -Fidelity Value Fund	A	Dividend	K	T					
31. -Fidelity Contra Fund	B	Dividend	K	T					
32. -Profunds Consumer Services		None	J	T					
33. Schwab IRA (H)									
34. -Schwab Money Market cash equivalent	A	Interest	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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	L = \$50,001 - \$100,000 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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35. -Fidelity Leveraged Company Stock Fd	A	Dividend			Sold	11/29/17	J	A	
36. -Fidelity Four-In-One Index	A	Dividend	J	T					
37. -Fidelity Dividend Growth Fund	A	Dividend	J	T					
38. -Fidelity Value Fund	A	Dividend	J	T					
39. -Fidelity Contra Fund	A	Dividend	J	T					
40. -Investco Div Income Fund CLA	A	Dividend	J	T					
41. -Profunds Consumer Services Fund	A	Dividend	J	T	Buy	07/28/17	J		
42. Schwab IRA #2 (H)									
43. -Schwab Money Market cash equivalent	A	Int./Div.	J	T	Buy	01/31/17	J		
44. -Fidelity Contra Fund	A	Dividend	J	T					
45. -Fidelity Four-In-One Index	A	Dividend	J	T					
46. -Fidelity Real Estate Income	A	Dividend	J	T					
47. -Fidelity Leveraged Company Stock Fd	A	Dividend	J	T					
48. -Fidelity Dividend Growth Fund	A	Dividend	J	T					
49. -Fidelity High Income	A	Dividend	J	T					
50. -Fidelity Select Materials Portfolio	A	Dividend	J	T					
51. -Fidelity Value Fund	A	Dividend	J	T					

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52. -Investco Div Income Fund CLA	A	Dividend	J	T					
53. Schwab Joint Account (H)									
54. -Schwab Money Market cash equivalent	A	Int./Div.	J	T					
55. -Proshares Ultrapro 500 ETF		None	L	T					
56.									

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

Part VII-The assets listed on lines 3 - 13 were added this year in order to more fully describe the investment products held in the Metlife Invs Ins Co Ins Prod-Variable Annuity account.

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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/ Joseph M. Hood**

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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