

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Whalin, Dave	2. Court or Organization Kentucky-Western District	3. Date of Report 05/01/2014
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 01/01/2013 to 12/31/2013
7. Chambers or Office Address Gene Snyder Courthouse 601 W. Broadway St., Room 200 Louisville, Kentucky 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.		
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2013	Kentucky Retirement System -- fixed annuity	\$40,000.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2013	Landrum & Shouse, LLP salary
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.				
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.)*

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. Jefferson County Federal Credit Union	A	Interest	K	T					
2. Exxon Mobil	A	Dividend	K	T					
3. ILAF (money market)	A	Interest	J	T					
4. Harbor Bond Fund	A	Int./Div.	K	T					
5.					Buy (add'l)	10/18/13	J		
6. Harbor Int'l Instl Fund	B	Dividend	K	T					
7.					Sold (part)	01/11/13	J		
8.					Sold	09/12/13	L		
9.					Buy	10/18/13	K		
10. Royce Premier Fund	B	Int./Div.	K	T					
11.					Sold	09/02/13	K		
12.					Buy	10/18/13	K		
13. Yacktman Focused Fund	A	Int./Div.	L	T					
14.					Sold (part)	04/12/13	J		
15.					Sold (part)	09/12/13	J		
16.					Sold (part)	10/07/13	K		
17.					Buy (add'l)	10/18/13	K		

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 = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000,001 - \$500,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000,000	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 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. Alliancebernstein Global	A	Int./Div.	K	T					
19.					Buy (add'l)	10/18/13	J		
20. Prudential Invst. Port. Jennison	C	Int./Div.	L	T					
21.					Sold	09/12/13	L		
22.					Buy	10/18/13	L		
23. Wells Fargo Advantage Growth	B	Int./Div.	K	T					
24.					Sold (part)	10/07/13	J		
25. Wells Fargo Small Cap Growth	B	Int./Div.	K	T	Buy	09/12/13	K		
26. MFS Int'l Value Fund		None			Buy	09/12/13	L		
27.					Sold	10/07/13	L		
28. ILAF (money fund)	A	Int./Div.	J	T					
29. Proctor and Gamble	A	Int./Div.	J	T					
30. New York Whole Life		None	K	T					
31. Stockyards Bank Account	A	Int./Div.	J	T					
32. Ivy Funds Small CapCl I		None			Sold	07/17/13	J		
33. Ivy Fund Asset Strategy Cl I		None			Sold	07/17/13	K		
34. John Hancock Sovereign Bond Fund ClI		None			Buy (add'l)	06/18/13	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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☐ 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.					Sold	07/17/13	K		
36. Oppenheimer Dev. Mkts. Cl I		None			Sold	07/17/13	J		
37. Prudential Invst.Port. Equity Opp. Class Z		None			Sold (part)	04/12/13	J		
38.					Sold (part)	07/12/13	J		
39.					Sold	07/17/13	K		
40. Thornburg Intl Value Cl I	A	Dividend			Sold	07/17/13	J		
41. Touchstone Invest. Mid Cap Cl Y		None			Sold	07/17/13	J		
42. Alliancebernstein Global Bd. Fd.	A	Int./Div.	J	T	Buy (add'l)	02/08/13	J		
43.					Buy (add'l)	07/08/13	J		
44.					Sold (part)	07/17/13	K		
45.					Buy (add'l)	08/08/13	J		
46. Prudential Short Term Corp Bond Cl Z	A	Dividend			Buy (add'l)	03/05/13	J		
47.					Buy (add'l)	06/18/13	J		
48.					Sold	07/17/13	K		
49. Wells Fargo Advantage Growth Fd	A	Dividend	K	T	Buy	07/17/13	K		
50.					Buy (add'l)	10/18/13	J		
51.					Buy (add'l)	11/08/13	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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 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)

52.					Buy (add'l)	12/20/13	J		
53. Wells Fargo Small Co. Growth Fd	A	Dividend	J	T	Buy	09/12/13	J		
54.					Buy (add'l)	12/06/13	J		
55. John Hancock III Disciplined Value Fd		None			Buy	09/12/13	K		
56.					Sold	10/07/13	K		
57. Harbor Bond Fd	A	Dividend	J	T	Buy	07/18/13	K		
58.					Buy (add'l)	07/22/13	J		
59.					Buy (add'l)	09/06/13	J		
60. Harbor Fd Int'l Fd	A	Dividend	K	T	Buy	07/18/13	K		
61.					Buy (add'l)	07/22/13	J		
62.					Sold	09/12/13	K		
63.					Buy	10/18/13	K		
64. Prudential Invt Prt 10 Jennison Equity Income	A	Dividend	K	T	Buy	07/18/13	K		
65.					Sold	09/12/13	K		
66.					Buy	10/18/13	K		
67. Royce Premeier Fd	B	Dividend	J	T	Buy	07/18/13	J		
68.					Buy (add'l)	07/22/13	J		

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69.					Sold	09/12/13	J		
70.					Buy	10/18/13	J		
71. Yacktman Focused Fd	B	Dividend	K	T	Buy	07/18/13	K		
72.					Buy (add'l)	07/22/13	J		
73.					Buy (add'l)	08/08/13	J		
74.					Buy (add'l)	08/22/13	J		
75.					Buy (add'l)	10/18/13	J		
76. MFS Int'l Value Fd		None			Buy	09/12/13	K		
77.					Sold	10/07/13	K		

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

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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/ **Dave Whalin**

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