

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) simpson, charles r.	2. Court or Organization kywd	3. Date of Report 04/18/2016
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 01/01/2015 to 12/31/2015
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. Federal Judges Assn	4/12 - 4/15	Washington DC	Board meeting	Transport, meals lodging
2. Federal judges Ass	9/15 - 9/17	Washington DC	Congressional reception	Transport, meals, lodging
3. Federal Judges Assn	10/3 - 10/8	Barcelona, Spain	International Association of Judges meeting	Transport, meals, lodging (partial reimb)
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. ge com	A	Dividend	J	T					
2. growth fd of america	D	Dividend	L	T	Sold (part)	06/18/15	J	A	
3. Royce fund totl ret	D	Dividend			Sold	12/30/15	L	A	
4. fundamental invs inc cl c	B	Dividend	L	T					
5. Invesco Asia pac grwth cl c	A	Dividend	J	T					
6. First Eagle Fd of Amer Cl c	B	Dividend			Sold	12/30/15	L	A	
7. Intl growth&Income Cl C	A	Dividend			Sold	12/30/15	K	A	
8. jpMorgan Value advant cl C	A	Dividend	L	T					
9. New World Cl C	A	Dividend	K	T					
10. Hilliard-Lyons Insured Deposit Program	A	Int./Div.			Sold (part)	03/09/15	J	A	
11. Hilliard-Lyons Insured Deposit Program					Sold	03/11/15	J	A	
12. Hilliard_Lyons insured Deposit program	A	Int./Div.	M	T	Buy	12/30/15	M		
13. Fifth3rd bnk acct	A	Int./Div.			Closed	07/22/15	J	A	
14. Hilliard-Lyons Insured Deposit Prgm	A	Int./Div.			Buy	03/12/15	J		
15. "					Sold	06/19/15	J	A	
16. Franklin Growth Fnd Com	A	Int./Div.	J	T	Buy	06/18/15	J		
17.									

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 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	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)

18. ky telco fed cu	A	Interest	L	T					
19. Louv. fed CU	A	Interest	L	T					
20. Dupree Interned. govt bond ser	C	Dividend	L	T					
21. vanguard Totl Stk Mkt idx fnd	C	Dividend	L	T					
22. HH bonds	A	Interest	K	T					
23. Stockyrds bk acct	A	Interest	L	T					
24. dupree ky tax-free	D	Dividend	M	T					
25. A									
26. Churchill downs com	A	Dividend	J	T					
27. johnson outdrs com	A	Dividend	J	T					
28. Vangrd totl stk mkt idx admiral fd	B	Dividend	L	T					
29. van guard Short-term Treas.adm fd	A	Dividend	M	T					
30. Vanguard adm treas mm fd	A	Dividend	K	T					
31. Vanguard Prime mm fd	A	Dividend	J	T					
32. C									
33. Destination XL Group Inc.(formerly Casual Male Retail Group) com	A	Dividend	J	T					
34. Churchill Downs com	A	Dividend	J	T					

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	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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35. Glimcher realty Trust com	A	Dividend			Sold	01/22/15	J	B	
36. W P Glimcher Inc. com	A	Dividend	J	T	Buy	01/22/15	J		
37. Johnson Outdoors com	A	Dividend	K	T					
38. ventas com	C	Dividend	L	T					
39. CARE CAP PPTYS INC. com	A	Dividend	J	T	Spinoff (from line 38)	08/17/15	J		
40. Vanguard totla stock mkt idx ADM fd	A	Dividend	L	T					
41. Vanguard Short-term treas ADM fd	A	Dividend	L	T					
42. Vanguard Admiral trsry mm fd	A	Dividend	K	T					
43. vanguard prime mm fd	B	Dividend	K	T					
44. B									
45. Churchill Downs com	A	Dividend	K	T					
46. HealthSouth com	A	Dividend	J	T					
47. National Hlth invs com	B	Dividend	K	T					
48. ventas com	B	Dividend	K	T					
49. CARE CAP PPTYS INC. com	A	Dividend	J	T	Spinoff (from line 48)	08/17/15	J		
50. Vanguard Tax-managed Cap Apprec Adm fd	D	Dividend	N	T					
51. Devel Markets Idx fd (formerly Vanguard Tax-manged Int'l fd)	B	Dividend	L	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	
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52. vanguard Tax-managed sm Cap fd	B	Dividend	L	T					
53. Vanguard Tax-Exempt mm fd	A	Dividend	K	T					
54. Vanguard Trsy (Admiral) MM fd	A	Dividend	O	T					
55. D									
56. Dreyfus Strategis Municipals fd	A	Dividend	J	T					
57. GE com	A	Dividend	K	T					
58. Nextera com	A	Dividend	K	T					
59. Vanguard tax-managed Cap Apprec Adm Fnd	A	Dividend	L	T					
60. Devel Markets idx fd (formerly Vanguard Tax-mang Int'l fd)	A	Dividend	J	T					
61. VanguardtAX-mANAG Small Cap fd	A	Dividend	K	T					
62. Vanguard Tax-Exempt MM fd	A	Dividend	J	T					
63. vanguard Trsy MM fd	A	Dividend	J	T					
64. IC									
65. Investment Club #1									
66. -Hilliard-Lyons Insured Deposit Prgm	A	Int./Div.	J	T	Buy	10/11/15	J		
67. - "					Buy (add'l)	11/19/15	J		
68. - "					Sold (part)	11/02/15	J	A	

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69. - "					Sold (part)	11/16/15	J	A	
70. - '					Buy (add'l)	12/16/15	J		
71. -Alphabet Inc. Com	A	Dividend	J	T	Buy	10/11/15	J		
72. - "					Buy (add'l)	11/11/15	J		
73. -American intl Group Com	A	Dividend	J	T	Buy	10/11/15	J		
74. -American Tower Com	A	Dividend	J	T	Buy	10/11/15	J		
75. -Apple Com	A	Dividend	J	T	Buy	10/11/15	J		
76. -Ashland Com	A	Dividend	J	T	Buy	10/11/15	J		
77. -Berkshire Hathaway Cl B Com	A	Dividend	J	T	Buy	10/11/15	J		
78. -CVS Caremark Com	A	Dividend	J	T	Buy	10/11/15	J		
79. -Colgate palmolive Com	A	Dividend	J	T	Buy	10/11/15	J		
80. -Diageo PLC ADR Com	A	Dividend	J	T	Buy	10/11/15	J		
81. -Walt Disney Com	A	Dividend	J	T	Buy	10/11/15	J		
82. - "					Buy (add'l)	11/11/15	J		
83. -EMC Corp Com	A	Dividend	J	T	Buy	10/11/15	J		
84. -Exxon Mobile Com	A	Dividend	J	T	Buy	10/11/15	J		
85. -Fiserv Inc. Com	A	Dividend	J	T	Buy	10/11/15	J		

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86. -Halliburton Com	A	Dividend	J	T	Buy	10/11/15	J		
87. -Humana Com	A	Dividend	J	T	Buy	10/11/15	J		
88. -McDonalds Com	A	Dividend	J	T	Buy	10/11/15	J		
89. - "					Buy (add'l)	11/11/15	J		
90. -National Oilwell Com	A	Dividend	J	T	Buy	10/11/15	J		
91. -Norfolk Southern Corp Com	A	Dividend	J	T	Buy	10/11/15	J		
92. -Visa Inc. Cl. A Com	A	Dividend	J	T	Buy	10/11/15	J		
93. - "					Buy (add'l)	11/11/15	J		
94. -Waters Corp Com	A	Dividend	J	T	Buy	10/11/15	J		

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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/ 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