

FINANCIAL DISCLOSURE REPORT INITIAL FILING

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 06/04/2015
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 01/01/2014 to 06/04/2015
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Registered Agent for Service of Process	Preston Contractors, Inc.
2. Board Member and President	Blackacre Conservancy LLC (resigned effective 12/31/2014)
3. Delegate to the American Bar Association House of Delegates	Louisville Bar Association
4. Member	Patchy Drizzle LLC
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. 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.		
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. 2014	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.	Farm Credit Mid-America	Mortgage on unimproved real estate	L
2.	Bank of America	Credit card	K
3.	American Express	Credit card	K
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 FBO Madison Lindsay 529		None			Exempt				
2. Alliance Bernstein CollegeBoundFund FBO Hugh Lindsay 529		None			Exempt				
3. American Funds Capital Income Builders Fund	B	Dividend	K	T	Exempt				
4. American Funds New World Fund		None			Exempt				
5. American Funds the Growth Fund of America Fund	A	Dividend	K	T	Exempt				
6. AQR Managed Funds Strategy Funds	A	Dividend	J	T	Exempt				
7. Calamos Growth & Income Fund	A	Dividend	J	T	Exempt				
8. Charles Schwab Money Market	A	Int./Div.	J	T	Exempt				
9. Calvert Global Energy Fund		None			Exempt				
10. Cohen & Steers Realty Fund	A	Dividend	J	T	Exempt				
11. Davis New York Venture Fund	A	Dividend	J	T	Exempt				
12. Delaware Diversified Income Fund	A	Dividend	J	T	Exempt				
13. Diamond Hill Long Short Fund	A	Dividend	J	T	Exempt				
14. Dreyfus Midcap Index Fund	A	Dividend	K	T	Exempt				
15. Eaton Vance Floating Rate Fund	A	Dividend	J	T	Exempt				
16. Fidelity Advisor Materials Fund	A	Dividend	J	T	Exempt				
17. First Eagle Overseas Fund	A	Dividend	K	T	Exempt				

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	
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. Franklin Templeton Global Bond Fund	B	Dividend	J	T	Exempt				
19. Franklin Utilities Fund	A	Dividend	J	T	Exempt				
20. Hartford Inflation Plus Fund	A	Dividend	J	T	Exempt				
21. ING International Real Estate Fund	A	Dividend	J	T	Exempt				
22. Oppenheimer Developing Markets Fund	A	Dividend	K	T	Exempt				
23. PACE Alternative Strategies Investment Fund	A	Dividend	J	T	Exempt				
24. PACE Global Real Estate Securities Investment Fund	A	Dividend	J	T	Exempt				
25. PACE Government Securities Fixed Income Investment Fund	A	Dividend	J	T	Exempt				
26. PACE High Yield Investment Fund	A	Dividend	J	T	Exempt				
27. PACE Intermediate Fixed Income Investment Fund	A	Dividend	J	T	Exempt				
28. PACE International Emerging Markets Equity Investment Fund	A	Distribution	J	T	Exempt				
29. PACE International Equity Investment Fund	A	Dividend	J	T	Exempt				
30. PACE International Fixed Income Investment Fund	A	Dividend	J	T	Exempt				
31. PACE Large Company Growth Equity Investment Fund	A	Dividend	J	T	Exempt				
32. PACE Large Company Value Equity Investment Fund	A	Dividend	J	T	Exempt				
33. PACE Mortgage Backed Securities Fixed Income Investment Fund	A	Dividend	J	T	Exempt				
34. PACE Small/Medium Company Growth Equity Investments Fund	A	Dividend	J	T	Exempt				

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35. PACE Small/Medium Company Value Equity Investment Fund	A	Dividend	J	T	Exempt				
36. PACE Strategic Fixed Income Investment Fund	A	Dividend	J	T	Exempt				
37. PIMCO Commodity Real Return Strategy Fund	A	Dividend	J	T	Exempt				
38. ROYCE Opportunity Fund		None			Exempt				
39. SCOUT International Fund	A	Dividend	K	T	Exempt				
40. VOYA International Real Estate Fund	A	Dividend	J	T	Exempt				
41. Wasatch Small Cap Growth Fund		None			Exempt				
42. Westcare Plus Bond Fund	A	Dividend	J	T	Exempt				
43.									
44.									

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

Agreement (Part II) between reporter and Dinsmore & Shohl is based on the Firm's partnership agreement, originally executed in 2002. The obligation and amount are fixed, and not based on the Firm's financial performance. Reporter is not sharing in the profits of the Firm after his departure. The reporter is not participating and will not participate in any case involving the firm until the full amount under the partnership agreement has been paid.

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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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