

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Siler, Eugene E.	2. Court or Organization Sixth Circuit Court of Appeals	3. Date of Report 05/02/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge, Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address U.S. Courthouse 310 South Main Street, Ste 333 London, KY 40741		
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. Executor	Estate #1
2. Executor	Estate #2
3. Executor	Estate #3
4. Trustee	Trust #1
5. Administrative Board Member	Baptist Health Corbin, a part of Baptist Health, Inc.
6. Director	Baptist Health, Inc.
7.	
8.	
9.	

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.	

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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.		
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.	Baptist Healthcare, Inc. (BH)	2/1-2/2	Louisville, KY	Board Meeting	Travel, food
2.	BH	3/27-3/29	Louisville, KY	Board Meeting	Travel, food, lodging
3.	BH	6/26-6/28	Louisville, KY	Board Meeting	Travel, food, lodging
4.	BH	9/28-9/30	Louisville, KY	Board Seminar	Travel, food, lodging
5.	BH	12/11-12/13	Louisville, KY	Board Meeting	Travel, food, lodging
6.					
7.					

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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.	Community Trust Bank	Mortgage on rental property, Whitley County, KY. Part VII, line 18.	K
2.	Community Trust Bank	Mortgage on rental property, Whitley County, KY. Part VII, line 16.	K
3.	Forcht Bank	Mortgage on hunting preserve, Whitley County, KY. Part VII, line 15.	K
4.	Community Trust Bank	Guarantor on sons' student loans.	K
5.	Forcht Bank	Mortgage on rental property, Whitley County, KY, Part VII, line 24	K

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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. Community Trust Bank (Common Stock)	C	Dividend	M	T					
2. Community Trust Bank Account		None	K	T					
3. KY Mine Supply (Common Stock)	B	Dividend	J	W					
4. Verizon (Common Stock)	C	Dividend	L	T					
5. Exxon Mobil (Common Stock)	E	Dividend	P1	T					
6. Chevron (Common Stock)	C	Dividend	L	T					
7. Regions Financial (Common Stock)	A	Dividend	L	T					
8. Real estate (20A) (Whitley Co., KY)(Listed as 77A)		None	K	S					
9. Pfizer (Common Stock)	B	Dividend	K	T					
10. Community Trust Bank, Estates 1&2 Accounts	A	Interest	J	T					
11. Community Trust Bank Trust #1 Account	A	Interest	J	T					
12. Community Trust Bank, Estate #3 Account	A	Interest	K	T					
13. Farmers Bank & Capital, Estate #3 Account, CD	A	Interest	J	T					
14. Johnson & Johnson (Common Stock)	B	Dividend	L	T					
15. Flying Rooster Farm, Inc. (Common Stock)	A	Royalty	K	U					
16. Rental Prop. No. 1, Whitley Co., KY (Purchase 2002 \$128,000)	C	Rent	M	R					
17. Procter & Gamble (Common Stock)	A	Dividend	K	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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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. Rental Prop. No. 3, Whitley Co., KY. (Purchase 2006 \$75,000)	C	Rent	L	R					
19. Harry Jeffries Holding, LLC	B	Dividend	J	S					
20. Apple, Inc.	A	Dividend	K	T					
21. Smucker Co.	A	Dividend	J	T					
22. Frontier Communications Corp.	A	Dividend	J	T					
23. Am. Funds, The Growth Fund of America (Mutual IRA)	A	Dividend	M	T	Sold (part)	12/15/16	K	D	
24. Rental Prop. No. 4, Whitley Co., KY (Purchase 2015 \$50,000)	D	Rent	K	R					
25. HII	A	Dividend	K	T	Buy	07/01/16	K		

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

From VII - Investments

Line 3 - Value of Kentucky Mine Supply stock derived from appraisal in 2017 by corporate officer.

Line 8 - Assessed value is at 100%, for \$30,800.

Line 19 - Assessed value is at 100% and is done annually by the Commonwealth of Kentucky. 2016 assessment was at \$4,040 for this part of the stock (20%).

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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/ Eugene E. Siler

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
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