

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) HEYBURN II, JOHN G.	2. Court or Organization U.S.D.C.KENTUCKY WESTERN	3. Date of Report 12/10/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior District Court Judge (Active)	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 262 U.S. Courthouse Louisville, KY 40202		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the <i>NONE</i> box for each part where you have no reportable information. Insert signature on last page.		

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. _____	_____
2. _____	_____
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. _____	_____

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

HEYBURN II, JOHN G.

Date of Report

12/10/2014

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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 02/15/13

Norton Healthcare, Inc. - Director's Fee/Expense Reimbursement

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

HEYBURN II, JOHN G.

Date of Report

12/10/2014

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.	Capital One Visa	Credit Card	J
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

HEYBURN II, JOHN G.

Date of Report

12/10/2014

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. LS. Trust See note #1	D	Dividend							
2. F.F.S. Trust See note #1	C	Dividend							
3. PNC Bank (IRA)	D	Dividend	N	T					See Note 2
4. - Fidelity Mon. Mark Institutional Class									
5. - Artisan Mid-Cap Value Fd.					Buy	12/10/13	J		
6. - Berkshire Hathaway-B					Sold	12/10/13	L	D	
7. - Eagle Small Cap Growth Fd					Buy	12/10/13	J		
8. - Ishares Tr. Emerging									
9. - Goldman Sachs Fd Growth Opp.					Buy	12/10/13	J		
10. - Ishares Russell 1000 Index									
11. - Harbor International Fd					Buy	12/10/13	J		
12. - SPDR Dow REIT									
13. PNC Bank (IRA)	D	Dividend	N	T					See Note 2
14. - Fidelity Mon. Mkt.									
15. - Ishares Emerg. Mkt									
16. - Ishares Russell 1000									
17. - SPDR Dow REIT									

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 = \$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	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

HEYBURN II, JOHN G.

Date of Report

12/10/2014

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. - Artisan Mid-Cap									
19. - Banon Asset Fd.									
20. - Eagle Small Cap Fd.									
21. - Goldman Saks Growth Opp.Fd.									
22. - Harbor Int. Fd.									
23. - Harding Loevner Int. Fd									
24. - T. Rowe Price Growth									
25. - T. Rowe Price Equity									
26. - Royce Opportunity Fd.									
27. - Vanguard REIT					Buy	12/10/13	J		
28. OTHER INVESTMENTS Invest.Accf's									
29. Allergan Inc.					Distributed	1/1/13	J		Note 4
30. Amazon					Distributed	1/1/13	J		Note 4
31. American Europacific Fd.	A	Dividend	K	T					
32. American European Gr. Fd.	A	Dividend	J	T					
33. American Fds. New World Fd.	A	Dividend	K	T					
34. American Growth Fd.	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	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

HEYBURN II, JOHN G.

Date of Report

12/10/2014

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)

35. American Small Cap Fd.	A	Dividend	M	T					
36. Berkshire Hathaway	A	Dividend	M	T					
37. Blackrock Liquidity Fd.	A	Dividend	J	T					
38. Brown Forman Inc.	A	Dividend			Sold	12/10/13	L	D	
39. Capital Inc. Builder	A	Dividend	K	T					
40. Chevron Corp.	B	Dividend	L	T	Sold (part)	10/13/13	K		
41. Clorox Co.	A	Dividend	L	T	Sold (part)	9/30/13	J		
42. Colgate Palmolive	A	Dividend	L	T	Sold (part)	9/30/13	J		
43. Disney Co.					Distributed	1/1/13	K		Note 4
44. Exxon Mobil	B	Dividend	M	T	Sold (part)	12/10/13	K		
45. FMC Corp.					Distributed	1/1/13	J		Note 4
46. Home Depot Inc.					Distributed	1/1/13	J		Note 4
47. IBM					Distributed	1/1/13	J		Note 4
48. Ishares Tr. Emerging Mkt.	A	Dividend	K	T					
49. Ishares Russell Mid-Cap	A	Dividend	K	T					
50. Ishares Russell 1000 Ind.	A	Dividend	K	T					
51. Ishares Russell 2000 Ind.	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

HEYBURN II, JOHN G.

Date of Report

12/10/2014

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)
52. Intell Corp.					Distributed	1/1/13	J		Note 4
53. Microsoft					Distributed	1/1/13	L		Note 4
54. Proctor & Gambill	B	Dividend	L	T	Sold (part)	12/10/13	K		
55. Schlumberger Ltd					Distributed	1/1/13	L		Note 4
56. SRDR Dow ETF	A	Dividend	J	T					
57. US Wireless Online, Inc.					Closed	12/30/13			Note 3
58. Unitedhealth Care					Distributed	1/1/13	J		Note 4
59. Walgreen Company					Distributed	1/1/13	K		Note 4
60. TRUST - (H)	D	Dividend	M	T					
61. - Blackrock Liquidity Fd.									
62. - SPDR S&P 500									
63. - SPDR Dow Jones REIT									
64. - Ishares Russell Mid Cap									
65. - Ishares Emerging Markets									
66. - Templeton Global Bd. Fd.									
67. TRUST - Armanda Money Mkt.Fd.	D	Dividend	M	T					
68. - Armanda									

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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

HEYBURN II, JOHN G.

Date of Report

12/10/2014

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)
69. - PNC Money Market Fd.									
70. - Fidelity Advisor Fd.									
71. - Ishares Mid-Cap									
72. - Ishares Russell 200									
73. - T. Rowe Price Growth Fd.									
74. - Vanguard FTSE World Fd									
75. - Honeywell Int. Inc.									
76. ING ReliaStar Ins.Co. Universal Life Policy		None	J	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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

HEYBURN II, JOHN G.

Date of Report

12/10/2014

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

NOTE 1 - The I.S. Trust and the F.F.S. Trust are trusts under which I am not a direct beneficiary. I am not a trustee and have no control over the investments. I receive income by assignment [REDACTED]. Thus, individual investments within the trust are not necessary to be reported.

NOTE 2 - On 1/1/13 changed Trustee of retirement accounts from Hilliard-Lyons to PNC Bank.

NOTE 3 - U.S. Wireless has been out of business for at least 5 years and is no longer an operating company. The shares are worthless.

NOTE 4 - All these investments were held in trust for [REDACTED]. On 1/1/13 all these investments were transferred to [REDACTED] complete control. As of 5/20/13, [REDACTED] no longer lives in our house and is not a dependent. Therefore, I am no longer reporting [REDACTED] investments.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

HEYBURN II, JOHN G.

Date of Report

12/10/2014

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/ **JOHN G. HEYBURN II**

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