

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) Bertelsman, William O.	2. Court or Organization KY-ED	3. Date of Report 05/05/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (Senior)	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 35 West Fifth Street, Rm. 505 P. O. Box 1012 Covington, KY 41012-1012		
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. Owner	529 Trust Plans #4, 7, 8 and 9 through Michigan Education Programs
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.)*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. _____

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. _____

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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. UBS Government Reserve	A	Dividend	J	T					formerly Victory Gradison
2. Goldline (formerly Dreyfus Gold Fund)		None	L	T					
3. Legg Mason Europe Fund (stock)	A	Dividend	K	T					
4. U.S. Bank, Fort Thomas, KY	A	Interest	J	T					
5. Dupree, Kentucky- Short/Med. Fund	C	Interest	M	T					
6. Dupree, Kentucky - Tax Free Fund	B	Interest	N	T					
7. Fifth Third Bank (Account)	A	Interest	M	T					
8. Fifth Third Bank, Fort Thomas, KY (Common Shares)	A	Dividend	K	T					
9. Victory Established Value Fund	A	Dividend	K	T					
10. Dreyfus Growth & Income Fund	A	Dividend	J	T					
11. Bank of Kentucky (Account)	B	Interest	L	T					
12. Procter & Gamble - Common stock	B	Dividend	L	T					
13. Victory Small Company Fund	A	Dividend	K	T					
14. BankAmerica Corp. (common stock)	A	Dividend	J	T					
15. Bank of Kentucky (Account)	B	Interest	K	T					
16. United States Savings Bonds (I)	B	Interest	K	T					
17. Sherwin Williams	A	Dividend	J	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 (See Columns C1 and D3)	J = \$15,001 - \$50,000 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	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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18. DWS Dreman High Return Fund	A	Dividend	L	T					
19. Kroger Co.	A	Dividend	K	T					
20. Michigan Education Savings Program #4 Principal Plus Option 1934	B	Interest	K	T					
21. Michigan Education Savings Program #6 - Principal + Interest Option	B	Interest			Closed	06/01/15	J	A	
22. Chevron-Texaco Corp.	B	Dividend	L	T					
23. Duke Energy	A	Dividend	J	T					
24. Clorox Co.	B	Dividend	M	T					
25. Exxon Mobil Corp.	B	Dividend	L	T					
26. General Mills, Inc.	B	Dividend	K	T					
27. Pepsico, Inc.	C	Dividend	M	T					
28. Procter & Gamble Co.	E	Dividend	O	T					
29. Southern Co.	C	Dividend	L	T					
30. Sunoco, Inc. (now Suncoke Energy)	A	Dividend	J	T					
31. Wisconsin Energy Corp.	C	Dividend	L	T					
32. U.S. Savings Bonds (H)	A	Interest	K	T					
33. Michigan Education Savings Program #7	C	Interest							
34. Principal Plus Interest Opt.			L	T					

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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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. Moderate Age-Based Opt. 18 & Over			L	T					
36. Michigan Education Savings Program #8	C	Interest							
37. Principal Plus Interest Opt.			L	T					
38. Moderate Age-Based Opt. 16			L	T					
39. Michigan Education Savings Program #9	C	Interest							
40. Principal Plus Interest Opt.			L	T					
41. Moderate Age-Based Opt. 13-14			L	T					
42. E-Trade Account	A	Interest	J	T					
43. Automatic Data Processing, Inc.	A	Dividend	K	T					
44. Johnson & Johnson	B	Dividend	L	T					
45. T-Rowe Price Equity Index 500	A	Dividend	L	T					
46. Templeton Foreign Fund C1 A	A	Interest	K	T					
47. American Funds Growth Fund of America	A	Dividend	L	T					
48. Peabody Energy Group	A	Dividend	J	T					
49. Western Union Co.	A	Dividend	K	T					
50. Spectra Energy	A	Dividend	J	T					
51. Kentucky St. Prop & Bldgs (due 8/1/25)	B	Interest			Sold	01/13/15	L	A	

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52. Ky. State Turnpike Authority (due 7/1/19)	B	Interest	L	T					
53. New York, NY Series G	C	Interest			Sold	01/13/15	L	A	
54. Hopkins Mn. Indpt. School (due 12/1/17)	B	Interest	L	T					
55. California State Revenue	B	Interest	L	T					
56. Oklahoma Dept. Trans. Rev. (due 9/1/18)	C	Interest	L	T					
57. Bowling Green, KY Proj. (due 6/1/20)	B	Interest	L	T					
58. Blackrock Global Allocation Fund	A	Dividend	L	T					
59. Alliance Bernstein Bal. Wealth Strategy	B	Dividend	M	T					
60. Citizens Bank of No. Ky (CD)	A	Interest	L	T					
61. Citizens Bank of No. Ky. (CD)	A	Interest	K	T					
62. Citizens Bank of No. Ky (CD)	A	Interest	K	T					
63. Citizens Bank of No. Ky (CD)	A	Interest	K	T					
64. Merrill Lynch Money Fund (Muni)	A	Interest	J	T					
65. Merrill Lynch Bank (Regular)	A	Interest	L	T					
66. Coca Cola Co.	A	Dividend	K	T					
67. Exxon Mobile Corp.	A	Dividend	L	T					
68. 3M Co.	A	Dividend	K	T					

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69. Alabama St. Cap Impt. Ser.D due 6/1/19	A	Interest	K	T					
70. Ky State Pty & Bldg due 11/1/17	A	Interest	K	T					
71. Citizens Bank Acct. (for 529 Plans)	A	Interest	L	T					
72. Honolulu City Hawaii Cnt Waste due 7/1/19	C	Interest	L	T					
73. New York St. Dorm Auth. due 2/15/20	A	Interest	K	T					
74. Ky St. Pty & Bldg due 8/1/20	B	Interest	L	T					
75. Ky State Pty & Bldg due 7/1/19 (Turnpike)	B	Interest	L	T					
76. Illinois State	B	Interest			Sold	01/13/15	K	A	
77. Louisville Jefferson Ky MET due 5/15/18	C	Interest			Redeemed	08/03/15	L	A	
78. Ky State Turnpike Auth due 7/1/19	B	Interest	L	T					
79. Franklin Ky PPC First due 4/1/20	B	Interest	L	T					
80. New Jersey State Revenue Series O	C	Interest	L	T					
81. Loomis Sayles Strategic Class C	A	Interest			Sold	11/12/15	K	A	
82. Medtronic	A	Dividend	K	T					
83. IShares Trust Russell Midcap Growth	A	Dividend	J	T					
84. Washington State Various Purpose Series R	C	Interest	L	T					
85. Louisville Jefferson KY MET (due 5/15/28)	B	Dividend	K	T					

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86. Nevada Sys. Hgr. Ed.	B	Interest	L	T					
87. Va. College Bldg. Authority	B	Interest	L	T					
88. Goldman Sachs Rising Div.	A	Dividend	K	T					
89. Alliance Bernstein Disc. Growth Fd	B	Dividend	L	T					
90. New Mexico St. Severance	B	Interest	K	T					
91. Natixis Oakmark Int'l Fund	A	Dividend	K	T					
92. Prudential Jermison Equity Income Fund	B	Dividend	K	T					
93. First Eagle Global Class C	A	Dividend			Sold	11/06/15	K	A	
94. University of Kentucky Gen'l Resources	B	Interest	K	T					
95. Louisiana University Agriculture	B	Interest	L	T					
96. CDK Global Income	C	Dividend	J	T					
97. T. Rowe Price Health Sciences Fund	A	Dividend	M	T	Buy	04/15/15	M		
98. T. Rowe Price Financial Services	A	Dividend	J	T	Buy	04/15/15	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/ William O. Bertelsman

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