AO 10
Rev. 1/2022

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)	2. Court or Organization	3. Date of Report
Beaton, Benjamin J.	US District Court, Western District of Kentucky	08/12/2022
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
US District Judge	☐ Nomination Date ☑ Initial ☐ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Trustee	Centre College of Kentucky
2.		
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements.)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

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
1.	2021	Cincinnati Children's Hospital
2.		
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☐ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.	Federalist Society -- Notre Dame Student Chapter	11/05/21 - 11/06/21	South Bend, IN	Educational Speaking Engagement	Travel & Lodging Expenses
2.					
3.					
4.					
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Beaton, Benjamin J.	08/12/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
1.	Vanguard Brokerage (H)									
2.	Prime Cap Odyssey Aggressive Growth	D	Dividend	L	T					
3.	Prime Cap Odyssey Growth	C	Dividend	K	T					
4.	Prime Cap Odysset Stock	B	Dividend	K	T					
5.	T Rowe Price Global Tech Investor Cl	D	Dividend	K	T					
6.	Vanguard Federal Money Market	A	Dividend	J	T					
7.	Vanguard Holdings (H)									
8.	Vanguard Capital Opportunity Fd Adm Shs	D	Dividend	M	T	Buy (add'l)	12/31/21	J		
9.	Vanguard Mid-Cap Growth Index Fd	A	Dividend	M	T	Buy (add'l)	12/31/21	J		
10.	Vanguard Federal Money Market Fd Adm Shs	A	Dividend	J	T	Buy (add'l)	12/31/21	J		
11.	Vanguard Mid-Cap Value Index Fd Adm Shs	B	Dividend	L	T					
12.	Vanguard Small-Cap Growth Index Fd Adm Shs	A	Dividend	M	T	Buy (add'l)	12/31/21	J		
13.	Vanguard Short-Term Tax-Exempt Fd Adm Shs	A	Dividend	M	T					
14.	CCHMC Retirement Plan (H)									
15.	Vanguard Inst Tg Rtm 45 Inst	D	Dividend	M	T					
16.	Roth IRA #1 (H)									
17.	Vanguard Health Care Fund Inv	A	Dividend	J	T					

1. Income Gain Codes: (See Columns B1 and D4) — 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; 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 (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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 (See Column C2) — Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

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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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
18. Vanguard High-Yield Corp Fd Inv	A	Dividend	J	T					
19. Vanguard I-T Investment Grade Inv	A	Dividend	J	T					
20. Roth IRA #2 (H)									
21. Vanguard Capital Opportunity Inv	B	Dividend	J	T					
22. Vanguard Dividend Growth Fd	A	Dividend	J	T					
23. Vanguard Health Care Fund Inv	A	Dividend	J	T					
24. Vanguard Intl Explorer Fd	A	Dividend	J	T					
25. Vanguard Real Estate Index Adm Fd	A	Dividend	J	T					
26. Charles Schwab Retirement Plan (H)									
27. Vanguard Instl Trgt Retire 2045 Ins	A	Dividend	J	T					
28. Harbor Capital Appreciation CIT CL	B	Dividend	L	T					
29. Vanguard Equity-Income Adm	A	Dividend	K	T					
30. Vanguard Extended Market Index Inst	B	Dividend	K	T					
31. American Funds Europacific Growth	A	Dividend	K	T					
32. Vanguard Emerging Mkts Stock Idx	A	Dividend	J	T					
33. American Funds American Balanced R6	A	Dividend	K	T					
34. Pimco Total Return A	A	Dividend	J	T					

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2. Value Codes (See Columns C1 and D3)
J =$15,000 or less
K =$15,001 - $50,000
L =$50,001 - $100,000
M =$100,001 - $250,000
N =$250,001 - $500,000
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3. Value Method Codes (See Column C2)
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35. Kentucky Retirement Systems	A	Int./Div.	J	T					
36. Fidelity Retirement Account (H)									
37. TRP Retire 2045 F		None			Expired	04/01/21	K		
38. Citibank Checking Account	A	Interest	J	T					
39. Fifth Third Checking Account	A	Interest	J	T					
40. HealthEquity HSA	A	Interest	J	T					
41. 529 Plan #1 (H)									
42. Vanguard Growth Index	B	Dividend	L	T	Buy (add'l)	12/31/21	J		
43. Vanguard Mid-Cap Index	B	Dividend	L	T	Buy (add'l)	12/31/21	J		
44. Vanguard Small-Cap Index	A	Dividend	L	T	Buy (add'l)	12/31/21	J		
45. Vanguard Totl Int Stk Index	A	Dividend	K	T	Buy (add'l)	12/31/21	J		
46. Vanguard Income	A	Dividend	J	T	Buy (add'l)	12/31/21	J		
47. 529 Plan #2 (H)									
48. Vanguard Growth Index	B	Dividend	L	T	Buy (add'l)	12/31/21	J		
49. Vanguard Mid-Cap Index	B	Dividend	K	T	Buy (add'l)	12/31/21	J		
50. Vanguard Small-Cap Index	A	Dividend	K	T	Buy (add'l)	12/31/21	J		
51. Vanguard Totl Int Stk Index	A	Dividend	J	T	Buy (add'l)	12/31/21	J		

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52. Vanguard Income	A	Dividend	J	T	Buy (add'l)	12/31/21	J		
53. 529 Plan #3 (H)									
54. Vanguard Growth Index	B	Dividend	L	T	Buy (add'l)	12/31/21	J		
55. Vanguard Mid-Cap Index	B	Dividend	K	T	Buy (add'l)	12/31/21	J		
56. Vanguard Small-Cap Index	A	Dividend	K	T	Buy (add'l)	12/31/21	J		
57. Vanguard Totl Int Stk Index	A	Dividend	J	T	Buy (add'l)	12/31/21	J		
58. Vanguard Income	A	Dividend	J	T	Buy (add'l)	12/31/21	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/ Benjamin J. Beaton

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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One Columbus Circle, N.E.
Washington, D.C. 20544