AO 10
Rev. 1/2022

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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
Hale, David J.	U.S. District Court, Western Kentucky	05/14/2022
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**
U.S. District Judge	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
Gene Snyder U.S. Courthouse 601 W. Broadway Louisville, Kentucky 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.	Member, Advisory Board	Judge John G. Heyburn Initiative for Excellence in the Federal Judiciary
2.	Member, Board of Directors	Federal Judges Association
3.	Member, Board of Directors	Louisville Bar Association
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	Baptist Health - salary
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.					
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
Hale, David J.	05/14/2022

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)	
1. First Financial Bank	A	Interest	K	T					
2. Louisville Federal Credit Union	A	Interest	J	T					
3. Investment Account (H)									
4. Blackrock Funds IShares S&P 500 Index Fd	C	Dividend	K	T	Sold (part)	04/30/21	J	A	
5. Invesco QQQ TR ETF Unit Series 1	B	Int./Div.	K	T					
6. Legg Mason Funds Clearbridge Dividend Strategy Fd Class I	B	Dividend	K	T	Sold (part)	04/30/21	J	A	
7. Virtus Funds KAR Small Cap Core Fund Class I	A	Dividend	K	T	Sold (part)	04/30/21	J	A	
8. Wells Fargo Cash Accounts	A	Interest	J	T					
9. Retirement Accounts (H)									
10. Aberdeen Emerging Markets Fd Inst'l Class	A	Dividend	J	T	Buy (add'l)	02/02/21	J		
11.					Buy (add'l)	03/18/21	J		
12.					Buy (add'l)	08/18/21	J		
13.					Sold (part)	10/12/21	J	A	
14. American Century Funds Small Cap Value Fd Class I	A	Dividend	J	T	Buy	03/17/21	J		
15.					Sold (part)	08/17/21	J	A	
16. American Funds Washington Mutual Fund F2	A	Dividend	J	T	Sold (part)	02/02/21	J	A	
17. American Funds Europacific Growth Fund	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	B		C		D				
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Place "(X)" after each asset exempt from prior disclosure	(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)	
18. Baron Select Funds Emerging Markets Fd Inst'l	A	Dividend	J	T	Buy	03/17/21	J		
19.					Sold (part)	08/17/21	J	A	
20. Blackrock Funds IShares S&P 500 Index Fd	C	Dividend	J	T	Sold (part)	01/08/21	J	A	
21.					Sold (part)	04/09/21	J	A	
22.					Sold (part)	07/15/21	J	A	
23.					Sold (part)	10/08/21	J	A	
24. Champlain Funds Small Co Fund	A	Dividend	J	T	Sold (part)	02/02/21	J	A	
25.					Sold (part)	08/17/21	J	A	
26. Credit Suisse Commodity Return Strategy Fd Class I	A	Dividend	J	T	Buy (add'l)	02/03/21	J		
27. Eaton Vance Series II Income Fd of Boston	A	Dividend	J	T	Buy (add'l)	02/02/21	J		
28.					Sold (part)	03/17/21	J	A	
29.					Sold (part)	08/17/21	J	A	
30. Edgewood Funds Growth Fd Inst'l Class	A	Dividend			Sold	02/02/21	J	B	
31. Goldman Sachs Financial Square Treasury Instruments Fd	A	Int./Div.	J	T	Sold (part)	01/08/21	J	A	
32.					Buy (add'l)	02/03/21	J		
33.					Sold (part)	04/09/21	J	A	
34.					Sold (part)	07/09/21	J	A	

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35.						Sold (part)	10/08/21	J	A	
36.	Hartford Mutual Funds Midcap Fd	A	Dividend			Sold (part)	02/02/21	J	A	
37.						Sold	08/17/21	J	B	
38.	Invesco QQQ TR Unit Series 1	C	Dividend	K	T					
39.	JP Morgan TR I Small Cap Equity Fd	A	Dividend	J	T	Buy (add'l)	02/02/21	J		
40.						Sold (part)	03/17/21	J	A	
41.						Sold (part)	08/17/21	J	A	
42.	John Hancock Classic Value Fd Class I	A	Dividend	J	T	Buy	02/02/21	J		
43.	Lazard International Equity Portfolio Institutional Shares	A	Dividend			Sold	08/17/21	J	A	
44.	Lazard Funds US Equity Concentrated Fd	A	Dividend	J	T	Sold (part)	02/02/21	J	A	
45.	Legg Mason Funds Clearbridge Appreciation Fd Class I	A	Dividend	J	T	Sold (part)	07/15/21	J	A	
46.	Legg Mason Funds Clearbridge Dividend Strategy Fd Class I	A	Dividend			Sold	07/15/21	J	A	
47.	T Rowe Price Blue Chip Growth Fd	A	Dividend	J	T	Buy	02/02/21	J		
48.						Buy (add'l)	10/12/21	J		
49.	T Rowe Price International Fd Overseas Stock Fd	A	Dividend	J	T	Buy	08/17/21	J		
50.	Touchstone Midcap Value Fd Class Y	A	Dividend	J	T	Sold (part)	02/02/21	J	A	
51.	Vanguard Inst'l Target Retirement 2035	C	Dividend	K	T					

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52. Vanguard Target Retirement Trust I	B	Dividend	K	T					
53. Virtus Funds KAR Small Cap Core Fund Class I	A	Dividend	J	T	Sold (part)	07/15/21	J	A	
54. Virtus Vontobel Emerging Markets Opportunities Fund	A	Dividend			Sold (part)	02/02/21	J	A	
55.					Sold	03/17/21	J	B	
56. Wells Fargo Cash Account	A	Interest	J	T					

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Name of Person Reporting	Date of Report
Hale, David J.	05/14/2022

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

Name of Person Reporting	Date of Report
Hale, David J.	05/14/2022

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/ David J. Hale

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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