AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2022

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

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	05/12/2023
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	01/01/2022 **to** 12/31/2022
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	Louisville Bar Association
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.	2022	Baptist Health - salary
2.	2022	Broadway Baptist Church - salary
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.	Rodel Institute	September 15-18, 2022	Sun Valley, ID	Judicial Fellowship	Travel, lodging, meals; spouse lodiging and meals
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.	American Express	Credit card	J
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Hale, David J.	05/12/2023

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)	01/19/22	J	D	
5. Invesco QQQ TR ETF Unit Series 1	B	Int./Div.	K	T	Buy (add'l)	01/20/22	K		
6.					Sold (part)	06/07/22	J	A	
7. United Bankshares (UBSI)	A	Dividend	J	T	Buy	06/07/22	J		
8. Wells Fargo Cash Accounts	A	Interest	J	T					
9. Legg Mason Funds Clearbridge Dividend Strategy Fd Class I	B	Dividend	K	T					
10. Virtus Funds KAR Small Cap Core Fund Class I	A	Dividend	K	T					
11. Retirement Accounts (H)									
12. Aberdeen Emerging Markets Fd Inst'l Class	A	Dividend			Buy (add'l)	03/11/22	J		
13.					Sold (part)	03/29/22	J	A	
14.					Sold	06/08/22	J	A	
15. American Century Funds Small Cap Value Fd Class I	A	Dividend			Sold (part)	03/11/22	J	A	
16.					Buy (add'l)	03/29/22	J		
17.					Sold	06/08/22	J	A	

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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Hale, David J.	05/12/2023

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☐ 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)	
18. American Funds Washington Mutual Fund F2	A	Dividend			Sold (part)	03/11/22	J	A	
19.					Buy (add'l)	03/29/22	J		
20.					Buy (add'l)	03/30/22	J		
21.					Sold (part)	04/12/22	J	A	
22.					Sold	06/08/22	J	A	
23. American Funds Europacific Growth Fund	A	Dividend			Buy (add'l)	03/11/22	J		
24.					Sold (part)	03/29/22	J	A	
25.					Sold	06/08/22	J	C	
26. Baron Select Funds Emerging Markets Fd Inst'l	A	Dividend			Buy (add'l)	03/11/22	J		
27.					Sold (part)	03/29/22	J	A	
28.					Sold (part)	04/12/22	J	A	
29.					Sold	06/08/22	J	A	
30. Blackrock Funds IShares S&P 500 Index Fd	C	Dividend	K	T	Sold (part)	01/14/22	J	D	
31.					Sold (part)	01/19/22	J	A	
32.					Sold (part)	04/08/22	J	A	
33. Champlain Funds Small Co Fund	A	Dividend			Sold (part)	03/29/22	J	A	
34.					Sold (part)	04/12/22	J	A	

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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	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		
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35.					Sold	06/08/22	J	A	
36. Credit Suisse Commodity Return Strategy Fd Class I	A	Dividend			Sold (part)	03/11/22	J	A	
37.					Sold	06/08/22	J	A	
38. Eaton Vance Series II Incone Fd of Boston	A	Dividend			Sold	06/08/22	J	A	
39. Wells Fargo Cash Account	A	Interest	J	T					
40. Goldman Sachs Financial Square Treasury Instruments Fd	A	Int./Div.			Buy (add'l)	03/11/22	J		
41.					Sold	06/08/22	J	A	
42. Invesco QQQ TR Unit Series I	C	Dividend	K	T	Buy (add'l)	01/20/22	J		
43. JP Morgan TR I Small Cap Equity Fd	A	Dividend			Sold (part)	03/29/22	J	A	
44.					Sold (part)	04/12/22	J	A	
45.					Sold	06/08/22	J	A	
46. John Hancock Classic Value Fd Class I	A	Dividend			Sold (part)	03/11/22	J	A	
47.					Sold (part)	03/29/22	J	A	
48.					Sold	06/08/22	J	A	
49. Lazard Funds US Equity Concentrated Fd	A	Dividend			Sold (part)	03/11/22	J	A	
50.					Sold (part)	03/28/22	J	A	
51.					Sold (part)	04/12/22	J	A	

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52.					Sold	06/08/22	J	A	
53. Legg Mason Funds Clearbridge Appreciation Fd Class I	A	Dividend	K	T	Sold (part)	01/19/22	J	C	
54. T Rowe Price Blue Chip Growth Fd	A	Dividend			Buy (add'l)	03/11/22	J		
55.					Buy (add'l)	03/29/22	J		
56.					Sold	06/08/22	J	B	
57. T Rowe Price International Fd Overseas Stock Fd	A	Dividend			Sold (part)	03/29/22	J	A	
58.					Sold	06/08/22	J	A	
59. Touchstone Midcap Value Fd Class Y	A	Dividend			Sold (part)	03/11/22	J	A	
60.					Sold (part)	04/12/22	J	A	
61.					Sold	06/08/22	J	B	
62. Virtus Funds KAR Small Cap Core Fund Class I	A	Dividend	L	T	Sold (part)	07/08/22	J	C	
63.					Sold (part)	09/22/22	J	A	
64. Hartford Mut Fds Midcap Fd Cl I	A	Dividend			Buy	03/11/22	J		
65.					Sold	03/29/22	J	A	
66. Baird Fds Aggregate Bd Fd Inst'l SHS Class I	A	Dividend			Buy	03/29/22	J		
67.					Sold (part)	04/12/22	J	A	
68.					Sold	06/08/22	J	B	

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69.	MFS Mid Cap Growth Fund-I	A	Dividend			Buy	03/29/22	J		
70.						Buy (add'l)	03/30/22	J		
71.						Sold	06/08/22	J	B	
72.	First Trust Rising ETF Dividend Achievers	A	Dividend	K	T	Buy	06/15/22	K		
73.	Vanguard Inst'l Target Retirement 2035	A	Dividend	K	T					
74.	Vanguard Target Retirement Trust	A	Dividend	J	T					
75.	Legg Mason Clearbridge Dividend Strategy Fd Class I	A	Dividend	L	T	Buy	12/22/22	K		

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

Name of Person Reporting	Date of Report
Hale, David J.	05/12/2023

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. § 13141 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. § 13106)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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One Columbus Circle, N.E.
Washington, D.C. 20544