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
simpson, charles r.	kywd	03/22/2022
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**
senior/dist	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
601 w.broadway #247 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.	Executive Committee	Federal judges Assn
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.		
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
simpson, charles r.	03/22/2022

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. Transcend CU	A	Interest	L	T					
2. Louv. fed CU	A	Interest	L	T					
3. Dupree Taxable Muni Bond ser	B	Dividend	K	T	Sold (part)	08/09/21	J	A	
4. vanguard Totl Stk Mkt idx fnd	B	Dividend	L	T	Sold (part)	08/16/21	J	A	
5. Vanguard Federal MM fnd	A	Dividend	J	T	Sold (part)	01/22/21	J	A	
6. Vanguard Short Trm Fed fnd	A	Dividend	J	T	Buy	01/21/21	J		
7. Stockyrds bk cash acct	A	Interest	M	T					
8. dupree ky tax-free	D	Dividend	N	T	Buy (add'l)	01/25/21	J		
9.					Buy (add'l)	08/13/21	J		
10. A (H)									
11. Vanguard federal MM Fund	A	Dividend	J	T	Sold (part)	01/21/21	J	A	
12. Churchill downs com	A	Dividend	L	T					
13. johnson outdrs com	A	Dividend	K	T					
14. Vangrd totl stk mkt idx admiral fd	B	Dividend	M	T					
15. van guard Short-term Treas.adm fd	B	Dividend	M	T	Buy (add'l)	01/21/21	J		
16.					Sold (part)	09/03/21	J	A	
17. C (H)									

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		

Name of Person Reporting	Date of Report
simpson, charles r.	03/22/2022

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)	
18. Vanguard Fed MM Fnd	A	Dividend	J	T	Buy (add'l)	01/21/21	K		
19.					Buy (add'l)	01/21/21	J		
20.					Sold (part)	01/22/21	J	A	
21.					Sold (part)	01/21/21	K	A	
22.					Sold (part)	09/02/21	J	A	
23. Vanguard Prime MM Fnd Renamed Vanguard Cash Reserves Fed MM Fnd ADM	A	Dividend			Sold	01/21/21	K	A	
24. Churchill Downs com	A	Dividend	L	T					
25. Johnson Outdoors com	A	Dividend	K	T					
26. ventas com	B	Dividend	L	T					
27. Vanguard totla stock mkt idx ADM fd	D	Dividend	O	T					
28. Vanguard Short-term treas ADM fd now Short-term Treas Fund	A	Dividend	J	T	Sold (part)	01/21/21	J	A	
29.					Sold (part)	09/02/21	K	A	
30. Vanguard Short Term Federal Fnd	A	Dividend	L	T	Buy	01/22/21	L		
31. B (H)									
32. Vanguard Fed MM Fnd	A	Dividend	J	T	Sold (part)	01/14/21	K	A	
33. Churchill Downs com	A	Dividend	M	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	
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simpson, charles r.	03/22/2022

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34. Encompass Health Corp com	A	Dividend	J	T					
35. National Hlth invs com	B	Dividend	K	T					
36. ventas com	B	Dividend	K	T					
37. SABRA Health Care comm	A	Dividend	J	T					
38. Vanguard Tax-managed Cap Apprec Adm fd	D	Dividend	P1	T					
39. Devel Markets Idx fd (formerly Vanguard Tax-mamged Int'l fd)	C	Dividend	M	T					
40. vanguard Tax-managed sm Cap fd	C	Dividend	M	T					
41. Vanguard Trsy (Admiral) MM fd	A	Dividend			Sold	01/14/21	L	A	
42. Vanguard Intermediate Term Tax Exempt Fnd ADM	C	Dividend	M	T	Buy (add'l)	09/03/21	J		
43. Vanguard Short Term Federal Fnd ADM	B	Dividend	M	T	Buy (add'l)	01/14/21	L		
44.					Buy (add'l)	01/14/21	K		
45.					Sold (part)	03/02/21	M	A	
46. Vanguard Ltd Term Tax Exmpt Fnd	B	Dividend	M	T	Buy	03/02/21	M		
47. D (H)									
48. Vanguard Fed MM Fnd	B	Dividend	J	T	Sold (part)	01/14/21	K	A	
49.					Sold (part)	01/14/21	J	A	
50. Vanguard Intermediate Term Tax Exempt Fnd ADM	C	Dividend	M	T	Buy (add'l)	01/14/21	K		

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51.					Buy (add'l)	09/02/21	J		
52.					Buy (add'l)	09/02/21	K		
53. Vanguard Short Term Treasury Fnd ADM	A	Dividend	L	T	Sold (part)	02/17/21	K	A	
54. BNY Strategic Municipals fd (Formerly Dreyfus)	A	Dividend	J	T					
55. GE com	A	Dividend	J	T	Sold (part)	08/02/21	J	A	
56. WABTEC com.	A	Dividend	J	T					
57. Nextera com	A	Dividend	L	T					
58. Vanguard Devel Markets Idx Fnd	A	Dividend	K	T					
59. Vanguard Tax-Managed Small Cap fd	A	Dividend	K	T					
60. Vanguard Limited Term Tax Exempt Fnd	A	Dividend	L	T	Buy (add'l)	01/14/21	J		
61.					Sold (part)	02/17/21	K	A	
62.					Buy (add'l)	02/17/21	L		
63. Vanguard Tax-Managed Cap. Apprec. Admiral Fund	C	Dividend	N	T	Buy (add'l)	08/13/21	J		
64. Invest clb #1 (H)									
65. -Citibank, NA (cash bank acct.)	A	Interest	J	T					
66. -Accenture PLC com	B	Dividend	M	T					
67. -Air Products & Chemicals com	B	Dividend	L	T					

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68. -Alibaba ADS	A	Dividend			Sold	07/14/21	K	A	
69. -Allstate Corp com	B	Dividend	L	T					
70. -Alphabet Inc. Com	A	Dividend	M	T					
71. -Amazon Com Inc. com	A	Dividend	M	T					
72. -American Tower Com	B	Dividend	L	T					
73. Amgen Com	A	Dividend	K	T	Buy	07/14/21	K		
74. -Apple Com	B	Dividend	N	T					
75. -Berkshire Hathaway Cl B Com	A	Dividend	M	T					
76. -Brown-Forman A com`	A	Dividend	L	T					
77. -CVS Health Corp. com	B	Dividend	L	T	Buy (add'l)	05/12/21	J		
78. -Carmax Com	A	Dividend	L	T	Buy (add'l)	07/14/21	J		
79. -Churchill Downs com	A	Dividend	M	T					
80. -Diageo PLC ADR Com	A	Dividend	L	T					
81. -Meta Platforms Com (formerly facebook inc.	A	Dividend	M	T					
82. Fedex com	A	Dividend	K	T	Buy	11/10/21	K		
83. -Fiserv Inc. Com	A	Dividend	M	T					
84. -Home Depot com	B	Dividend	M	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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85. -Johnson & Johnson com	B	Dividend	L	T					
86. -McDonalds Com	B	Dividend	L	T					
87. -Norfolk Southern Corp Com	B	Dividend	M	T	Buy (add'l)	09/15/21	K		
88. Science Applications com	A	Dividend	K	T	Buy	03/10/21	K		
89.					Buy (add'l)	03/10/21	J		
90. -Sysco com	B	Dividend	L	T					
91. -Visa Inc Cl A com	A	Dividend	M	T					
92. -Waters Corp Com	A	Dividend	M	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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Name of Person Reporting	Date of Report
simpson, charles r.	03/22/2022

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/ charles r. simpson

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 G-330
One Columbus Circle, N.E.
Washington, D.C. 20544