AO 10
Rev. 1/2012

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2012

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
HEYBURN II, JOHN G.	U.S.D.C.KENTUCKY WESTERN	01/25/2013
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**
District Court Judge (Active)	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final 5b. ☐ Amended Report	01/01/2012 to 12/31/2012
7. Chambers or Office Address		
262 U.S. Courthouse 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. Insert signature on last page.***

I. POSITIONS. *(Reporting individual only; see pp. 9-13 of filing instructions.)*

☑ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.		
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.		

Name of Person Reporting	Date of Report
HEYBURN II, JOHN G.	01/25/2013

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.)*

	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 AND TYPE
1.	02/15/12	Norton Healthcare, Inc. - Director's Fee/Expense Reimbursement
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.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

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HEYBURN II, JOHN G.	01/25/2013

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
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.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.	Capital One Visa	Credit Card	J
2.			
3.			
4.			
5.			

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)	B. Income during reporting period		C. Gross value at end of reporting period		D. 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)	(5) Identity of buyer/seller (if private transaction)
1.	I.S. Trust See note #1	D	Dividend							
2.	F.F.S. Trust See note #1	C	Dividend							
3.	HILLIARD LYONS TRUSTEE(IRA)-[redacted]	D	Dividend	N	T					
4.	Fidelity Mon. Mark			K	T					
5.	Berkshire Hathaway-[redacted]			L	T					
6.	Ishares Tr. Emerging			K	T					
7.	Ishares Russell 1000 Index			K	T					
8.	SPDR Dow REIT			K	T					
9.	HILLIARD LYONS TRUSTEE (IRA)-[redacted]	D	Dividend	N	T					
10.	Fidelity Mon. Mkt.			J	T					
11.	Ishares Emerg. Mkt			L	T					
12.	IShares Russell 1000			L	T					
13.	SPDR Dow REIT			L	T					
14.	Artisan Mid-Cap			J	T					
15.	Banon Asset Fd.			J	T					
16.	Eagle Small Cap Fd.			J	T					
17.	Goldman Saks Growth Opp.Fd.			J	T	Buy	1/30/	J		

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
HEYBURN II, JOHN G.	01/25/2013

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 (1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (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)
18. Harbor Int. Fd.			K	T					
19. Harding Equity			K	T					
20. T. Rowe Price Growth			L	T					
21. T. Rowe Price Equity			L	T					
22. Royce Fd.			J	T					
23. OTHER INVESTMENTS									
24. Allergan Inc.	A	Dividend	J	T	Buy	1/30/	J		
25. Amazon	A	Dividend	J	T					
26. American Europacific Fd.	A	Dividend	K	T					
27. American European Gr. Fd.	A	Dividend	J	T					
28. American Fds. New World Fd.	A	Dividend	K	T					
29. American Growth Fd.	A	Dividend	K	T					
30. American Small Cap Fd.	A	Dividend	M	T					
31. Berkshire Hathaway	A	Dividend	M	T					
32. Blackrock Liquidity Fd.	A	Dividend	J	T					
33. Brown Forman Inc.	A	Dividend	L	T					
34. Capital Inc. Builder	A	Dividend	K	T					

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less F =$50,001 - $100,000	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 (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. Chevron Corp.	B	Dividend	L	T	Sold (part)	12/23	K		
36. Clorox Co.	A	Dividend	L	T	Sold (part)	12/23	K		
37. Colgate Palmolive	A	Dividend	L	T					
38. Disney Co.	A	Dividend	K	T					
39. Exxon Mobil	B	Dividend	M	T					
40. FMC Corp.	A	Dividend	J	T	Buy	1/30/	J		
41. Home Depot Inc.	A	Dividend	K	T					
42. IBM	A	Dividend	J	T	Buy	1/30/	J		
43. Ishares Tr. Emerging Mkt.	A	Dividend	K	T					
44. Ishares Russell Mid-Cap	A	Dividend	K	T					
45. Ishares Russell 1000 Ind.	A	Dividend	K	T					
46. Ishares Russell 2000 Ind.	A	Dividend	K	T					
47. Intell Corp.	A	Dividend	J	T	Buy	1/30/	J		
48. Microsoft	A	Dividend	M	T					
49. Proctor & Gambill	B	Dividend	L	T					
50. Schlumberger Ltd	A	Dividend	L	T					
51. SRDR Dow ETF	A	Dividend	J	T	Buy	1/30/	J		

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52. US Wireless Online, Inc.	A	Dividend	J	T					
53. Unitedhealth Care	A	Dividend	J	T	Buy	1/30/	J		
54. Walgreen Company	A	Dividend	K	T	Sold (part)	4/19/	J		
55. TRUST - ([redacted] Tr.)	D	Dividend	M	T					
56. Blackrock Liquidity Fd.			J	T					
57. Fidelity Advisor Fd.			K	T					
58. Ishares Tr. (various)			K	T					
59. Templeton Global Bd. Fd.			K	T					
60. TRUST (MPS Non-exempt Tr.) - Armanda Money Mkt.Fd.	D	Dividend	M	T					
61. PNC Money Market Fd.			J	T					
62. Fidelity Advisor Fd.			J	T					
63. Ishares Fd. (various)			J	T					
64. T. Rowe Price Fd.			K	T					
65. Vanguard Index Fd.			K	T					
66. ING ReliaStar Ins.Co. Universal Life Policy		None	J	T					

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

NOTE 1 - The I.S. Trust and the F.F.S. Trust are trusts under which I am not a direct beneficiary. I am not a trustee and have no control over the investments. I receive income by assignment [redacted]. Thus, individual investments within the trust are not necessary to be reported.

NOTE 2 - The MONY policy on the 2011 report was listed by mistake. It is a Term Policy not reportable. The "ING" policy is a Whole Life Policy. The value listed is the cash value.

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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/ JOHN G. HEYBURN II

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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