

AO-10  
Rev. 1/2013

## FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

<b>1. Person Reporting (last name, first, middle initial)</b> Hood, Joseph M.	<b>2. Court or Organization</b> E.D. KY.	<b>3. Date of Report</b> 06/18/2013
<b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b> U.S. District Judge (Senior)	<b>5a. Report Type (check appropriate type)</b> <input type="checkbox"/> Nomination      Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final	<b>6. Reporting Period</b> 01/01/2012 to 12/31/2012
	<b>5b.</b> <input checked="" type="checkbox"/> Amended Report	
<b>7. Chambers or Office Address</b> P.O. Box 2227 Lexington, KY 40588-2227		
<b>IMPORTANT NOTES:</b> 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 pp. 9-13 of filing instructions.)

NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Board of Managers	Diederich Educational Trust
2.	Trustee	
3.		
4.		
5.		

### II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.		
2.		
3.		

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**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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> <i>(yours, not spouse's)</i>
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

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

NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

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Name of Person Reporting <b>Hood, Joseph M.</b>	Date of Report 06/18/2013
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**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		C. Gross value at end of reporting period		D. Transactions during reporting period				
		(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.	Fifth Third Bank -(Various Accounts)	A	Interest	K	T					
2.	Metlife Invs Ins Co Ins Prod		None	J	T					
3.	Lincoln National Life Ins Co		None	J	T					
4.	Fidelity Investments - ██████████ (H)									
5.	-Ashland Inc New	A	Dividend	J	T					
6.	-Fidelity Money Market	A	Interest	J	T					
7.	-Fidelity Leveraged Company Stock Fd	A	Dividend	J	T					
8.	-Fidelity China Region		None			Sold	01/13/12	J	A	
9.	-Fidelity Dividend Growth Fund	A	Dividend	J	T					
10.	-Fidelity High Income	A	Dividend	J	T					
11.	-Fidelity Select Materials Portfolio	A	Dividend	K	T	Buy (add'l)	03/20/12	J		
12.	-Fidelity Small Cap Stock Fund	A	Distribution	K	T					
13.	-Fidelity Value Fund	A	Dividend	J	T					
14.	-Janus Overseas Fund		None			Sold	01/05/12	J	A	
15.	-Fidelity Contra Fund	A	Dividend	J	T					
16.	-Fidelity Dynamic Strategies Fund		None			Sold	01/13/12	J	A	
17.	-Fidelity Select Gold Fund		None			Sold	04/02/12	J	A	

1. Income Gain Codes: 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  
 (See Columns B1 and D4) 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: J=\$15,000 or less; K=\$15,001 - \$50,000; L=\$50,001 - \$100,000; M=\$100,001 - \$250,000  
 (See Columns C1 and D3) 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: Q=Appraisal; R=Cost (Real Estate Only); S=Assessment; T=Cash Market  
 (See Column C2) 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		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value 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)
	18. -Fidelity US Govt Reserves	A	Dividend	J	T	Buy	12/31/12	J	
19. -Fidelity Four-In-One Index	A	Dividend	J	T	Buy	01/13/12	J		
20. -Fidelity Advisor MidCap II Fund		None			Sold	01/13/12	J	A	
21. -Fidelity Real estate Income	A	Dividend	J	T	Buy	01/13/12	J		
22.					Buy (add'l)	03/20/12	J		
23. Fidelity IRA	A	Dividend	K	T					
24. -Fidelity Cash Reserves									
25. -Fidelity Leveraged Company Stock Fd									
26. -Fidelity Four-In-One Index					Buy	01/13/12	J		
27. -Fidelity Real estate Income					Buy	01/13/12	J		
28.					Buy (add'l)	03/20/12	J		
29. -Fidelity China Region					Sold	01/13/12	J	A	
30. -Fidelity Dividend Growth Fund									
31. -Fidelity High Income									
32. -Fidelity Select Materials Portfolio					Buy (add'l)	03/20/12	J		
33. -Fidelity Small Cap Stock Fund									
34. -Fidelity Value Fund									

1. Income Gain Codes: 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  
 (See Columns B1 and D4) F=\$50,001 - \$100,000; G=\$100,001 - \$1,000,000; H1=\$1,000,001 - \$5,000,000; I12=More than \$5,000,000  
 2. Value Codes: J=\$15,000 or less; K=\$15,001 - \$50,000; L=\$50,001 - \$100,000; M=\$100,001 - \$250,000  
 (See Columns C1 and D3) 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: Q=Appraisal; R=Cost (Real Estate Only); S=Assessment; T=Cash Market  
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<b>Name of Person Reporting</b> <b>Hood, Joseph M.</b>	<b>Date of Report</b> 06/18/2013
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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		C. Gross value at end of reporting period			D. Transactions during reporting period				
	(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)	
	35. -Janus Overseas Fund					Sold	01/05/12	J	A	
36. -Fidelity Dynamic Strategies Fund					Sold	01/13/12	J	A		
37. -Fidelity Select Gold Fund					Sold	04/02/12	J	A		
38. -Fidelity Advisor MidCap II Fund					Sold	01/13/12	J	A		
39. -Fidelity Contra Fund										
40. Fidelity IRA #2	A	Dividend	K	T						
41. -Fidelity Dynamic Strategies Fund					Sold	01/13/12	J	A		
42. -Fidelity Select Gold Fund					Sold	04/02/12	J	A		
43. -Fidelity Contra Fund										
44. -Fidelity Advisor MidCap II Fund					Sold	01/13/12	J	A		
45. -Fidelity Four-In-One Index					Buy	01/13/12	J			
46. -Fidelity Real Estate Income					Buy	01/13/12	J			
47.					Buy (add'l)	03/20/12	J			
48. -Fidelity Cash Reserves										
49. -Fidelity Leveraged Company Stock Fd										
50. -Fidelity China Region					Sold	01/13/12	J	A		
51. -Fidelity Dividend Growth Fund										

1. Income Gain Codes: 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  
 (See Columns B1 and D4) 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 J=\$15,000 or less K=\$15,001 - \$50,000 L=\$50,001 - \$100,000 M=\$100,001 - \$250,000  
 (See Columns C1 and D3) 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 Q=Appraisal R=Cosr (Real Estate Only) S=Assessment T=Cash Market  
 (See Column C2) 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		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52. -Fidelity High Income									
53. -Fidelity Small Cap Stock Fund									
54. -Fidelity Select Materials Portfolio					Buy (add'l)	03/20/12	J		
55. -Fidelity Value Fund									
56. -Janus Overseas Fund					Sold	01/05/12	J	A	

- |  |  |  |   |   |                         |
|--|--|--|---|---|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000<br>J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000<br>K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000<br>R = Cost (Real Estate Only)<br>V = Other | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000<br>L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000<br>S = Assessment<br>W = Estimated | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000<br>M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000<br>T = Cash Market | E = \$15,001 - \$50,000 |
|--|--|--|---|---|-------------------------|

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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/ Joseph M. Hood**

**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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Washington, D.C. 20544