Jack CONWAY
FOR UNITED STATES SENATE

SECRETARY OF THE SENATE
10 AUG 19 AM 11: 18

August 12, 2010

SECRETARY OF THE SENATE
10 AUG 19 AM 11: 18

Secretary of the Senate
Office of Public Records
Room 232, Hart Senate Office Building
United States Senate
Washington, DC 20510

RE: Personal Financial Disclosure—2010

Dear Secretary:

Enclosed please find my 2010 Senate Financial Disclosure Report, due August 13 per the enclosed extension.

Please contact me if you have any questions.

Sincerely,

John W. Conway

John W. (Jack) Conway

Encl.

00000492320

WWW.JACKCONWAY.ORG
P.O. BOX 6168 • LOUISVILLE, KY 40206 • 502.632.1820

00000492321

UNITED STATES SENATE FINANCIAL DISCLOSURE REPORT
FOR NEW EMPLOYEE AND CANDIDATE REPORTS

Last Name	First Name and Middle Initial	New Employee Report Date of Employment (mm/dd/yy):	Senate Office / Agency in Which Employed
Conway	John W.		
Senate/Candidate Office Address (Number, Street, City, State, and ZIP)	**Senate/Candidate Office Telephone No.**	**Candidate Report Commencement of Candidacy (mm/dd/yy):**	**State in which you are a candidate**
PO Box 6168, Louisville, KY 40206	502-632-1821	4/13/09	KY

AFTER READING THE INSTRUCTIONS - ANSWER EACH OF THESE QUESTIONS

	YES	NO		YES	NO
Did you or your spouse have earned income (e.g., salaries or fees) or non-investment income of more than $200 from any reportable source in the reporting period? If Yes, Complete and Attach PART II.	X		Did you hold any reportable positions during the reporting period? If Yes, Complete and Attach PART VIII.	X	
Did you, your spouse, or dependent child hold any reportable asset worth more than $1,000 at the end of the period or receive unearned or investment income of more than $200 in the reporting period? If Yes, Complete and Attach PART IIIA and/or IIIB.	X		Did you have any reportable agreement or arrangement with an outside entity on the filing date? If Yes, Complete and Attach PART IX.	X	
Did you, your spouse, or dependent child have any reportable liability (more than $10,000) during the reporting period? If Yes, Complete and Attach PART VII.	X		Did you receive compensation of more than $5,000 from a single source in the two prior years? If Yes, Complete and Attach PART X.	X	

Each question must be answered and the appropriate PART attached for each "YES" response.

File this report and any amendments with the Secretary of the Senate, Office of Public Records, Room 232, Hart Senate Office Building, U.S. Senate, Washington, DC 20510. $200 Penalty for filing more than 30 days after due date.

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The statement will be made available by the Office of the Secretary of the Senate to any requesting person upon written application and will be reviewed by the Select Committee on Ethics. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil and criminal sanctions. (See 5 U.S.C. app. 4, 104, and 18 U.S.C. 1001.)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief		8-12-10

For Official Use Only - Do Not Write Below This Line

	Signature of Reviewing Official	Date (Month, Day, Year)
It is the Opinion of the reviewer that the statements made in this form are in compliance with Title I of the Ethics in Government Act.		

FOR OFFICIAL USE ONLY
Do Not Write Below this Line

SECRETARY OF THE SENATE
10 AUG 19 AM 11:18

Reporting Individual's Name: John W. Conway

PART II. EARNED AND NON-INVESTMENT INCOME

Page Number: 1

Report the source (name and address), type, and amount of earned income to you from any source aggregating $200 or more during the reporting period. For your spouse, report the source (name and address) and type of earned income which aggregate $1,000 or more during the reporting period. No amount needs to be specified for your spouse. (See p.3, CONTENTS OF REPORTS Part B of Instructions.) Do not report income from employment by the U.S. Government for you or your spouse.

Individuals not covered by the Honoraria Ban:
For you and /or your spouse, report honoraria income received which aggregates $200 or more by exact amount, give the date of, and describe the activity (speech, appearance or article) generating such honoraria payment. Do not include payments in lieu of honoraria reported on Part I.

	Name of Income Source	Address (City, State)	Type of Income	Amount
Example:	*JP Computers*	*Wash., DC* *Example*	*Salary* *Example*	*$15,000*
	MCI (Spouse)	*Arlington, VA* *Example*	*Salary* *Example*	*Over $1,000*
1	Commonwealth of Kentucky (2009) (salary minus10% voluntary reduction)	Frankfort, KY	salary+taxable vehicle value	$100,038.40
2	Commonwealth of Kentucky (2010)	Frankfort, KY	salary to date	$72,360.32
3	Brown- Forman Corp. (spouse)	Louisville, KY	Salary	Amt not required
4				
5				
6				
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8				
9				
10				
11				
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Reporting Individual's Name: John W. Conway

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Page Number: 2a

BLOCK A — Identity of Publicly Traded Assets And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, *(See p.3, CONTENTS OF REPORTS Part B of Instructions)* for production of income or investment which:
(1) had a value exceeding $1,000 at the close of the reporting period; and/or
(2) generated over $200 in "unearned" income during the reporting period.
Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

BLOCK B — Valuation of Assets
At the close of reporting period. If None, or less than $1,001, Check the first column.

BLOCK C — Type and Amount of Income

#	Asset (Block A)	B: None (or less than $1,001)	B: $1,001 - $15,000	B: $15,001 - $50,000	B: $50,001 - $100,000	B: $100,001 - $250,000	B: $250,001 - $500,000	B: $500,001 – $1,000,000	B: Over $1,000,000***	B: $1,000,001 - $5,000,000	B: $5,000,001 - $25,000,000	B: $25,000,001 - $50,000,000	B: Over $50,000,000	Type: None	Type: Dividends	Type: Rent	Type: Interest	Type: Capital Gains	Type: Excepted Investment Fund	Type: Excepted Trust	Type: Qualified Blind Trust	Type: Other (Specify Type)	Amount: None (or less than $201)	Amount: $201 - $1,000	Amount: $1,001 - $2,500	Amount: $2,501 - $5,000	Amount: $5,001 - $15,000	Amount: $15,001 - $50,000	Amount: $50,001 - $100,000	Amount: $100,001 - $1,000,000	Amount: Over $1,000,000***	Amount: $1,000,001 - $5,000,000	Amount: Over $5,000,000	Actual Amount Required if "Other" Specified
Example: S, DC, or J	IBM Corp. (stock)				X										X							Exemple		X										Exemple
Example	(S) Keystone Fund					X													X			Example	X											Exemple
1	(S) Mutual Funds in 401K:																																	
2	(S) Fidelity Growth Company			X															X				X											
3	(S) Spartan 500 Index (formerly Spartan US Equity Index)			X															X				X											
4	(S) Brown-Forman Class B			X															X				X											
5	(S) Fidelity Diversified Intl.		X																X				X											
6	(S) PIM total RT Inst.			X															X				X											
7	(S) MFS Value R4		X																X				X											
8																																		
9																																		
10																																		

EXEMPTION TEST *(see instructions before marking box)*: If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right. ☐

*** This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

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Reporting Individual's Name: John W. Conway

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Page Number: 2b

BLOCK A
Identity of Publicly Traded Assets And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, *(See p.3, CONTENTS OF REPORTS Part B of Instructions)* for production of income or investment which:

(1) had a value exceeding $1,000 at the close of the reporting period; and/or
(2) generated over $200 in "unearned" income during the reporting period.

Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

BLOCK B
Valuation of Assets

At the close of reporting period. If None, or less than $1,001, Check the first column.

Block A	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 – $1,000,000	Over $1,000,000***	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000
Example: S, DC, or J — *IBM Corp. (stock)*				X								
Example: *(S) Keystone Fund*					X							
1 American Funds Group (IRA):												
2 Capital World Growth and Income Fund			X									
3 Growth Fund America		X										
4 Smallcap World Fund		X										
5 Washington Mutual Investors Fund		X										
6												
7												
8												
9												
10												

BLOCK C
Type and Amount of Income

If "None (or less than $201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

Type of Income

Block A	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)
Example: S, DC, or J — *IBM Corp. (stock)*		X							*Example*
Example: *(S) Keystone Fund*						X			*Example*
1 American Funds Group (IRA):									
2 Capital World Growth and Income Fund							X		
3 Growth Fund America							X		
4 Smallcap World Fund							X		
5 Washington Mutual Investors Fund							X		
6									
7									
8									
9									
10									

Amount of Income

Block A	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000***	$1,000,001 - $5,000,000	Over $5,000,000	Actual Amount Required if "Other" Specified
Example: S, DC, or J — *IBM Corp. (stock)*		X										*Example*
Example: *(S) Keystone Fund*	X											*Example*
1 American Funds Group (IRA):												
2 Capital World Growth and Income Fund	X											
3 Growth Fund America	X											
4 Smallcap World Fund	X											
5 Washington Mutual Investors Fund	X											
6												
7												
8												
9												
10												

EXEMPTION TEST *(see instructions before marking box)*: If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right. ☐

*** This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

00000492325

Reporting Individual's Name: John W. Conway

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Page Number: 2c

BLOCK A
Identity of Publicly Traded Assets And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, *(See p.3, CONTENTS OF REPORTS Part B of Instructions)* for production of income or investment which:
(1) had a value exceeding $1,000 at the close of the reporting period; and/or
(2) generated over $200 in "unearned" income during the reporting period.
Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

BLOCK B
Valuation of Assets
At the close of reporting period. If None, or less than $1,001, Check the first column.

	Asset	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 – $1,000,000	Over $1,000,000***	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000
Example: S, DC, or J	*IBM Corp. (stock)*				X								
	(S) Keystone Fund					X							
1	CBL & Associates (stock)	X											
2	Chevron (stock)	X											
3	Interdigital (stock)	X											
4	Republic Bancorp Inc. KY (stock)	X											
5	Spectra Energy Corp. (stock)	X											
6	Kinder Morgan Energy (LP) 2009									X			
7	Kinder Morgan Energy (LP) 2010									X			
8	Republic Bank personal checking					X							
9	(S) Kentucky Telco Credit Union Savings		X										
10													

BLOCK C
Type and Amount of Income
If "None (or less than $201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

Type of Income

	Asset	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)
Example: S, DC, or J	*IBM Corp. (stock)*		X							*Example*
	(S) Keystone Fund						X			*Example*
1	CBL & Associates (stock)		X							
2	Chevron (stock)					X				
3	Interdigital (stock)					X				
4	Republic Bancorp Inc. KY (stock)					X				
5	Spectra Energy Corp. (stock)					X				
6	Kinder Morgan Energy (LP) 2009									pp dist
7	Kinder Morgan Energy (LP) 2010									pp dist
8	Republic Bank personal checking				X					
9	(S) Kentucky Telco Credit Union Savings				X					
10										

Amount of Income

	Asset	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000***	$1,000,001 - $5,000,000	Over $5,000,000	Actual Amount Required if "Other" Specified
Example: S, DC, or J	*IBM Corp. (stock)*		X										*Example*
	(S) Keystone Fund	X											*Example*
1	CBL & Associates (stock)		X										
2	Chevron (stock)					X							
3	Interdigital (stock)						X						
4	Republic Bancorp Inc. KY (stock)					X							
5	Spectra Energy Corp. (stock)		X										
6	Kinder Morgan Energy (LP) 2009												157,500
7	Kinder Morgan Energy (LP) 2010												106,000
8	Republic Bank personal checking			X									
9	(S) Kentucky Telco Credit Union Savings	X											
10													

EXEMPTION TEST *(see instructions before marking box)*. If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right. ☐

*** This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

Reporting Individual's Name: John W. Conway

PART IIIB. NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Page Number: 3

BLOCK A — Identity of Non-Publicly Traded Assets and Unearned Income Sources

Report the name, address (city, state and description) of each interest held by you, your spouse, or your dependent child (See p.3, CONTENTS OF REPORTS Part B of Instructions) for the production of income or investment in a non-public trade or business which:
(1) had a value exceeding $1,000 at the close of the reporting period; and/or
(2) generated over $200 in "unearned" income during the reporting period.
Include the above report for each underlying asset, which is not incidental to the trade or business. Publicly traded assets held by non-public entity may be listed on Part IIIA.

BLOCK B — Valuation of Assets
At the close of reporting period. If None, or less than $1,001, Check the first column.

BLOCK C — Type and Amount of Income

#	Block A	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 – $1,000,000	Over $1,000,000***	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Type: None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	Amount: None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000***	$1,000,001 - $5,000,000	Over $5,000,000	Actual Amount Required if "Other" Specified
Example: S, DC, or J	JP Computer, Software Design, Wash DC				X										X							Example		X										Example
	Undeveloped land, Dubuque, Iowa					X								X								Example	X											Example
1	BCRS Partners, Louisville, KY, undeveloped land						X							X									X											
2	Interest in racehorse, STATELY VICTOR*							X														purse												300,000
3	* $125,000 initial investment, current value estimated as of reporting date																																	
4																																		
5																																		
6																																		
7																																		
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EXEMPTION TEST *(see instructions before marking box)*: If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right. ☐

*** This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

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Reporting Individual's Name: John W. Conway

PART VII. LIABILITIES

Page Number: 4

Report liabilities over $10,000 owed by you, your spouse, or dependent child (See p.3 CONTENTS OF REPORTS Part B of Instructions), to any one creditor at any time during the reporting period. Check the highest amount owed during the reporting period. Exclude: (1) Mortgages on your personal residences unless rented; (2) loans secured by automobiles, household furniture or appliances; and (3) liabilities owed to certain relatives listed in Instructions. See Instructions for reporting revolving charge accounts.

	Name of Creditor	Address	Type of Liability	Date Incurred	Interest Rate	Term if Applicable	Category of Amount of Value (x)										
							$10,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000***	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000
Example: S, DC, or J	*First District Bank*	*Wash., DC*	*Mortgage on undeveloped land*	*1991*	*13%*	*25yrs*			X		E	X	A	M	P	L	E
	(J) John Jones	*Wash., DC*	*Promissory Note*	*1999*	*10%*	*On dmd*				X	E	X	A	M	P	L	E
1	Hilliard Lyons	Louisville, KY	Margin Account	4/09	prime+ 1.5%	on dmd								x			
2																	
3																	
4																	
5																	
6																	
7																	
8																	
9																	
10																	
11																	
12																	

EXEMPTION TEST *(see instructions before marking box)*: If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right. ☐

*** This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

Reporting Individual's Name
John W. Conway

PART VIII. POSITIONS HELD OUTSIDE U.S. GOVERNMENT

Report any positions held by you during the applicable reporting period whether compensated or not. Positions include, but are not limited to those of an officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise or any non-profit organization or educational institution. Both the year and month must be reported for the period of time that the position was held.

Exclude: Positions with federal government, religious, social, fraternal, or political entities, and those solely of an honorary nature.

	Name of Organization	Address (City, State)	Type of Organization	Position Held	From (Mo/Yr)	To (Mo/Yr)
Example:	*National Assn. of Rock Collectors*	*NY,NY* **EXAMPLE**	*Non-profit education*	*President*	*6/90*	*Present*
	Jones & Smith	*Hometown, USA* **EXAMPLE**	*Law Firm*	*Partner*	*7/95*	*11/0X*
1	Commonwealth of Kentucky	Frankfort, KY	State Government	Attorney General	1/08	present
2	Jack Conway PLLC	Louisville, KY	Law Firm	Member	3/03	2/08
3	BCRS Partners	Louisville, KY	Partnership	Partner	7/87	present
4	Conway Insurance Trust	Louisville, KY	Trust	Trustee	1/98	present
5						
6						
7						
8						
9						
10						
11						
12						
13						

Compensation in excess of $200 from any position must be reported in Part II.

Reporting Individual's Name: John W. Conway

PART IX. AGREEMENTS OR ARRANGEMENTS

Report your agreements or arrangements for future employment (including agreements with a publisher for writing a book or sale of other intellectual property), leaves of absence, continuation of payment by a former employer (including severance payments), or continuing participation in an employee benefit plan. See Instructions regarding the reporting of negotiations for any of these arrangements or benefits.

	Status and Terms of any Agreement or Arrangement	Parties	Date
Example:	*Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share calculated on services performed through 11/0X and retained pension benefits (diversified, independently managed, fully funded, defined contribution plan)*	*Jones & Smith, Hometown, USA* **Example**	*1/93*
Example:	*Employment agreement with XYZ Co. to become Vice President of Government Relations. Terms of agreement include salary between $50,001-$100,000, signing bonus between $2,501-$5,000 and stock options*	*XYZ Co., Bethesda, MD* **Example**	*1/0X*
1	Reasonable attorney fee from pending Kentucky Supreme Court case for work performed prior to 1-7-08 consistent with Kentucky Bar Association ethics opinion letter dated 12-19-07	Beglin v. UMC et al.	12/07
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Jack
CONWAY
FOR UNITED STATES SENATE

10 AUG 19 AM 11: 19

SECRETARY OF THE SENATE
10 AUG 19 AM 11: 19

August 12, 2010

Secretary of the Senate
Office of Public Records
Room 232, Hart Senate Office Building
United States Senate
Washington, DC 20510

RE: Personal Financial Disclosure Amendments

Dear Secretary:

Enclosed please find amended Part IIIA, page 2a, of my initial Personal Financial Disclosure filed in 2009. While preparing my 2010 disclosure I determined that I had inadvertently checked the "capital gains" box on line 2, when it should have been the "dividend" box with the corresponding amount of income. Additionally, I wanted to clarify that the stock activity reported on line 8 was for calendar year 2008.

Please contact me if you have any questions.

Sincerely,

John W. (Jack) Conway

Encl.

0000492316

WWW.JACKCONWAY.ORG

P.O. BOX 6168 • LOUISVILLE, KY 40206 • 502.632.1820

00000492317

(2009)

Reporting Individual's Name: John W. Conway

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Page Number 2a

BLOCK A
Identity of Publicly Traded Assets And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, *(See p.3, CONTENTS OF REPORTS Part B of Instructions)* for production of income or investment which:
(1) had a value exceeding $1,000 at the close of the reporting period; and/or
(2) generated over $200 in "unearned" income during the reporting period.
Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

BLOCK B
Valuation of Assets
At the close of reporting period. If None, or less than $1,001, Check the first column

Block A	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 – $1,000,000	Over $1,000,000***	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000
Example: S, DC, or J — *IBM Corp. (stock)*				x								
(S) Keystone Fund					x							
1 CBL & Associates (stock) - 2008	x											
2 CBL & Associates (stock) - 2009	x											
3 Chevron (stock) - 2008	x											
4 Chevron (stock) - 2009	x											
5 Columbia Acorn TR (MF) - 2008	x											
6 Interdigital (stock) - 2009	x											
7 Kinder Morgan Energy (LP) - 2008									x			
8 Pfizer Inc.. (stock) - 2008	x											
9 Republic Bancorp Inc. KY (stock) - 2008	x											
10 Republic Bancorp Inc. KY (stock) - 2008	x											

BLOCK C
Type and Amount of Income
If "None (or less than $201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

Type of Income

Block A	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)
Example: S, DC, or J — *IBM Corp. (stock)*		x							*Example*
(S) Keystone Fund						x			*Example*
1 CBL & Associates (stock) - 2008		x							
2 CBL & Associates (stock) - 2009		x							
3 Chevron (stock) - 2008		x							
4 Chevron (stock) - 2009					x				
5 Columbia Acorn TR (MF) - 2008						x			
6 Interdigital (stock) - 2009					x				
7 Kinder Morgan Energy (LP) - 2008									pp dist
8 Pfizer Inc.. (stock) - 2008		x							
9 Republic Bancorp Inc. KY (stock) - 2008		x							
10 Republic Bancorp Inc. KY (stock) - 2008					x				

Amount of Income

Block A	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000***	$1,000,001 - $5,000,000	Over $5,000,000	Actual Amount Required if "Other" Specified
Example: S, DC, or J — *IBM Corp. (stock)*		x										*Example*
(S) Keystone Fund	x											*Example*
1 CBL & Associates (stock) - 2008		x										
2 CBL & Associates (stock) - 2009		x										
3 Chevron (stock) - 2008			x									
4 Chevron (stock) - 2009					x							
5 Columbia Acorn TR (MF) - 2008		x										
6 Interdigital (stock) - 2009						x						
7 Kinder Morgan Energy (LP) - 2008												$1,673
8 Pfizer Inc.. (stock) - 2008			x									
9 Republic Bancorp Inc. KY (stock) - 2008		x										
10 Republic Bancorp Inc. KY (stock) - 2008						x						

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EXEMPTION TEST *(see Instructions before marking box)*: If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right. ☐

*** This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

8-12-10