

UNITED STATES SENATE
COMMITTEE ON THE JUDICIARY

QUESTIONNAIRE FOR JUDICIAL NOMINEES

PUBLIC

1. **Name**: State full name (include any former names used).

Claria Horn Boom
Claria Denise Horn
Claria Horn Shadwick

2. **Position**: State the position for which you have been nominated.

United States District Judge for the Eastern District of Kentucky and the Western District of Kentucky

3. **Address**: List current office address. If city and state of residence differs from your place of employment, please list the city and state where you currently reside.

Office: Frost Brown Todd LLC
250 West Main Street, Suite 2800
Lexington, Kentucky 40507

4. **Birthplace**: State year and place of birth.

1969; Ashland, Kentucky

5. **Education**: List in reverse chronological order each college, law school, or any other institution of higher education attended and indicate for each the dates of attendance, whether a degree was received, and the date each degree was received.

1991 – 1994, Vanderbilt Law School; J.D. (Order of the Coif), 1994

1987 – 1991, Transylvania University; B.A. (*summa cum laude*), 1991

Summer 1989, University of Kentucky; no degree

6. **Employment Record**: List in reverse chronological order all governmental agencies, business or professional corporations, companies, firms, or other enterprises, partnerships, institutions or organizations, non-profit or otherwise, with which you have been affiliated as an officer, director, partner, proprietor, or employee since graduation from college, whether or not you received payment for your services. Include the name and address of the employer and job title or description.

Affiliations (Compensated):

2006 – present

Frost Brown Todd LLC
250 West Main Street, Suite 2800
Lexington, Kentucky 40507
Member

2004 – 2008

Equine Express, LLC and Horn Family Enterprises, Inc.
100 Springdale Drive
Nicholasville, Kentucky 40356
Member/Lawyer/Clerk/Bookkeeping

2004 – 2005

Kentucky Equine Education Project
4037 Iron Works Parkway, Suite 130
Lexington, Kentucky 40511
Director of Strategy and Research (2005)
Executive Director (2004 –2005)

2004 – 2005

Strother and Handel PSC
1025 Dove Run Road
Lexington, Kentucky 40502
Attorney

2002 – 2004

Strother and Shadwick PSC
1025 Dove Run Road
Lexington, Kentucky 40502
Attorney

2002 – 2002

United States Attorney's Office for the Eastern District of Kentucky
260 West Vine Street
Lexington, Kentucky 40507
Assistant United States Attorney

1998 – 2001

United States Attorney's Office for the Western District of Kentucky
717 West Broadway
Louisville, Kentucky 40202
Assistant United States Attorney

1995 – 1998

King & Spalding
1180 Peachtree Street NE
Atlanta, Georgia 30309
Associate

1994 – 1995

United States Court of Appeals for the Sixth Circuit
Main Street Federal Building
Danville, Kentucky 40422
Law Clerk to the Hon. Pierce Lively (deceased)

July 1994 – August 1994

King & Spalding
1180 Peachtree Street NE
Atlanta, Georgia 30309
Summer Associate

June 1994 – July 1994

Greenebaum Doll & McDonald
300 West Vine Street, Suite 1200
Lexington, Kentucky 40507
Summer Associate

May 1993 – August 1993

Sidley Austin
One South Dearborn
Chicago, IL 60603
Summer Associate

June 1992 – August 1992

Brown Todd & Heyburn LLC (predecessor to Frost Brown Todd LLC)
250 West Main Street, Suite 2800
Lexington, Kentucky 40507
Summer Associate

June 1991 – August 1991

J. Montjoy Trimble, Law Office
163 West Short Street
Lexington, Kentucky 40507
Runner

Other Affiliations (Uncompensated):

2016 – Present

Henry Clay High School Volleyball Team, Booster Club

2100 Fontaine Road
Lexington, Kentucky 40502
Co-President

1999 – Present
Transylvania University
300 North Broadway
Lexington, Kentucky 40508
Board of Regents (2017 – present)
Co-Chair, Class of 1991, 25th Reunion (2016)
Women's Impact Council (2016 – present)
Board of Trustees (2008 – 2014)
Board of Visitors (2005 – 2008)
Executive Alumni Board (1999 – 2002)

1992
Vanderbilt University Law School
2201 West End Avenue
Nashville, Tennessee 37235
Research Assistant to Professor James F. Blumstein

7. **Military Service and Draft Status:** Identify any service in the U.S. Military, including dates of service, branch of service, rank or rate, serial number (if different from social security number) and type of discharge received, and whether you have registered for selective service.

I have never served in the military. I was not required to register for selective service.

8. **Honors and Awards:** List any scholarships, fellowships, honorary degrees, academic or professional honors, honorary society memberships, military awards, and any other special recognition for outstanding service or achievement.

Mentor of the Year, Frost Brown Todd LLC, 2012

Leadership Lexington Class, 2007 – 2008

Special Recognition Award, Internal Revenue Service, Criminal Investigations Division, 2001

Order of the Coif, Vanderbilt Law School, 1994

Executive Administrative Board, Vanderbilt Journal of Transnational Law, 1993 – 1994

Best Oralist (runner-up), King & Spalding Moot Court Competition, 1993

American Jurisprudence Award, Bankruptcy, Vanderbilt Law School, 1993

First Year Legal Writing Advisor, Vanderbilt Law School, 1992

American Jurisprudence Award, Contracts I, Vanderbilt Law School, 1992

Thomas D. Clark Award, Transylvania University, 1991

Vice-President, Phi Alpha Theta, Transylvania University, 1991

Omicron Delta Kappa, Transylvania University, 1991

W.T. Young Selection Committee, Transylvania University, 1991

W.T. Young Scholar, Transylvania University, 1987 – 1991

9. **Bar Associations:** List all bar associations or legal or judicial-related committees, selection panels or conferences of which you are or have been a member, and give the titles and dates of any offices which you have held in such groups.

American Bar Association, 2007 – present

Fayette County Bar Association, 1999 – present

Fayette County Bar Foundation, 2007 – present

Georgia Bar Association, 1996 – 2001

Kentucky Bar Association, 1998 – present

10. **Bar and Court Admission:**

- a. List the date(s) you were admitted to the bar of any state and any lapses in membership. Please explain the reason for any lapse in membership.

Georgia, 1996

Kentucky, 1998

After I returned to Kentucky and passed the Kentucky Bar Exam, I allowed my Georgia Bar admission to lapse in 2001. There have been no other lapses in membership.

- b. List all courts in which you have been admitted to practice, including dates of admission and any lapses in membership. Please explain the reason for any lapse in membership. Give the same information for administrative bodies that require special admission to practice.

United States Court of Appeals for the Sixth Circuit, 1998 – 2002

United States Court of Appeals for the Eleventh Circuit, 1997

Northern District of Georgia, 1997

Southern District of Georgia, 1998

Eastern District, Kentucky, 2002; 2006 – present

Western District of Kentucky, 1998 – 2002; 2006 – present

11. Memberships:

- a. List all professional, business, fraternal, scholarly, civic, charitable, or other organizations, other than those listed in response to Questions 9 or 10 to which you belong, or to which you have belonged, since graduation from law school. Provide dates of membership or participation, and indicate any office you held. Include clubs, working groups, advisory or editorial boards, panels, committees, conferences, or publications.

Commerce Lexington, 2006 – present

My current firm is an active member of Commerce Lexington. I have attended committee meetings and annual dinners and events in connection with this membership.

Equine Express, LLC and Horn Family Enterprises, Inc., 2004 – 2008

Member/Lawyer/Clerk/Bookkeeper

Henry Clay High School Volleyball Team, Booster Club, 2015 – present

Co-President, 2016 – present

Leadership Lexington, 2007 – 2008

Transylvania University

Board of Regents (2017 – present)

Co-Chair, Class of 1991, 25th Reunion (2016)

Women's Impact Council (2016 – present)

Board of Trustees (2008 – 2014)

Board of Visitors (2005 – 2008)

Executive Alumni Board (1999 – 2002)

- b. The American Bar Association's Commentary to its Code of Judicial Conduct states that it is inappropriate for a judge to hold membership in any organization that invidiously discriminates on the basis of race, sex, or religion, or national origin. Indicate whether any of these organizations listed in response to 11a above

currently discriminate or formerly discriminated on the basis of race, sex, religion or national origin either through formal membership requirements or the practical implementation of membership policies. If so, describe any action you have taken to change these policies and practices.

To the best of my knowledge, none of the organizations listed above currently discriminates or formerly discriminated on the basis of race, sex, religion, or national origin, either through formal membership requirements or the practical implementation of membership policies.

12. Published Writings and Public Statements:

- a. List the titles, publishers, and dates of books, articles, reports, letters to the editor, editorial pieces, or other published material you have written or edited, including material published only on the Internet. Supply four (4) copies of all published material to the Committee.

A deal, not a 'dole,' Courier-Journal, February 14, 2005. Copy supplied.

Horses work for Kentucky, Viewpoints page, Winchester Sun, November 11, 2004. Copy supplied (likely reprinted in multiple outlets).

Taxing times for Kentucky horse industry, Cincinnati-Kentucky Post, November 8, 2004. Copy supplied.

Reduce taxes on horse sales, Lexington Herald Leader, October 11, 2004. Copy supplied.

Appealing Punitive Damage Awards: Getting the Most Mileage Out of BMW v. Gore and Other Recent Developments in the Law (with Chilton Davis Varner), ABA Products Liability Publication, November 1997. Copy supplied.

The Turncoat Employee: The Problem of Locking the Barn Door (with Chilton Davis Varner and J. Kevin Buster), Chemical Manufacturer's Association, July 1996. Copy supplied.

Central Kentucky Women and the Rebirth of Feminism, Perspectives in History, Spring 1991. Copy supplied.

- b. Supply four (4) copies of any reports, memoranda or policy statements you prepared or contributed in the preparation of on behalf of any bar association, committee, conference, or organization of which you were or are a member. If you do not have a copy of a report, memorandum or policy statement, give the name and address of the organization that issued it, the date of the document, and a summary of its subject matter.

Diversity in Action, Frost Brown Todd LLC Diversity Report (2009). Copy supplied.

Diversity in Action, Frost Brown Todd LLC Diversity Report (2008). Copy supplied.

Horses work for Kentucky, A Year in Review, Kentucky Equine Education Project (2004 – 2005). Copy supplied.

- c. Supply four (4) copies of any testimony, official statements or other communications relating, in whole or in part, to matters of public policy or legal interpretation, that you have issued or provided or that others presented on your behalf to public bodies or public officials.

“Horses Work for Kentucky,” presentation to the Kentucky Interim Joint Committee on Agriculture and Natural Resources, Horse Farming Subcommittee, Frankfort, Kentucky, July 14, 2004. I do not have a copy of any testimony, official statement, or other communication from this presentation. I do have a copy of the outline for my presentation, a copy of which is supplied.

“Horses Work for Kentucky,” presentation to the Kentucky Interim Joint Committee on Agriculture and Natural Resources, Lexington, Kentucky, September 2004. I do not have a copy of any testimony, official statement, or other communication from this presentation, nor do I have a copy of my notes. The presentation would have been substantially similar to the one given to the Horse Farming Subcommittee on July 14, 2004 (referenced in the previous entry), a copy of which is supplied.

“Horses Work for Kentucky,” presentation to the Kentucky Interim Joint Committee on Economic Development and Tourism, Task Force on Economic Development, Frankfort, Kentucky, Fall 2004 (estimated). I do not have a copy of any testimony, official statement, or other communication from this presentation, nor do I have a copy of my notes. The presentation would have been substantially similar to the one given to the Horse Farming Subcommittee on July 14, 2004, a copy of which is supplied.

Co-Author, Wiretap and Electronic Surveillance Act of 1994, 1994 Tennessee Laws Pub. Ch. 964, *codified as*, TENN. CODE § 39-13-601 (approved May 10, 1994) (during law school worked with a colleague, local law enforcement and legislators to draft legislation, H.B. 2153 and S.B. 2708, that was ultimately passed into law). Copy supplied.

- d. Supply four (4) copies, transcripts or recordings of all speeches or talks delivered by you, including commencement speeches, remarks, lectures, panel discussions, conferences, political speeches, and question-and-answer sessions. Include the date and place where they were delivered, and readily available press reports

about the speech or talk. If you do not have a copy of the speech or a transcript or recording of your remarks, give the name and address of the group before whom the speech was given, the date of the speech, and a summary of its subject matter. If you did not speak from a prepared text, furnish a copy of any outline or notes from which you spoke.

I have not kept a comprehensive list of all speeches, talks, and presentations I have given. Below is my best effort to recreate my history of speaking engagements, drawing on my files, internet searches, and my memory.

January 26, 2017: Moderator, "Energy Infrastructure: Pipeline Needs and Obstacles," Annual Kentucky Energy Management Conference, Kentucky Chamber, Lexington, Kentucky. I have no notes, transcript, or recording. The address for the Kentucky Chamber is 464 Chenault Road, Frankfort, Kentucky 40601.

January 2016: Presenter, Commerce Lexington Award, Commerce Lexington Annual Dinner, Lexington, Kentucky. I have no notes, transcript, or recording. The address for Commerce Lexington is 330 East Main Street, Suite 100, Lexington, Kentucky 40507.

March 7, 2005: Co-Panelist, "Growing Kentucky: New Directions for Our Culture of Land and Food," University of Kentucky, Gaines Center for the Humanities, Lafayette Seminar in Public Issues, Lexington, Kentucky. I have no notes, transcript, or recording. The address for the Gaines Center for the Humanities is University of Kentucky, Gaines Center for the Humanities, 232 E. Maxwell Street, Lexington, Kentucky 40506.

Fall 2004 – Spring 2005 (estimated): Presenter, Commerce Lexington Meeting, Lexington, Kentucky. I have no notes, transcript, or recording. The address for Commerce Lexington is 330 East Main Street, Suite 100, Lexington, Kentucky 40507.

Fall 2004 – Spring 2005 (estimated): Presenter, Rotary Club of Lexington Meeting, Lexington, Kentucky. I have no notes, transcript, or recording. The address for Rotary Club of Lexington is 401 West Main Street, Suite 305, Lexington, Kentucky 40507.

Fall 2004 – Spring 2005 (estimated): Presenter, Sunrise Rotary Club Meeting, Lexington, Kentucky. I have no notes, transcript, or recording. The address for Sunrise Rotary Club is 1900 Richmond Road, Lexington, Kentucky 40502.

1995: Speaker, Retirement Dinner for Dr. Paul E. Fuller, Transylvania University, Lexington, Kentucky. I have no notes, transcript, or recording. The address for Transylvania University is 300 North Broadway, Lexington, Kentucky 40508.

From the Summer of 2004 through the Spring of 2005, in my capacity as the Executive Director of the Kentucky Equine Education Project (KEEP), I gave numerous speeches and presentations generally on the topic of "Horses Work for Kentucky." I do not recall the names of all the groups I addressed, nor can I remember the exact dates. The speeches would have been similar to the presentation I made to the Horse Farming Subcommittee (referenced in Question 12.c), a copy of which is attached. Additionally, from 1996 through the Spring of 1998, as an associate at King & Spalding, I may have participated in the presentation of the articles "Appealing Punitive Damage Awards: Getting the Most Mileage Out of *BMW v. Gore* and Other Recent Developments in the Law," and "The Turncoat Employee: The Problem of Locking the Barn Door," copies of which are supplied in Question 12.a. I do not recall the groups I may have addressed, nor can I remember the exact dates. The presentations would have been similar to the articles referenced in Question 12.a, copies of which are supplied.

- e. List all interviews you have given to newspapers, magazines or other publications, or radio or television stations, providing the dates of these interviews and four (4) copies of the clips or transcripts of these interviews where they are available to you.

David Wescott, *Giving back in the global community*, Smiley Pete Publishing, March 2, 2012. Copy supplied.

Heritage of horses on display, in peril, Cincinnati Enquirer, May 7, 2005. Copy supplied.

Tom LaMarra, *KEEP works on gaming strategy; could shift staff*, BloodHorse, May 5, 2005. Copy supplied.

Local engineer selected for equine education project, Harlan Daily Enterprise, April 29, 2005. Copy supplied.

KEEP sets membership goal of 10,000 this year, BloodHorse, April 25, 2005. Copy supplied.

KEEP to co-sponsor horse industry appreciation day, BloodHorse, April 21, 2005. Copy supplied.

Fletcher signs Kentucky breeder incentive bill, BloodHorse, March 18, 2005. Copy supplied.

Approval of slots in Florida could hurt state horse industry, Associated Press, March 14, 2005. Copy supplied (reprinted in multiple markets).

Marcus Green, *Breeders' incentives approved*, Courier-Journal, March 9, 2005.

Copy supplied.

Lawmakers to promote KY horse industry, Saddle Horse Report Online, March 9, 2005. Copy supplied.

Boyle horseman named to new equine group, Advocate-Messenger, March 3, 2005. Copy supplied.

William A. Bowden, *A career of many colors*, Transylvania University Magazine, Spring 2005. Copy supplied.

KEEP rolls out statewide campaign, BloodHorse, February 27, 2005. Copy supplied.

Gambling backers try again, Cincinnati Enquirer, February 4, 2005. Copy supplied.

Marcus Green, *Funds would give breeders incentives*, Courier-Journal, February 2, 2005. Copy supplied.

KEEP announces contest for students, BloodHorse, January 21, 2005. Copy supplied.

Amanda York, *Fletcher may propose horse industry incentives*, Cincinnati-Kentucky Post, January 12, 2005. Copy supplied.

Horse group's billboards pursue freedom from tax, eye-opening message, Lexington Herald-Leader, January 6, 2005. Copy supplied.

Marcus Green, *Group 'bluntly' stresses horse industry's value*, Courier-Journal, January 5, 2005. Copy supplied (reprinted in multiple markets).

Marcus Green, *Equine group hits early goals*, Courier-Journal, December 19, 2004. Copy supplied.

New board members join KEEP, Thoroughbred Daily News, November 30, 2004. Copy supplied.

Horses work for Kentucky, Earl Rogers selected by statewide organization, Bath County New-Outlook, November 25, 2004. Copy supplied.

NTRA Thoroughbred Notebook, Associated Press, November 24, 2004. Copy supplied.

KEEP plans multi-breed stallion season auction, BloodHorse, October 18, 2004. Copy supplied (reprinted in multiple markets).

Horse industry ailing\breeding and racing are facing tough odds in Kentucky, Cincinnati-Kentucky Post, September 21, 2004. Copy supplied.

Tom LaMarra, *KEEP board to ultimately decide gaming position*, BloodHorse, September 8, 2004. Copy supplied.

Kentucky quarter horse industry joins with KEEP, BloodHorse, August 26, 2004. Copy supplied.

Marcus Green, *Lawmakers hear from horse lobby*, Courier-Journal, July 15, 2004. Copy supplied.

Amanda York, *Incentives sought for state's equine farms*, Cincinnati-Kentucky Post, July 15, 2004. Copy supplied.

Tom LaMarra, *Key Kentucky legislative panel to hear horse industry*, BloodHorse, July 14, 2004. Copy supplied.

Equine group quickly raises \$1 million; goal to educate public, lobby for friendly laws, Lexington Herald Leader, July 8, 2004. Copy supplied (reprinted in multiple markets).

Courtney Kinney, *Horse lobbyists dip into deep pockets\get more than \$1M in donations*, Cincinnati-Kentucky Post, July 7, 2004. Copy supplied.

Kentucky Equine Education Project appoints executive staff Shadwick, Navolio, and Clabes to head up equine grass-roots organization, PR Newswire, June 30, 2004. Copy supplied (reprinted in multiple outlets).

Mike Chambers, *Ex-IRS agent gets prison, fine for tax fraud*, Lexington Herald-Leader, April 24, 2001. Copy supplied (reprinted in multiple outlets).

William T. Young, *Transylvania's Guardian Angel*, Transylvania University Magazine, Spring 2004. Copy supplied.

Ex-IRS worker, tax preparer guilty of fraud, Lexington Herald-Leader, January 19, 2001. Copy supplied.

Deborah Yetter, *Jury convicts 'chronic' tax offender; 60 false filings sought \$560,000*, Courier-Journal, January 19, 2001. Copy supplied (reprinted in multiple outlets).

Mark Schaver, *Man accused of filing fake tax returns; U.S. alleges he sought refunds of \$560,000*, Courier-Journal, February 15, 2000. Copy supplied (reprinted in multiple outlets).

Shannon Tangonan, *Credit-union teller gets one-day term*, Courier-Journal, July 14, 1999. Copy supplied.

Transylvania University Admissions Office Publication, article featuring Claria Horn (student), Spring 1991 (estimated). Copy supplied.

Homer Marcum, *Claria Denise Horn earns a \$40,000 scholarship to Transylvania U.*, The Martin Countian, Spring 1987 (estimated). Copy supplied.

13. **Judicial Office:** State (chronologically) any judicial offices you have held, including positions as an administrative law judge, whether such position was elected or appointed, and a description of the jurisdiction of each such court.

I have not held judicial office.

- a. Approximately how many cases have you presided over that have gone to verdict or judgment? _____
- i. Of these, approximately what percent were:
- | | |
|-----------------------|---------------------|
| jury trials: | _____% |
| bench trials: | _____% [total 100%] |
| civil proceedings: | _____% |
| criminal proceedings: | _____% [total 100%] |
- b. Provide citations for all opinions you have written, including concurrences and dissents.
- c. For each of the 10 most significant cases over which you presided, provide: (1) a capsule summary of the nature the case; (2) the outcome of the case; (3) the name and contact information for counsel who had a significant role in the trial of the case; and (3) the citation of the case (if reported) or the docket number and a copy of the opinion or judgment (if not reported).
- d. For each of the 10 most significant opinions you have written, provide: (1) citations for those decisions that were published; (2) a copy of those decisions that were not published; and (3) the names and contact information for the attorneys who played a significant role in the case.
- e. Provide a list of all cases in which certiorari was requested or granted.
- f. Provide a brief summary of and citations for all of your opinions where your decisions were reversed by a reviewing court or where your judgment was affirmed with significant criticism of your substantive or procedural rulings. If

any of the opinions listed were not officially reported, provide copies of the opinions.

- g. Provide a description of the number and percentage of your decisions in which you issued an unpublished opinion and the manner in which those unpublished opinions are filed and/or stored.
 - h. Provide citations for significant opinions on federal or state constitutional issues, together with the citation to appellate court rulings on such opinions. If any of the opinions listed were not officially reported, provide copies of the opinions.
 - i. Provide citations to all cases in which you sat by designation on a federal court of appeals, including a brief summary of any opinions you authored, whether majority, dissenting, or concurring, and any dissenting opinions you joined.
14. **Recusal:** If you are or have been a judge, identify the basis by which you have assessed the necessity or propriety of recusal (If your court employs an "automatic" recusal system by which you may be recused without your knowledge, please include a general description of that system.) Provide a list of any cases, motions or matters that have come before you in which a litigant or party has requested that you recuse yourself due to an asserted conflict of interest or in which you have recused yourself sua sponte. Identify each such case, and for each provide the following information:

I have not held judicial office.

- a. whether your recusal was requested by a motion or other suggestion by a litigant or a party to the proceeding or by any other person or interested party; or if you recused yourself sua sponte;
- b. a brief description of the asserted conflict of interest or other ground for recusal;
- c. the procedure you followed in determining whether or not to recuse yourself;
- d. your reason for recusing or declining to recuse yourself, including any action taken to remove the real, apparent or asserted conflict of interest or to cure any other ground for recusal.

15. **Public Office, Political Activities and Affiliations:**

- a. List chronologically any public offices you have held, other than judicial offices, including the terms of service and whether such positions were elected or appointed. If appointed, please include the name of the individual who appointed you. Also, state chronologically any unsuccessful candidacies you have had for elective office or unsuccessful nominations for appointed office.

I have not held public office.

- b. List all memberships and offices held in and services rendered, whether compensated or not, to any political party or election committee. If you have ever held a position or played a role in a political campaign, identify the particulars of the campaign, including the candidate, dates of the campaign, your title and responsibilities.

Volunteer, Carolynn P. Horn, Circuit Clerk, Martin County, Kentucky, 1987 – 2000. My Mother served as Circuit Clerk in Martin County, Kentucky for about 30 years. Throughout this time, I periodically assisted her in her campaigns by attending speeches and events and handing out literature.

Volunteer, Carolynn Horn for State Senate, Martin County, Kentucky, 2000. My Mother ran for the Kentucky State Senate. I did not have a formal role in her campaign, but I attended speeches and events and handed out literature.

16. **Legal Career:** Answer each part separately.

- a. Describe chronologically your law practice and legal experience after graduation from law school including:

- i. whether you served as clerk to a judge, and if so, the name of the judge, the court and the dates of the period you were a clerk;

From 1994 to 1995, I served as law clerk to the Honorable Pierce Lively, Circuit Judge of the United States Court of Appeals for the Sixth Circuit.

- ii. whether you practiced alone, and if so, the addresses and dates;

I have not practiced law alone.

- iii. the dates, names and addresses of law firms or offices, companies or governmental agencies with which you have been affiliated, and the nature of your affiliation with each.

1995 – 1998
King & Spalding
1180 Peachtree St. NE
Atlanta, Georgia 30309
Associate

1998 – 2001
United States Attorney's Office for the Western District of Kentucky
717 West Broadway
Louisville, Kentucky 40202
Assistant United States Attorney

2002 – 2002

United States Attorney's Office for the Eastern District of Kentucky
260 West Vine Street
Lexington, Kentucky 40507
Assistant United States Attorney

2002 – 2004

Strother and Shadwick PSC
1025 Dove Run Road
Lexington, Kentucky 40502
Attorney

2004 – 2005

Kentucky Equine Education Project
4037 Iron Works Parkway, Suite 130
Lexington, Kentucky 40511
Executive Director (2004 –2005)
Director of Strategy and Research (June 2005 – July/August 2005)

2004 – 2005

Strother and Handel PSC
1025 Dove Run Road
Lexington, Kentucky 40502
Attorney

2006 – Present

Frost Brown Todd LLC
250 West Main Street, Suite 2800
Lexington, Kentucky 40507
Member

- iv. whether you served as a mediator or arbitrator in alternative dispute resolution proceedings and, if so, a description of the 10 most significant matters with which you were involved in that capacity.

I have never served as a mediator or arbitrator in alternative dispute resolution proceedings.

b. Describe:

- i. the general character of your law practice and indicate by date when its character has changed over the years.

I served as a law clerk to the Honorable Pierce Lively, Circuit Judge for the United States Court of Appeals for the Sixth Circuit, from fall of 1994 to fall of 1995. In this capacity, I researched legal issues before the Court,

drafted pre-hearing memoranda, attended oral arguments in Cincinnati, Ohio, and drafted post hearing legal memoranda. In between oral arguments, we worked in chambers in Danville, Kentucky, preparing for oral arguments and assisting Judge Lively in writing the final opinions.

In the fall of 1995, I joined King & Spalding in Atlanta, Georgia, as a litigation associate in the products liability and toxic tort teams. My work was typical of a litigation associate at a large firm. I spent most of my time researching legal issues, writing memoranda, motions and briefs, and reviewing and preparing documents produced in discovery. I also, on occasion, interviewed and deposed witnesses. I argued at least one motion in state court. I also served on the Recruiting Committee from approximately 1996 to 1998.

My practice changed significantly when I returned to Kentucky and joined the United States Attorney's Office for the Western District of Kentucky in the summer of 1998. I later transferred to the United States Attorney's Office for the Eastern District of Kentucky in January 2002. I primarily prosecuted complex fraud and financial crimes cases including bank fraud, wire fraud, mail fraud, money laundering, and tax fraud. I handled all aspects of these cases from pre-indictment investigation and motion practice through arraignments, trials, plea hearings, sentencing hearings, and all other aspects of pre-trial and post-trial proceedings. I also conducted grand jury proceedings. When I first joined the United States Attorney's Office, I also prosecuted the federal misdemeanor cases.

In 2002, my practice changed once again when I returned to private practice as a principal at a small real estate law firm, Strother and Shadwick, PSC. I previously worked for Robert S. Strother, PSC during a couple of summers in college. We represented numerous banks and lending institutions in Central Kentucky, handling consumer and commercial real estate transactions. In 2004, I sold my interest in Strother and Shadwick, PSC, and the firm changed its name to Strother and Handel, PSC. I continued to work part time with Strother and Handel, PSC through December 2005.

From 2004 until approximately June 2005, I also served as the Executive Director of the Kentucky Equine Education Project ("KEEP"). From approximately June 2005 to August 2005 I served as Director of Research and Strategy for KEEP. Both positions were non-legal positions. KEEP's mission was to promote Kentucky's horse industry (all breeds) and educate the public about its importance to our Commonwealth.

I joined Frost Brown Todd LLC ("FBT") in 2006, and I became an equity member in late 2008. My current practice includes representing

various banks in commercial lending transactions, complicated workouts, and other corporate and regulatory matters. I also represent various businesses, pipeline companies, and insurance companies in transactional matters. Because of my background as an AUSA, I also assist clients regarding criminal issues, internal investigations, and litigation. I have also served in numerous leadership positions within my firm. From 2010 to 2011, I served on FBT's Recruiting Committee. From 2010 to 2012, I served on FBT's Women's Initiative Steering Committee. In 2011, I served on the FBT Nominating Committee, which nominated various candidates for firm leadership positions. Since 2012 to the present, I have been one of 9 equity members serving on the FBT Compensation Committee, the firm Committee that sets compensation for all equity members of the firm. In 2015, my peers selected me to be the Chairman of the Compensation Committee, and I will hold that position till the end of 2017. In 2016, I was selected by my peers to be one of the 8 members serving on a special two year Nominating Committee, which will nominate equity members to fill significant firm leadership positions including CEO, Executive Committee and Compensation Committee.

- ii. your typical clients and the areas at each period of your legal career, if any, in which you have specialized.

From 1995 to 1998, while associated with King & Spalding, my typical clients were chemical and products manufacturers, automobile manufacturers, and oil and gas companies. As an Assistant United States Attorney, from 1998 to 2002, my only client was the United States of America. At Strother and Shadwick, PSC and Strother and Handel, PSC, where I worked from 2002 to 2005, my typical clients were lending institutions. Since starting at Frost Brown Todd LLC in 2006, my typical clients are financial institutions, companies in the energy sector such as oil and pipeline companies, and insurance companies.

- c. Describe the percentage of your practice that has been in litigation and whether you appeared in court frequently, occasionally, or not at all. If the frequency of your appearances in court varied, describe such variance, providing dates.

From 1994 to 1995, I served as a law clerk to Honorable Pierce Lively of the Sixth Circuit Court of Appeals. Approximately 30% of our cases were civil cases and 70% were criminal cases. From 1995 to May 1998 at King & Spalding, approximately 95% of my practice was civil litigation, approximately 70% in federal court and 30% in state court. I appeared in court only on occasion. From 1998 to 2002, I appeared in court frequently as an Assistant United States Attorney, and all of my cases were criminal cases. From the summer of 2002 to 2005, my practice was 100% transactional, and I also served in a non-legal capacity as the Executive Director of the Kentucky Equine Education Project. Since joining my current firm in 2006, my practice has been 85% transactional

and 15% litigation and internal investigations. About 70% of the litigation matters have been in state court (and a few administrative proceedings) and the rest have been in federal court. The vast majority have been civil litigation, but I have handled a couple criminal matters.

i. Indicate the percentage of your practice in:

- | | |
|-----------------------------|-----|
| 1. federal courts: | 80% |
| 2. state courts of record: | 20% |
| 3. other courts: | 0% |
| 4. administrative agencies: | 0% |

ii. Indicate the percentage of your practice in:

- | | |
|--------------------------|-----|
| 1. civil proceedings: | 30% |
| 2. criminal proceedings: | 70% |

d. State the number of cases in courts of record, including cases before administrative law judges, you tried to verdict, judgment or final decision (rather than settled), indicating whether you were sole counsel, chief counsel, or associate counsel.

I tried approximately four criminal cases to verdict, including at least one federal misdemeanor case. I was chief counsel in three, and co-counsel in one.

i. What percentage of these trials were:

- | | |
|--------------|-----|
| 1. jury: | 75% |
| 2. non-jury: | 25% |

e. Describe your practice, if any, before the Supreme Court of the United States. Supply four (4) copies of any briefs, amicus or otherwise, and, if applicable, any oral argument transcripts before the Supreme Court in connection with your practice.

I have never appeared before the Supreme Court of the United States.

17. **Litigation:** Describe the ten (10) most significant litigated matters which you personally handled, whether or not you were the attorney of record. Give the citations, if the cases were reported, and the docket number and date if unreported. Give a capsule summary of the substance of each case. Identify the party or parties whom you represented; describe in detail the nature of your participation in the litigation and the final disposition of the case. Also state as to each case:

- the date of representation;
- the name of the court and the name of the judge or judges before whom the case was litigated; and

- c. the individual name, addresses, and telephone numbers of co-counsel and of principal counsel for each of the other parties.

1. *United States v. Peck*, 3:00-CR-00023-EHJ-1 (W.D. Ky 2000).

I served as lead counsel in a complex tax fraud case. Mr. Peck was a former IRS employee who later ran his own tax preparation business. He devised a scheme to defraud the government by filing dozens of fraudulent tax returns, and obtained hundreds of thousands in fraudulent refunds. Prior to trial and while out on bond, Mr. Peck failed to appear at a hearing and an arrest warrant was issued. He was ultimately located out of state and returned to stand trial. The case involved multiple pre-trial motions and hearings, along with expert handwriting exemplars and testimony. Although Mr. Peck initially retained counsel, his counsel withdrew prior to trial, and Mr. Peck proceeded *pro se*. The Court appointed stand-by counsel for the trial. The trial lasted nearly two weeks and involved dozens of witnesses. A jury ultimately convicted Mr. Peck on multiple counts of tax fraud and sentenced him several years in prison. I was the lead AUSA during the investigation and pre-trial phase of the case, as well as trial.

Dates of representation: 2000-2001

Presiding Judge: U.S. District Court Judge Edward Johnstone

Co-Counsel at Trial: Former Assistant United States Attorney Dean Furman
2527 Nelson Miller Parkway, Suite 101
Louisville, KY 40223
502-245-8883

Counsel for Defendant: Bruce Peck
Pro Se

Previous Counsel: E. Brian Davis
101 N. Seventh Street
Louisville, Kentucky 40202-2924
502-568-1337

Scott C. Cox
600 W. Main Street, Suite 300
Louisville, Kentucky 40202
502-589-6190

Scott T. Wendelsdorf
629 South Fourth Avenue, Suite 200
Louisville, Kentucky 40202
502-584-0525

2. *United States v. Bryan*, 5:99-CR-7-R (W.D. Ky 1999).

I prosecuted the Executive Vice President of a Western Kentucky bank for embezzlement and misapplication of bank funds involving a nominee loan scheme. Mr. Bryan made fictitious loans under the names of straw borrowers and funneled the money to himself. He disguised the loans by pulling the loan notices that would otherwise be sent to the borrower and paying the loans on a regular basis so they remained current. The case presented unique issues because some of the witnesses/victims were reluctant to testify. The case went to trial in February 2000, and Mr. Bryan pleaded guilty on the second day of trial.

Dates of representation: 1999 – 2000

Presiding Judge: U.S. District Court Judge Thomas B. Russell

Co-Counsel at Trial: Former Assistant United States Attorney, Kent Wicker
321 West Main Street, Suite 1200
Louisville, Kentucky 40202
502-572-2500

Counsel for Defendant: Len W. Ogden, Jr.
111 South Fourth Street
Paducah, Kentucky 42001
270-444-7575

3. *United States v. Burks, et al.*, No. 3:99-CR-138-R (W.D. Ky. 1999).

This was a complex defense contractor fraud case against several defendants involving charges of conspiracy to defraud the United States, mail fraud, kickbacks, RICO and extortion related to defense contracts between AM-AR International Corp., the United States government and officials at the Jeddah Air Force base in Saudi Arabia. The pre-trial investigation was extensive, involving out of state and international witnesses and evidence. It was also a highly litigated matter, with dozens of pre-trial motions including motions to suppress evidence and a motion to disqualify the United States Attorney's Office. I was associate counsel on the case, assisting more senior prosecutors, Kent Wicker and Jim Lesousky. My pretrial responsibilities included working with the agents on developing and analyzing the evidence, and assisting in the preparation of multiple witnesses. I also assisted in drafting the United States' brief in opposition to recusal of the United States' Attorney's Office. The recusal motion was denied. The defendants pleaded guilty on the second day of trial to some counts, and other counts were dismissed.

Dates of representation: 1999 – 2001

Presiding Judge: U.S. District Court Judge Thomas B. Russell

Co-Counsel at Trial: Former Assistant United States Attorney, Kent Wicker
321 West Main Street, Suite 1200
Louisville, Kentucky 40202
502-572-2500

Former Assistant United States Attorney, Jim Lesousky
(address unknown)
Louisville, Kentucky
502-299-9642

Counsel for Defendants: David A. Lambert (Defendant Gary Douglas Burks)
600 W. Main Street, Suite 300
Louisville, Kentucky 40202
502-589-6190

John Tim McCall (Defendant David A. Klemenzenz)
600 W. Main Street, Suite 300
Louisville, Kentucky 40202
502-589-6190

Peter L. Ostermiller (Defendant Larry L. May)
1303 Clear Springs Trace, Suite 100
Louisville, Kentucky 40223
502-426-1798

4. *United States v. Simon*, No. 3:99-CR-00118-JGH (W.D. Ky. 1999).

This was an advance fee scheme where Ms. Simon defrauded the Chilean National Airlines of more than \$250,000. The defendant posed as an international airline broker under the alias "Anastasia Alexandra Dubois" and enticed the Chilean National Airlines to send her a deposit on an aircraft she allegedly located for them. When the funds arrived in the United States, Ms. Simon spent the money on unrelated personal items and never produced an aircraft. I served as sole counsel on this case, handling all aspects of the investigation and pre-trial activities. Ms. Simon pleaded guilty in April 2000 and received a 37 month sentence.

Dates of representation: 1999 – 2000

Presiding Judge: U.S. District Court Judge John G. Heyburn

Counsel for Defendant: Former Federal Public Defender, Jamie L. Haworth
(address unknown)

David Kaplan
410 W. Chestnut Street, Suite 632
Louisville, Kentucky 40202
502-584-0143

5. *United States v. Perconti*, No. 3:99-CR-00028-EHJ (W.D. Ky. 1999).

This case involved charges of conspiracy, mail fraud and money laundering against two executives of a family owned gas and convenient store chain. Mr. Perconti, President of Thornton Oil, and Mr. Hobbs, its CFO, were charged with conspiring to embezzle company funds to speculate in commodities markets on their own behalf. I served as associate counsel and assisted with all areas of pre-trial preparation including drafting motions and preparing witnesses. At trial, I handled witnesses, including the Chairman of Thornton Oil, and assisted in the management of the evidence. The trial lasted nearly two weeks and involved voluminous evidence, including computer forensics evidence. Prior to trial, the CFO pleaded guilty to some of the charges. The trial resulted in a hung jury, and the United States Attorney's Office elected not to re-try the case.

Dates of representation: 1998 - 1999

Presiding Judge: U.S. District Court Judge Edward H. Johnstone

Co-Counsel at Trial: Former Assistant United States Attorney, Kent Wicker
321 West Main Street, Suite 1200
Louisville, Kentucky 40202
502-572-2500

Former United States Attorney, Jim Lesousky
(address unknown)
Louisville, Kentucky
502-299-9642

Counsel for Defendant: John Tim McCall (Defendant Perconti)
600 W. Main Street, Suite 300
Louisville, Kentucky 40202
502-589-6190

Scott C. Cox (Defendant Hobbs)
600 W. Main Street, Suite 300
Louisville, Kentucky 40202

6. *United States v. Keller, et al.*, No. 5:02-CR-00095-JMH (E.D. Ky. 2002).

This case involved a complex fraudulent scheme to purchase and sell life insurance policies on terminally ill insureds. The policies were obtained by terminally ill individuals who misrepresented their health status on insurance applications. Kelco, Inc. and its representatives, Mr. Keller and others, purchased life insurance policies knowing they had been obtained by fraud and sold them to other investors for profit. Kelco's offices in Lexington, Kentucky were searched and Kelco filed an interlocutory appeal to the United States Sixth Circuit Court of Appeals of two pre-indictment orders relating to the search of Kelco's offices. The United States Attorney's Office filed a motion to dismiss the appeal for lack of jurisdiction and was successful in getting the appeal dismissed. I assisted in the pre-indictment investigation and in drafting the United States' successful motion to dismiss. *In Re: In the Matter of the Search of Floors 3, 4, 5, 6, 7, 8, 9 and the Basement of the Building Located at 269 West Main Street, Lexington, Kentucky 40507, Case No. 01-6593* (6th CCA, 2002). Ultimately, the defendants were convicted and sentenced to prison (after I had departed the U.S. Attorney's Office).

Dates of representation: 2002

Presiding Judge: U. S. District Court Judge Karl S. Forrester (and Joseph M. Hood)

Co-Counsel, Appellate Brief: Charles P. Wisdon, Jr.
Patrick Molloy (retired AUSA; address unknown)
David P. Grise
260 W. Vine Street, Suite 300
Lexington, Kentucky 40507
859-233-2661

Counsel for Defendant: Kenneth Tuggle (I believe he is retired; address unknown)
Robert C. Webb
Robert W. Dibert
Frost Brown Todd LLC
400 West Market Street, Suite 3200
Louisville, Kentucky 40202
502-589-5400

7. *United States v. Brown*, No. 3:00-CR-00051-EHJ (W.D. Ky. 2000).

This was a felony bank fraud matter, where the defendant presented a fraudulent instrument to a local bank, then withdrew the funds before the instrument was

returned as fraudulent. I believe I was sole counsel in this matter, which went to trial in August 2000. The jury returned a guilty verdict and the defendant was sentenced to prison.

Dates of Representation: 2000
Presiding Judge: U.S. District Court Judge Edward H. Johnstone
Counsel for Defendant: Robert Mattingly
138 S. Third Street
Louisville, Kentucky 40202
502-589-2822

8. *Marathon Pipe Line LLC v. Scowby, et al.*, Case No. 11-CI-659 (Ky. Cir. Ct., Jessamine Cty., 2007).

I served as lead counsel to Marathon Pipe Line LLC (MPL), now known as MPLX LP, in connection with the replacement of a section of its common carrier pipeline that runs from Patoka, Illinois to Cattlesburg, Kentucky. This matter spanned over two years and spun off several litigation matters. Part of the pipeline MPL operates is a segment that transports crude oil from Owensboro, Kentucky to a refinery in Cattlesburg, Kentucky. In connection with the replacement of the pipeline, MPL, with our assistance, negotiated new easement agreements with about 100 landowners across Central Kentucky, including large horse farms and other commercial and residential landowners. In several instances, we initiated condemnation actions where we were unable to reach a settlement initially. Ultimately, all of the filed actions were settled, and the pipeline replacement project proceeded.

Dates of Representation: 2011 – 2013
Presiding Judge: Circuit Court Judge Hunter Daugherty
Co-Counsel: Denise McClelland (retired from Frost
Brown Todd LLC)
250 West Main Street, Suite 2800
Lexington, Kentucky 40507
859-231-0000
Counsel for Defendants: Thomas J. FitzGerald
P.O. Box 1070
Frankfort, Kentucky 40602
502-875-2428

9. *Coffman v. Central Bank & Trust Co.*, 5:11-CV-00388-KKC (E.D. Ky

2011).

I served as co-counsel representing Central Bank & Trust Co. against claims by Mr. Coffman, the plaintiff, that Central Bank violated the Right to Financial Privacy Act ("RFPA") by disclosing his financial records to a federal government agency. In connection with a federal criminal investigation, Central Bank made a disclosure related to a possible violation of law involving plaintiff to a government agency. The plaintiff was later convicted after a jury trial in May 2011 of mail fraud, wire fraud, money laundering, and securities fraud, in connection with the activities underlying Central Bank's disclosure. In our summary judgment motion, we argued that Central Bank was not liable under the RFPA and was afforded absolute immunity under the Annunzio-Wylie Money Laundering Act, 31 U.S.C. § 5318(g)(3), for disclosing Plaintiff's suspicious activities and cooperating with law-enforcement efforts. The Court granted summary judgment in our favor, and the plaintiff elected not to appeal.

As co-counsel, I assisted in developing the factual and legal arguments supporting our motion for summary judgment and a motion for protective order.

Dates of representation: 2011 – 2012

Presiding Judge: U. S. District Court Judge Karen Caldwell

Co-Counsel: Barry Hunter
Rebekha Ballard (current address unknown)
Frost Brown Todd LLC
250 West Main Street, Suite 2800
Lexington, Kentucky 40507
859-231-0000

Counsel for Plaintiffs: Brian M. Johnson
Dickinson Wright
300 W. Vine Street
Suite 1700
Lexington, KY 40507
859-899-8704

Adam C. Reeves
Stoll Keenon Ogden, PLLC
300 W. Vine Street, Suite 2100
Lexington, Kentucky 40507
859-231-3042

10. *Ventura v. Central Bank & Trust Co.*, No. 14-CI-122 (Ky. Cir. Ct., Powell Cty., 2015), *aff'd* No. 2015-CA-001407-MR (Ky. Ct. App. 2017).

I served as co-counsel representing Central Bank & Trust Co. against claims by the Venturas, the plaintiffs, that Central Bank made tortious disclosures of information about plaintiffs' account activity at Central Bank to a task force officer with the Internal Revenue Service and other federal law enforcement officials. The account activity consisted of plaintiffs' repeated cash deposits of amounts slightly under the amount, *i.e.*, \$10,000.01, which would have triggered federal CTR (currency transaction reporting) requirements. On behalf of Central Bank, we argued that such disclosures were actually mandated by the provisions of the Bank Secrecy Act, 31 U.S.C. § 5311, *et seq.* ("the BSA"), and regulations promulgated under the BSA, which require banks like Central Bank to report "any suspicious transaction relevant to a possible violation of law or regulation." 31 U.S.C. §5318(g)(1). We argued that to protect banks that comply with these legal obligations from claims by disgruntled bank customers, precisely like those asserted by Plaintiffs in this case, the BSA grants banks absolute immunity from such claims. The Court granted summary judgment, and the Kentucky Court of Appeals upheld the ruling. As co-counsel, I assisted in developing the factual and legal arguments supporting our motion for summary judgment. I also reviewed discovery and interviewed witnesses.

Dates of Representation: 2015 – 2016

Presiding Judge: Hon. Frank A. Fletcher

Co-Counsel: Barry Hunter
Mark Flores (departed FBT; address unknown)
Frost Brown Todd LLC
250 West Main Street, Suite 2800
Lexington, Kentucky 40507
859-231-0000

Patrick E. O'Neill
1029 College Ave., Suite 101
Jackson, Kentucky 41339
606-666-2990

Counsel for Plaintiffs: Caitlin A. Wohlander
Mark A. Wohlander
Danielle Brown, of counsel
Wohlander Law Offices
P.O. Box 910483
Lexington, KY 40591
859-309-1691

Tom K. Hall
Attorney at Law
P.O. Box X

18. **Legal Activities:** Describe the most significant legal activities you have pursued, including significant litigation which did not progress to trial or legal matters that did not involve litigation. Describe fully the nature of your participation in these activities. List any client(s) or organization(s) for whom you performed lobbying activities and describe the lobbying activities you performed on behalf of such client(s) or organizations(s). (Note: As to any facts requested in this question, please omit any information protected by the attorney-client privilege.)

While I served as an Assistant United States Attorney, most of the matters I investigated and indicted were resolved through a plea agreement. Because I mainly prosecuted fraud and financial crimes cases, these matters often involved lengthy investigations with multiple targets and voluminous records and evidence. These cases did not go to trial as often as some of the other criminal matters.

Since joining Frost Brown Todd LLC in 2006, a significant part of my practice has involved transactional work, primarily commercial transactions, real estate, and assisting lenders in financing transactions, work outs and real estate matters. I lead a team of lawyers and legal professionals for one of our bank clients, for whom we function as outside general counsel. Examples of my transactional work include assisting a large energy client in the transfer of millions of dollars of assets to a related company, assisting another energy client in a \$90 million acquisition of coal terminals and coal mines in Kentucky, Virginia and West Virginia, and handling the large pipeline replacement project for Marathon Pipe Line referenced previously.

Given my prosecutor background, I also assist in internal investigations for firm clients, some of which involve interviewing dozens of witnesses, analyzing vast amounts of documents and e-mails, and counseling clients on potential issues.

I have also served in a number of leadership positions at Frost Brown Todd LLC. I currently serve as Chairman of the firm's Compensation Committee, the Committee that sets compensation for all equity members in our firm. The Committee is comprised of our Chairman, CEO and seven other members from across our various offices who are selected by their peers through a Nominating Committee and election process. I also currently serve on a two-year Nominating Committee that was convened last fall to fill significant leadership positions within our firm over the next two years, including CEO and positions on the Executive Committee and Compensation Committee.

19. **Teaching:** What courses have you taught? For each course, state the title, the institution at which you taught the course, the years in which you taught the course, and describe briefly the subject matter of the course and the major topics taught. If you have a syllabus of each course, provide four (4) copies to the committee.

I served as a legal writing advisor during law school at Vanderbilt University in 1992. Other than this, I have never held a formal teaching position.

20. **Deferred Income/ Future Benefits:** List the sources, amounts and dates of all anticipated receipts from deferred income arrangements, stock, options, uncompleted contracts and other future benefits which you expect to derive from previous business relationships, professional services, firm memberships, former employers, clients or customers. Describe the arrangements you have made to be compensated in the future for any financial or business interest.

I do not expect to have any income derived from other sources if I were confirmed as an Article III Judge, other than deferred compensation and profits from my current firm that were previously earned but not distributed until 2018 (after the 2017 financial books have been closed).

21. **Outside Commitments During Court Service:** Do you have any plans, commitments, or agreements to pursue outside employment, with or without compensation, during your service with the court? If so, explain.

If possible, I would like to continue my volunteer work as Co-President of the Henry Clay High School Volleyball Booster Club, a public high school. If this presents an issue, I can certainly step down from this role.

22. **Sources of Income:** List sources and amounts of all income received during the calendar year preceding your nomination and for the current calendar year, including all salaries, fees, dividends, interest, gifts, rents, royalties, licensing fees, honoraria, and other items exceeding \$500 or more (if you prefer to do so, copies of the financial disclosure report, required by the Ethics in Government Act of 1978, may be substituted here).

See attached Financial Disclosure Report.

23. **Statement of Net Worth:** Please complete the attached financial net worth statement in detail (add schedules as called for).

See attached Net Worth Statement.

24. **Potential Conflicts of Interest:**

- a. Identify the family members or other persons, parties, categories of litigation, and financial arrangements that are likely to present potential conflicts-of-interest when you first assume the position to which you have been nominated. Explain how you would address any such conflict if it were to arise.

The most likely potential conflicts would arise with my present law firm. For an appropriate amount of time, I would recuse myself from cases in which members of my current firm appear. Additionally, I would recuse myself from matters involving existing firm clients.

- b. Explain how you will resolve any potential conflict of interest, including the procedure you will follow in determining these areas of concern.

If confirmed, I will carefully review any real or potential conflicts by reference to 28 U.S.C. Section 455, Canon 3 Code of Conduct for United States Judges, and any and all other laws, rules, and practices governing such circumstances.

25. **Pro Bono Work:** An ethical consideration under Canon 2 of the American Bar Association's Code of Professional Responsibility calls for "every lawyer, regardless of professional prominence or professional workload, to find some time to participate in serving the disadvantaged." Describe what you have done to fulfill these responsibilities, listing specific instances and the amount of time devoted to each.

Several years ago I assisted in retaining our firm as pro bono counsel in obtaining a humanitarian parole visa for a young Honduran girl to come to Lexington, Kentucky to have potentially life-saving heart surgery. Recently, I assisted one of our estate planning lawyers in representing a couple who were both local teachers. The wife had end stage cancer, and the couple needed to get all of their estate documents in order before she passed away, including a trust for the teachers' adult child with special needs. I have also provided informal counsel to The Nile, a center for adult women with substance abuse, including women who are pregnant. I and other members of my family have also volunteered for The Nile for a few years, and served as volunteers at Southland Christian Church. Over the years, I have also volunteered at local public schools in Lexington, Kentucky, including serving most recently as Co-President of the Henry Clay High School Volleyball Team Booster Club, which involved more than 100 hours of volunteer service in 2016.

26. **Selection Process:**

- a. Please describe your experience in the entire judicial selection process, from beginning to end (including the circumstances which led to your nomination and the interviews in which you participated). Is there a selection commission in your jurisdiction to recommend candidates for nomination to the federal courts? If so, please include that process in your description, as well as whether the commission recommended your nomination. List the dates of all interviews or communications you had with the White House staff or the Justice Department regarding this nomination. Do not include any contacts with Federal Bureau of Investigation personnel concerning your nomination.

In the spring of 2016, I was asked by a staff member of Senator Mitch McConnell to complete a questionnaire. On December 21, 2016, I met with staffers from Senator McConnell's office. On January 14, 2017, I met with Senator McConnell. On February 21, 2017, I interviewed with attorneys from the White House Counsel's Office in Washington, D.C. Since March 14, 2017, I have been in contact with officials from the Office of Legal Policy at the Department of Justice.

- b. Has anyone involved in the process of selecting you as a judicial nominee discussed with you any currently pending or specific case, legal issue or question in a manner that could reasonably be interpreted as seeking any express or implied assurances concerning your position on such case, issue, or question? If so, explain fully.

No.

FINANCIAL DISCLOSURE REPORT NOMINATION FILING

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) Boom, Claria H.	2. Court or Organization U.S. District Court, E.D. Kentucky and W.D. Kentucky	3. Date of Report 06/12/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge	5a. Report Type (check appropriate type) ☒ Nomination Date 06/12/2017 ☐ Initial ☐ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 06/01/2017
7. Chambers or Office Address 250 West Main Street, Suite 2800 Lexington, Kentucky 40502		
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 pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Member	Frost Brown Todd LLC
2. Member	Transylvania University Women's Impact Council
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. 01/01/09	Frost Brown Todd LLC Operating Agreement/Member Agreement
2.	
3.	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Boom, Claria H.

Date of Report

06/12/2017

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> (yours, not spouse's)
1. 2017	Frost Brown Todd LLC, membership income	\$195,000.00
2. 2016	Frost Brown Todd LLC, membership income	\$578,800.00
3. 2015	Frost Brown Todd LLC, membership income	\$542,117.00
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. 2017	Brett Construction Co. - salary and portion of net profits
2. 2016	Brett Construction Co. - salary and portion of net profits
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. Exempt				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Boom, Claria H.

Date of Report

06/12/2017

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.	Exempt		
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.	Republic Bank & Trust – Investment Property #1 (15%)	Mortgage on Investment Property #1, Lexington, KY (Pt. VII, line 18)	N
2.	PBI Bank – Investment Property #2 (13.34%)	Mortgage on Investment Property #2, Lexington, KY (Pt. VII, line 19)	O
3.	Old National Bank – Investment Property #3 (15%)	Mortgage on Investment Property #3, Lexington, KY (Pt. VII, line 20)	M
4.	Field & Main Bank & Trust – Investment Property #4 (15%)	Mortgage on Investment Property #4, Jeffersonville, IN (Pt. VII, line 21)	O
5.	Sterling Bank – Investment Property #5 (50%)	Mortgage on Investment Property #5, Oakland, CA (Pt. VII, line 22)	L

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Boom, Clarla H.

Date of Report

06/12/2017

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. Vanguard Equity Income ADM	D	Dividend	M	T					
2. Met West Total Return Bond Plan	D	Dividend	M	T					
3. Fidelity Diversified International	B	Dividend	M	T					
4. Mid-Cap Growth Fund - RPMGX	B	Dividend	L	T					
5. Vanguard Institutional Index	A	Dividend	L	T					
6. Amer Beac Small Cap Val Inst.	A	Dividend	J	T					
7. Schwab Govt Money Fund	A	Interest	K	T					
8. Harding Loevner Inst. Emerging Markets	A	Dividend	J	T					
9. Schwab International Index Fund	A	Dividend	K	T					
10. Schwab S&P 500 Index Fund	C	Dividend	M	T					
11. Versus Capital Multi-Manager RE Fund Inst	A	Dividend	J	T					
12. JPMorgan US Small Company Fund Inst	A	Dividend	K	T					
13. American Funds Growth Fund of America-529		None	M	T					
14. Wilmore, KY undeveloped land #1		None	L	W					
15. Wilmore, KY undeveloped land #2		None	K	W					
16. Central Bank & Trust Co. (Cash Account)		None	M	T					
17. Branch Banking and Trust Co. (Savings/ Cash Account)	A	Interest	J	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

3. Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

R = Cost (Real Estate Only)
V = Other

S = Assessment
W = Estimated

T = Cash Market

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Boom, Claria H.

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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)
18. Investment Property #1 Lexington, KY		None	N	W					
19. Investment Property #2 Lexington, KY		None	P1	W					
20. Investment Property #3 Lexington, KY		None	M	W					
21. Investment Property #4 Jeffersonville, IN	D	Distribution	O	W					
22. Investment Property #5 Oakland, CA		None	L	W					
23. Investment Property #6 Roseville, CA		None	N	W					
24. Investment Property #7 Roseville, CA		None	M	W					
25. Investment Property #8 El Macero, CA		None	N	W					
26. Investment Property #9 Cookeville, TN	D	Distribution	L	W					
27. Investment Property #10 San Antonio, TX	E	Distribution	M	W					
28. Investment Property #11 Pasco, WA	E	Distribution	M	W					
29. Investment Property #12 Collierville, TN	E	Distribution	M	W					
30. Investment Property #13 Sioux Falls, SD	D	Distribution	M	W					
31. Investment Property #14 Fond Du Lac, Wis.	D	Distribution	M	W					
32. Investment Property #15 Ashville, NC	E	Distribution	N	W					
33. Investment Property #16 Grass Valley, CA	D	Distribution	L	W					
34. Investment Property #17 RE Fund - Stockton, CA	E	Distribution	M	W					

1. Income Gain Codes:
(See Columns B1 and D4)

2. Value Codes
(See Columns C1 and D3)

3. Value Method Codes
(See Column C2)

A = \$1,000 or less
F = \$50,001 - \$100,000
J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000
Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000
R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000
T = Cash Market

E = \$15,001 - \$50,000

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Boom, Claria H.

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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)
35. Investment Property #18 RE Fund - Waco, TX	C	Distribution	K	W					
36. Investment Property #19 RE Fund - Sacramento, CA		None	N	W					
37. Investment Property #20 Hilton Head, SC		None	L	W					
38. Investment Property #21 Lima, Ohio	E	Distribution	N	W					
39. Investment Property #22 South Bend, IN		None	L	W					
40. Investment Property #24 South Bend, IN		None	J	W					
41. Investment Property #25 Marysville, CA	C	Distribution	N	W					
42. Non-Real Estate Investment #1 - Brett Construction Co. (15%)	E	Distribution	K	U					
43. Non-Real Estate Investment #2 - Pauly Concrete, LLC (12.5%)		None	K	U					
44. Non-Real Estate Investment #3 - Apostles GP		None	M	U					
45. Non-Real Estate Investment #4 - Apostles GP #2		None	L	U					
46. Non-Real Estate Investment #5 - Aztec Mustang, LLC		None	J	U					
47. Non-Real Estate Investment #6 - Pinewoods Restaurant Group	E	Distribution	N	U					
48. Unlisted Securities - Central Valley Bancorp Stock		None	L	T					
49. AT&T stock	A	Dividend	K	T					
50. Abbvie Inc. stock	B	Dividend	L	T					
51. Adobe Systems Inc. stock	A	Dividend	K	T					

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

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

3. Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000
R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000
T = Cash Market

E = \$15,001 - \$50,000

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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)
52. Affiliated Managers stock	A	Dividend	K	T					
53. Agrium Inc. stock	A	Dividend	J	T					
54. AllState stock	A	Dividend	K	T					
55. Google Alphabet Stock	A	Dividend	L	T					
56. Altria Group Inc. stock	B	Dividend	L	T					
57. Ameren Corp. stock	A	Dividend	K	T					
58. Ameriprise Financial stock	A	Dividend	K	T					
59. Amerisource Bergen Corp. stock	A	Dividend	K	T					
60. Amgen Incorporated stock	A	Dividend	K	T					
61. Analog Devices Inc.	A	Dividend	J	T					
62. Apple Inc. stock	B	Dividend	M	T					
63. Avery Dennison Corp stock	A	Dividend	K	T					
64. BAE Systems PLC stock	A	Dividend	J	T					
65. Bank of Nova Scotia stock	A	Dividend	K	T					
66. BB&T Corporation stock	A	Dividend	K	T					
67. BCE Inc. stock	A	Dividend	J	T					
68. Berkshire Hathaway stock		None	K	T					

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

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

3. Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000

M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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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)	(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)
69. BHP Billiton LTD stock	A	Dividend	J	T					
70. Biogen Inc. stock	A	Dividend	K	T					
71. Blackrock Inc. stock	A	Dividend	K	T					
72. Boeing Co, stock	A	Dividend	K	T					
73. Bristol Meyers Squibb stock	A	Dividend	J	T					
74. Broadcom LTD stock	A	Dividend	J	T					
75. CLP Holdings stock	A	Dividend	J	T					
76. CMS Energy Corp. stock	A	Dividend	K	T					
77. Canadian National Railway stock	A	Dividend	J	T					
78. Cardinal Health Inc. stock	A	Dividend	K	T					
79. Cadence Design Sys. stock	A	Dividend	J	T					
80. Centennial Resource stock	A	Dividend	K	T					
81. Centerpoint Energy stock	A	Dividend	K	T					
82. Central Valley Community Bank stock	A	Dividend	K	T					
83. Check Point Software stock	A	Dividend	J	T					
84. Chevron Corporation stock	A	Dividend	L	T					
85. Chubb Ltd. Stock	A	Dividend	J	T					

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

I12 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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Boom, Claria H.

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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)
86. Cisco Systems, Inc. stock	A	Dividend	L	T					
87. Citigroup, Inc. stock	A	Dividend	K	T					
88. Comcast Corp. stock	A	Dividend	K	T					
89. Danske Bank stock	A	Dividend	J	T					
90. Diageo PLC stock	A	Dividend	J	T					
91. Discover Financial stock	A	Dividend	K	T					
92. Dow Chemical Co. stock	A	Dividend	J	T					
93. Du Pont stock	A	Dividend	K	T					
94. Eaton Corp. stock		None	K	T					
95. Edison International stock	A	Dividend	K	T					
96. Entergy Corp. stock	A	Dividend	K	T					
97. Fedex Corp. stock	A	Dividend	L	T					
98. East West Bancorp stock	A	Dividend	J	T					
99. Facebook Inc. stock	A	Dividend	J	T					
100. Fifth Third Bancorp stock	A	Dividend	K	T					
101. Fresenius Medical Care Inc. stock	A	Dividend	J	T					
102. General Dynamics stock	A	Dividend	K	T					

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000
J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000

2. Value Codes
(See Columns C1 and D3)

Q = Appraisal
U = Book Value

3. Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000
R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000
T = Cash Market

E = \$15,001 - \$50,000

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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)	(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)
103. General Electric stock	B	Dividend	L	T					
104. Hasbro Inc.	A	Dividend	K	T					
105. Home Depot Inc. stock	A	Dividend	K	T					
106. Honeywell Intl Inc. stock	A	Dividend	L	T					
107. Humana Inc. stock	A	Dividend	K	T					
108. Huntington Bancshares, Inc. stock	B	Dividend	K	T					
109. IBM Corp. stock	A	Dividend	K	T					
110. Intel Corp. stock	A	Dividend	K	T					
111. ITAU Unibank Holdings stock	A	Dividend	J	T					
112. Ingersoll Rand stock	A	Dividend	J	T					
113. Johnson & Johnson stock	A	Dividend	K	T					
114. JPMorgan Chase stock	B	Dividend	L	T					
115. Kimberly-Clark Corp. stock	B	Dividend	K	T					
116. KT Corporation	A	Dividend	J	T					
117. Marathon Petroleum stock	A	Dividend	K	T					
118. Mastercard Inc. stock	A	Dividend	K	T					
119. McDonalds Corp. stock	A	Dividend	J	T					

1. Income Gain Codes:
(See Columns B1 and D4)

2. Value Codes
(See Columns C1 and D3)

3. Value Method Codes
(See Column C2)

A = \$1,000 or less
F = \$50,001 - \$100,000
J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000

Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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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)	(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)
120. Masco Corp. stock	A	Dividend	J	T					
121. Merck & Co. stock	A	Dividend	K	T					
122. Metlife Inc. stock	A	Dividend	K	T					
123. Microsoft Corp. stock	B	Dividend	L	T					
124. Mohawk Industries stock	A	Dividend	K	T					
125. MS&AD Ins. Group stock	A	Dividend	J	T					
126. Mondelez International stock	A	Dividend	K	T					
127. Newell Brands Inc. stock	A	Dividend	J	T					
128. Noble Energy Inc.	A	Dividend	J	T					
129. Nike Inc.	A	Dividend	K	T					
130. Nippon Teleg stock	A	Dividend	J	T					
131. Noble Energy stock	A	Dividend	J	T					
132. NXP Semiconductors stock	A	Dividend	J	T					
133. OGE Energy Holdings stock	A	Dividend	J	T					
134. Occidental Petroleum stock	C	Dividend	L	T					
135. Orix Corporation stock	A	Dividend	J	T					
136. Pacific Continental stock	B	Dividend	L	T					

1. Income Gain Codes:
(See Columns B1 and D4)
2. Value Codes
(See Columns C1 and D3)
3. Value Method Codes
(See Column C2)

A = \$1,000 or less
F = \$50,001 - \$100,000
J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000
Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000
R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000
T = Cash Market

E = \$15,001 - \$50,000

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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)
137. Pepsico Incorporated stock	A	Dividend	K	T					
138. Phillip Morris International stock	A	Dividend	K	T					
139. Phillips 66 Inc. stock	A	Dividend	J	T					
140. Precision Drilling stock	A	Dividend	J	T					
141. Principal Financial stock	A	Dividend	K	T					
142. Roche Holding stock	A	Dividend	J	T					
143. Raytheon Company stock	A	Dividend	J	T					
144. RPM International	A	Dividend	J	T					
145. SAP Sponsored stock	A	Dividend	J	T					
146. Schulmberger LTD stock	A	Dividend	K	T					
147. Schneider Electric stock	A	Dividend	J	T					
148. Siemens stock	A	Dividend	J	T					
149. Six Flags stock	B	Dividend	K	T					
150. Societe Genereal stock	A	Dividend	J	T					
151. Sony Corporation stock	A	Dividend	J	T					
152. Stryker Corp. stock	A	Dividend	K	T					
153. Sumitomo Mitsu Financial stock	A	Dividend	J	T					

1. Income Gain Codes:
(See Columns B1 and D4)

2. Value Codes
(See Columns C1 and D3)

3. Value Method Codes
(See Column C2)

A = \$1,000 or less
F = \$50,001 - \$100,000
J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000
Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000
R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000
T = Cash Market

E = \$15,001 - \$50,000

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Boom, Claria H.

Date of Report

06/12/2017

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)	(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)
154. Suncor Enrgy stock	A	Dividend	J	T					
155. Suntrust Banks stock	A	Dividend	J	T					
156. Superior Energy stock	A	Dividend	K	T					
157. Texas Instruments stock	A	Dividend	K	T					
158. Thermo Fisher stock	A	Dividend	K	T					
159. Time Warner Inc stock	A	Dividend	L	T					
160. Toronto Dominion Bank stock	A	Dividend	J	T					
161. Travelers Companies stock	A	Dividend	K	T					
162. Tyson Foods Inc. stock	A	Dividend	K	T					
163. TJX Companies stock	A	Dividend	J	T					
164. United Technologies stock	A	Dividend	K	T					
165. United Health Group stock	A	Dividend	K	T					
166. United Parcel Service stock	A	Dividend	J	T					
167. Verizon Communications stock	A	Dividend	K	T					
168. Visa Inc. stock	A	Dividend	K	T					
169. Waste Management Inc. stock	A	Dividend	K	T					
170. Wells Fargo Bank stock	A	Dividend	K	T					

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000
J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000
Q = Appraisal
U = Book Value

2. Value Codes
(See Columns C1 and D3)

R = Cost (Real Estate Only)
V = Other

3. Value Method Codes
(See Column C2)

S = Assessment
W = Estimated

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

E = \$15,001 - \$50,000

T = Cash Market

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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)
171. XLE -- Energy Select Sector		None	K	T					
172. EZU -- Ishares MSCI Eurozone ETF		None	K	T					
173. EPP -- Ishares MSCI Pacific	A	Dividend	K	T					
174. EWU -- Ishares MSCI UTD Kingdom		None	K	T					
175. XLK -- Technology Select Sector		None	K	T					
176. VEA -- Vanguard FTSE Developed	A	Dividend	K	T					
177. VWO -- Vanguard FTSE Emerging	A	Dividend	K	T					
178. DXJ -- Wisdomtree Japan	A	None	J	T					
179. HLMEX -- Harding Loevner Inst.	A	Dividend	K	T					
180. JUSSX -- JPMorgan US Small Co	A	Dividend	M	T					
181. SWISX -- Schwab International Index Fund	A	Dividend	M	T					
182. SWPPX -- Schwab S&P 500 Index	B	Dividend	L	T					
183. CA ST Dept. WTR R 4.25% 23 Util WTR Due 12/01/23	B	Interest	K	T					
184. CA St PUB Wks BD LS 5% 18 EDUC PUB Due 06/01/18 XTRO National PUB Fin	A	Interest	K	T					
185. CA STWD CMNTY WSTWT 4% 22 UTIL COMB Due 10/01/22 Assured Guaranty	B	Interest	K	T					
186. California EDL FACS 4% 24 EDUC Univ Due 10/01/24	A	Interest	K	T					
187. California State UN 4% 21 EDUC PUB Due 10/01/21	B	Interest	K	T					

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

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

3. Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000
T = Cash Market

E = \$15,001 - \$50,000

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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)
188. CHTR Oak CA USD 5% 20 SCH IMPT Due 08/01/20 Assured Guaranty	A	Interest	K	T					
189. El Centro CA FA 4% 19 UTIL WTR Due 10/01/19 XTRO Assured Guaranty	A	Interest	K	T					
190. Garden Grove Calif 4% 18 BLDG Muni Due 03/01/18 XTRO Build America Mut	A	Interest	K	T					
191. Hacienda ETC CA USD 5% 19 SCH IMPT Due 08/01/19 Assured Guaranty	A	Interest	K	T					
192. Hanford CA ELEM S 4.5% 19 SCH IMPT Due 09/01/19	B	Interest	K	T					
193. Hermosa Beach City 5% 25 IMPT Due 08/01/25	B	Interest	K	T					
194. Houston TX CCLG SYS 5% 20 EDUC COLL Due 04/5/20	B	Interest	K	T					
195. Lincoln CA PFA LSE 4% 22 BLDG Leas Due 10/01/22 XTRO	B	Interest	K	T					
196. Los Angeles CA USD 5% 18 GO UTX Due 07/01/18 Assured Guaranty	B	Interest	K	T					
197. Moreland CA SD 4% 21 SCH IMPT Due 08/01/21	B	Interest	K	T					
198. Oxnard CA UHSD 4% 23 SCH BLDG Due 08/01/23	B	Interest	K	T					
199. Palomar CA CCD 5% 22 GO UTX Due 05/01/22 Assured Guaranty	A	Interest	K	T					
200. Pasadena CA WTR 3.5% 17 UTIL Due 06/01/17	B	Interest	K	T					
201. San Diego CA USD 4% 25 SCH FINL Due 07/01/25	B	Interest	K	T					
202. San Fran CA CY/CN S 5% 20 SCH IMPT Due 06/15/20	B	Interest	K	T					
203. Santa Clarita CA CC 4% 24 SCH IMPT Due 08/01/24	B	Interest	K	T					
204. Santa Cruz CA CFD S 3% 17 Tax SPL Due 8/15/17 XTRO	A	Interest	K	T					

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H11 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H12 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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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)
205. Santa Cruz CA HSD 4% 26 SCH IMPT Due 08/01/26	B	Interest	K	T					
206. Sunnyvale CA WW 5% 18 UTIL SWR Due 04/01/18	B	Interest	K	T					
207. Taft CA City SD 4% 21 SCH IMPT Due 08/01/21 Assured Guaranty	B	Interest	K	T					
208. Victor VY CA CC 5.375% 29 EDUC COLL Due 08/01/29	B	Interest	K	T					
209. American Funds Growth Fnd	B	Dividend	K	T					
210. Vanguard Small-Cap Index Fund Adm	A	Dividend	J	T					
211. Victory Munder Md-Cp Core Grw Fd R6	A	Dividend	K	T					
212. American Funds EuroPacific R6	A	Dividend	K	T					
213. American Balanced Funds - 529C		None	L	T					
214. Gabelli Capital Asset Fund	A	Dividend	K	T					
215. Gabelli Capital Asset Fund	A	Dividend	K	T					
216. Victory RS International VIP series	A	Dividend	J	T					
217. Victory Sophus Emerging Markets VIP Series	A	Dividend	J	T					
218. Victory Incore Investment Quality	A	Dividend	J	T					
219. Gabelli Capital Asset Fund	A	Dividend	J	T					
220. Invesco VI Core Equity SRS I	A	Dividend	J	T					
221. RS Inv. Quality Bond VIP Series	A	Dividend	J	T					

1. Income Gain Codes:
(See Columns B1 and D4)

2. Value Codes
(See Columns C1 and D3)

3. Value Method Codes
(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

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/ Claria H. Boom

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 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544

FINANCIAL STATEMENT

NET WORTH

Provide a complete, current financial net worth statement which itemizes in detail all assets (including bank accounts, real estate, securities, trusts, investments, and other financial holdings) all liabilities (including debts, mortgages, loans, and other financial obligations) of yourself, your spouse, and other immediate members of your household.

ASSETS				LIABILITIES			
Cash on hand and in banks #1		63	753	Notes payable to banks-secured (auto)			
Cash - Other #2		8	196				
Cash - Other #3		46	343				
Cash - Other #4		275	000				
U.S. Government securities				Notes payable to banks-unsecured			
Listed securities - see schedule	5	897	762	Notes payable to relatives			
Unlisted securities		55	000	Notes payable to others			
Accounts and notes receivable:				Accounts and bills due			
Due from relatives and friends				Unpaid income tax			
Due from others - (deferred comp)		70	000	Other unpaid income and interest			
Doubtful				Real estate mortgages payable - see schedule	2	966	455
Real estate owned - see schedule	9	578	407	Chattel mortgages and other liens payable			
Real estate mortgages receivable				Other debts-itemize:			
Autos and other personal property		125	000				
Personal Property - other		375	000				
Cash value-life insurance		173	050				
Other assets itemize:							
Capital account FBT		61	032				
Investment #1 - Business ownership #1		350	000				
Investment #2 - Business ownership #2		16	250	Total liabilities	2	966	455
Investment #3 - General Partnership #1		147	200	Net Worth	14	677	730
Investment #4 - General Partnership #2		61	192				
Investment #5 Business ownership #3		5	000				

Investment #6 – Business Ownership #4		336	000				
Total Assets	17	644	185	Total liabilities and net worth	17	644	185
CONTINGENT LIABILITIES				GENERAL INFORMATION			
As endorser, comaker or guarantor				Are any assets pledged? (Add schedule)	No		
On leases or contracts				Are you defendant in any suits or legal actions?	No		
Legal Claims				Have you ever taken bankruptcy?	No		
Provision for Federal Income Tax							
Other special debt							

FINANCIAL STATEMENT

NET WORTH SCHEDULES

Listed Securities

Vanguard Equity Income ADM	\$ 214,013
Met West Total Return Bond Plan	196,687
Fidelity Diversified International	121,177
Mid-Cap Growth Fund	60,290
Vanguard Institutional Index	52,173
Amer Beac Small Cap Val Inst.	10,908
Schwab Govt Money Fund	46,343
Harding Loevner Inst. Emerging Markets	12,693
Schwab International Index Fund	41,306
Schwab S&P 500 Index Fund	199,749
Versus Capital Multi-Manager RE Fund Inst	10,546
JPMorgan US Small Company Fund Inst	18,062
American Funds Growth Fund of America-529	143,268
AT&T Inc. stock	15,018
Abbvie Inc. stock	53,086
Adobe Systems Inc. stock	24,741
Affiliated Managers stock	17,688
Agrium Inc. stock	5,626
Allstate Corp. stock	39,743
Google Alphabet Inc. stock	81,194
Altria Group, Inc. stock	58,058
Ameren Corp. stock	22,898
Ameriprise Financial stock	43,962
Amerisource Bergen Corp. stock	21,466
Amgen Incorporated stock	43,294
Analog Devices Inc.	13,601
Apple Inc. stock	124,705
Avery Dennison Corp stock	19,089
BAE Systems PLC stock	11,273
Bank of Nova Scotia stock	30,867
BB&T Corporation stock	28,001
BCE Inc. stock	6,759
Berkshire Hathaway stock	48,188
BHP Billiton LTD stock	5,915
Biogen Inc. stock	22,841
Blackrock Inc. stock	17,370
Boeing Co, stock	25,932
Bristol Meyers Squibb stock	28,846
Broadcom LTD stock	8,730
CLP Holdings stock	7,647
CMS Energy Corp. stock	15,732

Canadian National Railway stock	5,871
Cardinal Health Inc. stock	45,292
Cadence Design Sys. stock	5,924
Centennial Resource stock	36,118
Centerpoint Energy stock	34,317
Central Valley Community Bank stock	47,275
Check Point Software stock	8,252
Chevron Corporation stock	98,994
Chubb Ltd. Stock	6,873
Cisco Systems, Inc. stock	95,089
Citigroup, Inc. stock	24,366
Comcast Corp. stock	40,306
Danske Bank stock	8,256
Diageo PLC stock	11,400
Discover Financial stock	45,497
Dow Chemical Co. stock	13,269
Du Pont stock	18,411
Eaton Corp. stock	23,862
Edison International stock	28,890
Entergy Corp. stock	20,506
Fedex Corp. stock	65,542
East West Bancorp stock	8,782
Facebook Inc. stock	5,631
Fifth Third Bancorp stock	20,008
Fresenius Medical Care Inc. stock	7,077
General Dynamics stock	18,803
General Electric stock	51,282
Hasbro Inc.	23,937
Home Depot Inc. stock	45,610
Honeywell Intl Inc. stock	66,484
Humana Inc. stock	40,042
Huntington Bancshares, Inc. stock	49,331
IBM Corp. stock	17,214
Intel Corp. stock	22,698
ITAU Unibank Holdings stock	6,622
Ingersoll Rand stock	10,740
Johnson & Johnson stock	21,236
JPMorgan Chase stock	53,431
Kimberly-Clark Corp. stock	32,832
KT Corporation	9,034
Marathon Petroleum stock	22,509
Mastercard Inc. stock	22,448
McDonalds Corp. stock	10,396
Masco Corp. stock	4,355
Merck & Co. stock	27,883
Metlife Inc. stock	39,771

Microsoft Corp. stock	96,549
Mohawk Industries stock	20,551
MS&AD Ins. Group stock	8,864
Mondelez International stock	8,836
Newell Brands Inc. stock	18,488
Noble Energy Inc.	6,224
Nike Inc.	22,044
Nippon Teleg stock	10,126
Noble Energy stock	10,719
NXP Semiconductors stock	9,409
OGE Energy Holdings stock	5,569
Occidental Petroleum stock	66,768
Orix Corporation stock	3,777
Pacific Continental stock	59,500
Pepsico Incorporated stock	47,991
Phillip Morris International stock	29,536
Phillips 66 Inc. stock	7,715
Precision Drilling stock	5,700
Principal Financial stock	31,910
Roche Holding stock	5,107
Raytheon Company stock	6,883
RPM International	4,705
SAP Sponsored stock	5,581
Schulmberger LTD stock	23,499
Schneider Electric stock	7,345
Siemens stock	8,157
Six Flags stock	22,436
Societe Genereal stock	7,296
Sony Corporation stock	7,057
Stryker Corp. stock	26,167
Sumitomo Mitsu Financial stock	9,799
Suncor Enrgy stock	8,984
Suntrust Banks stock	12,730
Superior Energy stock	16,127
Texas Instruments stock	39,459
Thermo Fisher stock	21,434
Time Warner Inc stock	50,214
Toronto Dominion Bank stock	8,888
Travelers Companies stock	39,649
Tyson Foods Inc. stock	20,512
TJX Companies stock	9,130
United Technologies stock	16,948
United Health Group stock	44,507
United Parcel Service stock	8,399
Verizon Communications stock	27,249
Visa Inc. stock	39,932

Waste Management Inc. stock	16,837
Wells Fargo Bank stock	30,709
XLE – Energy Select Sector	37,994
EZU – Ishares MSCI Eurozone ETF	19,068
EPP – Ishares MSCI Pacific	19,975
EWU – Ishares MSCI UTD Kingdon	22,610
XLK – Technology Select Sector	30,774
VEA – Vanguard FTSE Developed	17,164
VWO – Vanguard FTSE Emerging	38,770
DXJ – Wisdomtree Japan	9,444
HLMEX – Harding Loevner Inst.	48,992
JUSSX – JPMorgan US Small Co	182,128
SWISX – Schwab International Index Fund	103,375
SWPPX – Schwab S&P 500 Index	94,723
CA ST Dept. WTR R 4.25% 23 Util WTR Due 12/01/23	25,946
CA St PUB Wks BD LS 5% 18 EDUC PUB Due 06/01/18	15,706
XTRO National PUB Fin	
CA STWD CMNTY WSTWT 4% 22 UTIL COMB Due 10/01/22 Assured Guaranty	33,348
California EDL FACS 4% 24 EDUC Univ Due 10/01/24	33,226
California State UN 4% 21 EDUC PUB Due 10/01/21	27,872
CHTR Oak CA USD 5% 20 SCH IMPT Due 08/01/20 Assured Guaranty	33,478
El Centro CA FA 4% 19 UTIL WTR Due `10/01/19 XTRO Assured Guaranty	16,009
Garden Grove Calif 4% 18 BLDG Muni Due 03/01/18 XTRO Build America Mutual	20,546
Hacienda ETC CA USD 5% 19 SCH IMPT Due 08/01/19 Assured Guaranty	27,159
Hanford CA ELEM S 4.5% 19 SCH IMPT Due 09/01/19	26,707
Hermosa Beach City 5% 25 IMPT Due 08/01/25	30,615
Houston TX CCLG SYS 5% 20 EDUC COLL Due 04/5/20	27,649
Lincoln CA PFA LSE 4% 22 BLDG Leas Due 10/01/22 XTRO	33,204
Los Angeles CA USD 5% 18 GO UTX Due 07/01/18 Assured Guaranty	25,243
Moreland CA SD 4% 21 SCH IMPT Due 08/01/21	27,475
Oxnard CA UHSD 4% 23 SCH BLDG Due 08/01/23	27,806
Palomar CA CCD 5% 22 GO UTX Due 05/01/22 Assured Guaranty	25,071
Pasadena CA WTR 3.5% 17 UTIL Due 06/01/17	25,098
San Diego CA USD 4% 25 SCH FINL Due 07/01/25	28,757
San Fran CA CY/CN S 5% 20 SCH IMPT Due 06/15/20	28,001
Santa Clarita CA CC 4% 24 SCH IMPT Due 08/01/24	27,669
Santa Cruz CA CFD S 3% 17 Tax SPL Due 8/15/17 XTRO	25,178
Santa Cruz CA HSD 4% 26 SCH IMPT Due 08/01/26	27,505
Sunnyvale CA WW 5% 18 UTIL SWR Due 04/01/18	20,809

Taft CA City SD 4% 21 SCH IMPT Due 08/01/21 Assured Guaranty	27,421
Victor VY CA CC 5.375% 29 EDUC COLL Due 08/01/29	25,517
1724 American Funds Growth Fnd	42,386
0757 Vanguard Small-Cap Index Fund Adm	10,375
3615 Victory Munder Md-Cp Core Grw Fd R6	15,618
1723 American Funds EuroPacific R6	37,477
American Balanced Funds – 529C	80,005
Gabelli Capital Asset Fund	18,796
Invesco VI Core Equity SRS II	15,754
Victory RS International VIP series	12,807
Victory Sophus Emerging Markets VIP Series	13,885
Victory Incore Investment Quality	9,660
Raymond James/Central Bank Annuities	15,000
Total Listed Securities	<u>\$5,897,762.00</u>

Real Estate Owned

Personal Residence	\$2,395,000
Undeveloped land #1	75,000
Undeveloped land #2	37,500
Real Estate Investment #1 (15%)	390,000
Real Estate Investment #2 (13.34%)	1,067,200
Real Estate Investment #3 (15%)	132,750
Real Estate Investment #4 (15%)	819,000
Real Estate Investment #5 (50%)	80,000
Real Estate Investment #6 (3%)	258,190
Vacation Home (minority interest)	150,000
Real Estate Investment #7 (25%)	375,215
Real Estate Investment #8 (19.72%)	450,000
Real Estate Investment #9 (12.5%)	100,000
Real Estate Investment #10 (5.14%)	200,000
Real Estate Investment #11 (16.43%)	200,000
Real Estate Investment #12 (12.6%)	163,857
Real Estate Investment #13 (8.84%)	105,113
Real Estate Investment #14 (6.93%)	125,000
Real Estate Investment #15 (15.62%)	500,000
Real Estate Investment #16 (4.23%)	100,000
Real Estate Investment #17	200,000
Real Estate Investment #18 (25%)	50,000
Real Estate Investment #19 (2.59%)	500,000
Real Estate Investment #20 (3.3%)	100,000
Real Estate Investment #21 (16.6%)	420,375
Real Estate Investment #22 (3.23%)	100,000
Real Estate Investment #23 (50%)	29,207
Real Estate Investment #24	15,000

Real Estate Investment #25	440,000
Total Real Estate Owned	<u>\$9,578,407.00</u>

<u>Real Estate Mortgages Payable</u>	
Personal Residence	\$1,127,000
Republic Bank & Trust – Real Estate Investment #1 (15%)	272,425
PBI Bank – Real Estate Investment #2 (13.34%)	746,420
Old National Bank – Real Estate Investment #3 (15%)	103,500
Field & Main Bank & Trust – Real Estate Investment #4 (15%)	630,610
Sterling Bank – Real Estate Investment #5 (50%)	86,500
Total Real Estate Mortgages Payable	<u>\$2,966,455.00</u>

AFFIDAVIT

I, Claria Horn Boom, do swear
that the information provided in this statement is, to the best
of my knowledge, true and accurate.

July 10, 2017 Claria Horn Boom
(DATE) (NAME)

Laura Watson Scott (Jules)
(NOTARY)

My commission expires: 11/11/2020
Notary ID #566712