



3. Names and addresses of all businesses, investments, or securities in which the filer, filer's spouse, or filer's minor children had at any time during the reporting year an interest of \$10,000 at fair market value, or 5% ownership interest or more:

See attached sheet

4. Sources and form of gross income of the filer (list sources by name):

See attached sheet

5. Sources and form of gross income of the filer's spouse (list sources by name):

N/A

6. Positions of a fiduciary nature held by the filer in a business:

N/A

7. A designation as commercial, residential, or rural, and the location of all real property other than the filer's primary residence, in which there is an interest of \$10,000 or more held by the filer, filer's spouse, or filer's minor children:

68 Shawnee Run, Rogers, KY 41365 (rural, unimproved land)

8. Sources of gifts of money or property with a retail value of more than \$200 to the filer or the filer's immediate family, except those from a member of the filer's family. (Family means spouse, parent, sibling, child, mother-in-law, father-in-law, son-in-law, daughter-in-law, grandparent, or grandchild, or dependent member of the filer's household. Immediate family means unemancipated child residing in an individual's household, spouse, or a person claimed by the filer as a dependent for tax purposes.):

N/A

9. The name of any creditor owed more than \$10,000 except debts arising from the purchase of consumer goods. (Goods used or bought for use primarily for personal, family, or household purposes):

N/A

10. The name of any legislative agent who is:

- (a) A member of the filer's immediate family;
- (b) A partner of the filer, or a partner of a member of the filer's immediate family;
- (c) An officer or director of the filer's employer;
- (d) An employer of the filer or an employer of a member of the filer's immediate family;
- (e) A business associate of the filer or a business associate of a member of the filer's immediate family

N/A

11. The names of any of the filer's clients who are legislative agents or employers:

N/A

12. If you have held a professional license during the filing period, has a properly licensed partner of yours engaged in the practice of cases or other matters which you are prohibited from practicing under KRS 6.744?  Yes  No  Not Applicable

13. If yes, list the names of the clients represented and list the agencies before which the partner made an appearance. The filer need not identify which client was represented before a specific agency.

Clients

State Agency

NOTICES

1. Upon receipt by the Commission, a statement of financial disclosure shall be a public record available for copying.
2. Any person who fails to file a statement of financial disclosure or who fails to remedy a deficiency identified by the Commission in a timely manner may be fined an amount not to exceed \$100 per day up to a maximum total fine of \$1000.
3. Any person who files a statement of financial interests which they know to contain false information, or to omit required information, shall be guilty of a class A misdemeanor.

2/10/24  
Date

  
Filer

Send completed statements to:

The Kentucky Legislative Ethics Commission  
22 Mill Creek Park  
Frankfort, Kentucky 40601

If you have questions please call us at (502) 573-2863.

**Answer to Question 3:**

Blackridge Stables: 301 E. Main St., Ste. 700, Lexington, KY 40507

The following assets are retirement plans held through the University of Louisville. Further information available upon request of the Commission

- University of Louisville 403(b) Retirement Plan through Fidelity Investments
- University of Louisville 457(b) Retirement Plan through Fidelity Investments

The following assets are marketable securities held in investment accounts at UBS Financial Services, through the Louisville, KY branch office. Further information available upon request of the Commission.

- UBS Select 100% Us Treasury Preferred Fund
- Ishares Trust Ishares ESG Aware Msci Usa ETF
- Nuveen ESG Large Cap Growth ETF
- SPDR S&P 500 Fossil Fuel Reserves Free ETF
- Vanguard ESG U.S. Stock ETF
- Vanguard Information Technology ETF
- Ishares U.S. Healthcare ETF
- Ishares U.S. Consumer Staples ETF
- Healthcare Select Sector SPDR Fund ETF
- Consumer Staples Select Sector SPDR Fund ETF
- Visa Inc. corporate bond
- U.S. Treasury bond

**Answer to Question 4:**

Salary from University of Louisville Brandeis School of Law

Royalties from Ballantine Books, Random House

Salary from Commonwealth of Kentucky for State Senator

Bond interest paid by:

- Visa Inc. corporate bond

- U.S. Treasury bond

Dividends paid by:

- UBS Select Treasury Preferred money market fund
- Ishares ESG Aware MSCI Usa ETF
- Nuveen ESG Large Cap Growth ETF
- SPDR S&P 500 Fossil Fuel Reserves Free ETF
- Vanguard ESG U.S. Stock ETF
- Vanguard Information Technology ETF
- Ishares U.S. Healthcare ETF
- Ishares U.S. Consumer Staples ETF
- Healthcare Select Sector SPDR Fund ETF
- Consumer Staples Select Sector SPDR Fund ETF