



KENTUCKY LEGISLATIVE ETHICS COMMISSION

STATEMENT OF FINANCIAL DISCLOSURE (KRS 6.787)

To be filed by: All members of the General Assembly, all candidates and nominees for election to the General Assembly, and major management personnel in the legislative branch of state government.

Check here and attach additional sheets if necessary. Number of sheets attached

Please include the following information for the preceding calendar year:

Name: Charles David Yates
Business Address: 111 W Washington Street, Ste 400 Louisville, KY 40214
Business Telephone: (502) 882-5179
Home Address: 8101 Bella Woods Drive, Louisville, KY 40214
Title of Public Position, or office sought: State Senator Elect, District 37
Other occupations of filer: Attorney; Louisville Metro Councilman, District 25
Occupations of spouse: Unemployed

NOTE: The following sections do not require disclosure of specific dollar amounts.

1. Positions held by filer in any business, partnership, corporation for profit, or corporation not for profit from which the filer receives compensation, and the name of the business, partnership, or corporation:

Law Offices of David Yates, PLLC, Owner
C. David Yates LLC, Owner
111 W. Washington LLC, Member
Louisville Metro Councilman, District 25, Member

2. Positions held by filer's spouse in any business, partnership, corporation for profit, or corporation not for profit from which the filer's spouse receives compensation, and the name of the business, partnership, or corporation:

N/A

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:

David Yates is the sole owner of Law Offices of David Yates, PLLC  
111 W Washington Street, Ste 400 Louisville, KY 40202

David Yates is the sole owner of C David Yates LLC  
8101 Bella Woods Drive Louisville, KY 40214

David Yates is a Partner of 111 W. Washington LLC  
111 W Washington Street, Ste 400 Louisville, KY 40202

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

Law Offices of David Yates, PLLC - salary  
C. David Yates LLC  
111. W Washington LLC  
Republic Bank - interest on accounts  
Pershing LLC - dividends

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:

Law Offices of David Yates, PLLC, Owner  
Louisville Metro Councilman, District 25, Member

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:

111 W Washington Street, Louisville KY 40202; 4819 S 5th Street, Louisville KY 40214; 6300 Triplett Drive, Louisville, KY 40258; 209 W Kenton Street, Louisville KY 40214; 5014 Laughlin Avenue, Louisville KY 40214; 2006 Bradley Avenue, Louisville KY 40217

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):

BB&T, residential mortgage

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.

1/22/21  
Date

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.