

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) Schaaf, Gregory R.	2. Court or Organization U.S. Bankruptcy Court, Eastern District of Kentucky	3. Date of Report 04/07/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Court Judge (full time)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address United States Bankruptcy Court PO Box 1111 Lexington, KY 40588-1111		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Member, Board of Director	God's Pantry Food Bank (Lexington, KY)
2.	
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2014	Sayre School, Lexington, KY, College Counselor/teacher, Salary
2. 2014	Lush Cosmetics, NY LLC, Lexington, KY, Sales Clerk, Hourly
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. National Conference of Bankruptcy Judges	10/07-10/10/2014	Chicago, IL	Annual Conference	Two nights in hotel
2.				
3.				
4.				
5.				

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

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*

☒ NONE *(No reportable liabilities.)*

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Republic Bank, Cash Account	A	Int./Div.	J	T					
2. General American Life (whole life)		None	K	T					
3. Retirement Account - No. 1 (risk based)									
4. -ARTIX (investor cl)	A	Dividend	L	T	Buy (add'l)	04/14/14	J		
5. -DODGX (Stock)	B	Dividend	L	T	Sold (part)	02/14/14	J	B	
6. -AEPFX (CL F2)	A	Dividend	L	T					
7. -HAINX (Instl Cl)	B	Dividend	L	T					
8. -OHYFX (Select Cl)	C	Dividend			Sold	11/12/14	K		
9. -SBPYX (Clearbridge Small Cap Growth Cl)		Dividend	K	T	Sold (part)	04/14/14	J	B	
10. -PARSX	A	Dividend	K	T	Sold (part)	04/14/14	J	A	
11. -PELPX (Local Bond CL P)	A	Dividend	J	T	Buy (add'l)	04/14/14	J		
12. PTPPX (CL P)		None			Sold	10/24/14	K		
13.					Buy (add'l)	05/14/14	J		
14. -PFBPX (Bond Hedged Cl P)	A	Dividend	K	T	Buy (add'l)	04/14/14	J		
15. -TRBCX (Blue Chip Growth)		None	L	T	Buy (add'l)	04/14/14	J		
16.					Sold (part)	02/14/14	J	C	
17. -PRSVX (Value)	A	Dividend	K	T	Sold (part)	04/14/14	J	A	

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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18. -HIEMX (Markets Opportunities CL 1)	B	Dividend	M	T	Sold (part)	04/14/14	J		
19.					Buy (add'l)	02/14/14	K		
20. -STDFX (Cap Growth Admin CL)	A	Dividend	L	T	Buy (add'l)	04/14/14	J		
21.					Sold (part)	02/14/14	J	A	
22. -ESIDX (Int'l Bond Admin Cl)	A	Dividend	K	T					
23. -BCOIX	A	Dividend		T	Buy	10/27/14	K		
24. -HWHIX	B	Dividend		T	Buy	11/13/14	K		
25. -(X)Federated Treasury Obligations Fund		None	J	T					
26. Investement Account - No. 1									
27. -ALU	A	Dividend	J	T					
28. -CSCO	A	Dividend	J	T					
29. -KO	A	Dividend	J	T					
30. -(X)Federated Gov Trust to Insured Deposit Program		None	J	T					
31. Retirement Account - No. 2									
32. -TIAA Trad'l		None	K	T					
33. -CREF Stock		None	K	T					
34. -TIAA Real Estate		None	J	T					

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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	
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35. -CREF Int'l Linked Bond		None	J	T					
36. Investment Account - No. 2									
37. -VFIAX	B	Dividend	L	T					
38. -VEXAX	A	Dividend	K	T					
39. -VMMXX	B	Dividend	K	T					
40. -VBTLX	A	Dividend	K	T					
41. -VTIAX		None	L	T					
42. Community Trust Bank	A	Int./Div.	K	T					
43. Investments Account 2									
44. -Oppenheimer Steelpath MLP Income Fund A		None	K	T	Buy	08/05/14	K		
45. (X) Natwest	C	Int./Div.	J	T					

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII, sold items without a gain means there was a loss.

Part VII, line 25. The name is different than last year, but it is the same fund. It is just a holding account when cash is in the retirement account temporarily.

Part VII, line 30. This is like the account in line 27, a temporary cash account.

Part VII, line 45. Non-filer bank account. Filer discovered account still existed preparing 2014 tax return.

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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/ Gregory R. Schaaf**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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