

FINANCIAL DISCLOSURE REPORT
INITIAL FILINGReport 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 01/25/2013
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 01/01/2011 to 12/31/2012
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. Insert signature on last page.		

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, Board of Directors	Lexington (Kentucky) Humane Society
2. Member and Vice President, Board of Directors	God's Pantry Food Bank (Lexington, KY)
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. 2012	Bingham Greenebaum Doll LLP Limited Partnership Agreement (partner; terminated upon employment w/ Court; capital a of termination date repaid Dec 2012)
2. 2011-12	Greenebaum Doll & McDonald Retirement Plan (participant only; all funds withdrawn Nov/Dec 2012; stayed under old firm name)
3. 2011	Greenebaum Doll & McDonald Operating Agreement (member; terminated upon merger with another law firm; became a partnership (see also Part VII)

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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. 2012	Bingham Greenebaum Doll LLP; partnership draws; distributions	\$229,668.50
2. 2011	Greenebaum, Doll & McDonald PLLC; distributions	\$263,641.00
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. 2012	ACS Hillingdon International School, Hillingdon, Middlesex, England, College Counselor, Salary
2. 2012	Sayre School, Lexington, KY, College Counselor/teacher, Salary
3. 2012	Lush Cosmetics, NY LLC, Lexington, KY, Sales Clerk, Hourly
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 (INITIAL REPORT)				
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.	EXEMPT (INITIAL REPORT)		
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.	K	T	Exempt				
2. General American Life (whole life)		None	K	T	Exempt				
3. Bingham Greenebaum Doll (see Part VIII)	G	Distribution			Exempt				
4. Greenebaum Doll & McDonald (see Part VII)	G	Distribution							
5. Old Retirement Account-BMO Retirement Services (no control)									
6. -BMO Prime Money Market		None			Exempt				
7. -Oakmark Equity & income		None			Exempt				
8. -T. Rowe price Growth Stock FD		None			Exempt				
9. -Fidelity Div Int'l		None			Exempt				
10. New Retirement Account - Hilliard Lyons (risk based)									
11. -ARTIX (investor cl)	A	Dividend	K	T	Exempt				
12. -DODGX (Stock)	A	Dividend	L	T	Exempt				
13. -AEPFX (CL F2)	A	Dividend	K	T	Exempt				
14. -HAINX (Instl Cl)	A	Dividend	K	T	Exempt				
15. -OHYFX (Select Cl)	A	Dividend	K	T	Exempt				
16. -SBPYX (Clearbridge Small Cap Growth Cl1)	A	Dividend	K	T	Exempt				
17. -PARSX		None	K	T	Exempt				

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 \$5,000,000	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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	(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. -PELPX (Local Bond CL P)	A	Dividend	K	T	Exempt				
19. PTPPX (CL P)	A	Dividend	J	T	Exempt				
20. -PFBPX (Bond Hedged Cl P)	A	Dividend	K	T	Exempt				
21. -TRBCX (Blue Chip Growth)	A	Dividend	L	T	Exempt				
22. -PRSVX (Value)	A	Dividend	K	T	Exempt				
23. -HIEMX (Markets Opportunities CL 1)	A	Dividend	L	T	Exempt				
24. -STDFX (Cap Growth Admin CL)		None	L	T	Exempt				
25. -ESIDX (Int'l Bond Admin Cl)	A	Dividend	J	T	Exempt				
26. -Federated Auto'd Gov't Money Trust		None	J	T	Exempt				
27. ALU		None	J	T	Exempt				
28. CSCO	A	Dividend	J	T	Exempt				
29. KO	A	Dividend	J	T	Exempt				
30. [REDACTED]									
31. TIAA-CREF (Retirement)									
32. -TIAA Trad'l		None	K	T	Exempt				
33. -CREF Stock		None	K	T	Exempt				
34. -TIAA Real Estate		None	J	T	Exempt				

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35. -CREF Int'l Linked Bond		None	J	T	Exempt				
36. VANGUARD (Investment)									
37. -VFIAX	A	Dividend	L	T	Exempt				
38. -VEXAX	B	Dividend	K	T	Exempt				
39. -VMMXX	B	Dividend	K	T	Exempt				
40. -VBTLX	B	Dividend	K	T	Exempt				
41. -VTIAX	A	Dividend	L	T	Exempt				

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

Personal Information, Item 5(a): I understand this filing also satisfies my annual report obligation as it covers the period through 12/31/2012. If that is not correct, please (a) treat it as my annual report; or (b) let me know what I need to do. Thank you.

Part VII, lines 3 and 4: This is my capital investment in my former law firm. I show on two lines because the firm merged with another firm at the beginning of 2012 and changed from a professional limited liability company (a membership interest) to a partnership. My capital interest ceased effective when I moved to the bench. The capital investment was repaid in early December 2012.

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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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Washington, D.C. 20544