

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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) WISE, TRACEY N.	2. Court or Organization U.S. BANKRUPTCY COURT, EASTERN DISTRICT OF KENTUCKY	3. Date of Report 08/29/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) UNITED STATES BANKRUPTCY JUDGE, ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address 300 COMMUNITY TRUST BUILDING 100 EAST VINE STREET LEXINGTON, KY 40507		
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.		
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

WISE, TRACEY N.

Date of Report

08/29/2013

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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2012

Angelucci Acoustical, Inc. - Construction

2. _____

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED1. Midwest Regional
Bankruptcy Seminar, Inc.

8-16-12

Cincinnati, OH

Speaker

Travel

2. National Conference of
Bankruptcy Judges

Oct. 24-27, 2012

San Diego, CA

2012 Conference

Lodging

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

WISE, TRACEY N.

Date of Report

08/29/2013

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.			
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.	Central Bank & Trust Company	Mortgage Loan - Rental Property	L
2.	Cimarron Mortgage	Mortgage Loan - Rental Property	L
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

WISE, TRACEY N.

Date of Report

08/29/2013

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. Central Bank & Trust Co. (Checking)	A	Interest	J	T					
2. Central Bank & Trust Co. (Money Market)	A	Interest	M	T					
3. Central Bank & Trust Co. (Money Market) (Y)									
4. Central Bank & Trust Co. (Money Market)	B	Interest	N	T					
5. UBS Financial Services (Money Market)	A	Int./Div.	J	T					
6. UBS Financial Services (Traditional IRA fka SEP IRA)	D	Int./Div.	O	T					
7. - Vanguard Sector Index FD Vanguard Consumer Staples ETF					Sold	08/29/12	J		
8. - Ishares Trust Core S&P 500 ETF (fka Ishares Trust S&P)	B	Int./Div.	L	T					
9. - Ishares Inc MSCI Canada Index Fd					Sold	02/29/12	J		
10. - Ishares Trust Russell 2000 Index Fund	A	Int./Div.	K	T					
11. - Ishares Trust Core S&P Mid-Cap ETF (fka Ishares Trust Mi)	A	Int./Div.	L	T					
12. - Ishares MSCI EAFE Index Fund	A	Int./Div.	K	T					
13. - Ishares S&P North American Nat Resources Sector Index Fnd	A	Int./Div.	J	T					
14. - Ishares Trust S&P Latin Amer 40 Index Fund	A	Int./Div.	J	T					
15. - Ishares MSCI EAFE Small Cap Index Fund	A	Int./Div.	J	T					
16. - Vanguard REIT ETF	A	Int./Div.	J	T					
17. - Vanguard MSCI Emerging Markets (fka Intl Equity FD)	A	Int./Div.	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 = \$250,000.01 - \$500,000.00	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

WISE, TRACEY N.

Date of Report

08/29/2013

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. - Vanguard Divid Appreciation ETF	A	Int./Div.	J	T					
19. - Ishares TR Core Total US Bond Mkt ETF (fka Ishares Barcl)	B	Int./Div.	K	T					
20. - Ishares Barclays Tips Bond Fund	A	Int./Div.	K	T					
21. - Ishares Iboxx High Yield Corp Bond	B	Int./Div.	K	T					
22. - Vanguard Short Term Corporate BD ETF	C	Int./Div.	M	T					
23. - Vanguard BD Index Fd Inc Total Bond Mkt ETF	B	Int./Div.	K	T					
24. - Vanguard BD Index Fd Inc Short Term Bond ETF	B	Int./Div.	M	T					
25. - Ishares Gold Trust ETF	A	Int./Div.	J	T					
26. - Vanguard Energy ETF	A	Int./Div.	J	T					
27. - Vanguard High Divid Yield ETF SHS					Sold	10/08/12	J		
28. - Berkshire Hathaway Inc New CL B	A	Int./Div.	J	T	Buy	03/27/12	J		
29. - Ishares Trust Russell 1000 Index	A	Int./Div.	J	T	Buy	11/13/12	J		
30. - Ishares Trust Dow Jones US Fin Svc Index Fund	A	Int./Div.	J	T	Buy	02/29/12	J		
31. - Technology Sector SPDR Trust SHS	A	Int./Div.	J	T	Buy	08/29/12	J		
32. - Vanguard Index FDS S&P 500 ETF Sh					Buy	10/08/12	J		
33.					Sold	11/13/12	J		
34. - Vanguard Index Funds Vanguard Small Cap ETF					Buy	01/19/12	J		

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		

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

WISE, TRACEY N.

Date of Report

08/29/2013

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.					Sold	11/15/12	J		
36. UBS Financial Services Brokerage Account	B	Int./Div.	L	T					
37. - Vanguard Index Funds Vanguard Small CAP ETF	A	Int./Div.	K	T					
38. - Vanguard Index Funds Vanguard Large CAP ETF	A	Int./Div.	K	T					
39. - Vanguard REIT ETF	A	Int./Div.	J	T					
40. - Vanguard INTL Equity Index FD INC FSTE All World-EX-US	A	Int./Div.	J	T					
41. Merrill Lynch - Angelucci Acoustics Inc SEP	A	Int./Div.	K	T					
42. - American AMCAP CL B	A	Int./Div.	J	T					
43. - American Growth Fund of America Cl B	A	Int./Div.	J	T					
44. - American Growth Fund of America Cl A	A	Int./Div.	J	T					
45. - Blackrock Value	A	Int./Div.	J	T					
46. - Blackrock Global	A	Int./Div.	J	T					
47. Sycamore Bay LLC, Lexington, Fayette County, KY (Y)									
48. TD Ameritrade Brokerage Account	A	Dividend			Closed	08/07/12	J		
49. - Apple Inc Common Stock					Sold	08/07/12	J	B	
50. - AT&T Inc Common Stock					Sold	08/07/12	J	A	
51. - Microsoft Corp Common Stock					Sold	08/07/12	J	A	

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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

WISE, TRACEY N.

Date of Report

08/29/2013

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. - Pepsico Inc Common Stock					Sold	08/07/12	J	A	
53. Rental Property, Shelbyville, Shelby County, KY	D	Rent	M	W					
54. Rental Property, Lexington, Fayette County, KY	D	Rent	M	W					
55. Symetra Life Insurnace Company (Annuity)	C	Interest	N	T					
56. BB&T (Savings)	A	Interest	J	T					
57. Poppin Angels LLC		None	J	T	Buy	01/11/12	J		

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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

WISE, TRACEY N.

Date of Report

08/29/2013

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

The assets listed in the 2011 report, Part VII, page 4, lines 7 and 10, and page 6, line 43 wre inadvertently reported as "Sold (part)" but were completely sold in 2011.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

WISE, TRACEY N.

Date of Report

08/29/2013

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/ TRACEY N. WISE**

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