

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 03/14/2014
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 01/01/2013 to 12/31/2013
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.)*

DATE	SOURCE AND TYPE	INCOME (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.)*

DATE	SOURCE AND TYPE
1. 2013	ACS Hillingdon International School, Hillingdon, Middlesex, England, College Counselor, Salary
2. 2013	Sayre School, Lexington, KY, College Counselor/teacher, Salary
3. 2013	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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. National Conference of Bankruptcy Judges	10/29-11/01/2013	Atlanta, Ga	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.)*

<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.		
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. Greenebaum Doll & McDonald PLLC/ Binham Greenebaum Doll	A	Distribution			Distributed	02/12/13	J		
4.									
5.									
6.									
7.									
8.									
9.									
10. New Retirement Account - Hilliard Lyons (risk based)									
11. -ARTIX (investor cl)	A	Dividend	L	T					
12. -DODGX (Stock)	B	Dividend	L	T					
13. -AEPFX (CL F2)	A	Dividend	L	T					
14. -HAINX (Instl Cl)	B	Dividend	L	T					
15. -OHYFX (Select Cl)	C	Dividend	K	T					
16. -SBPYX (Clearbridge Small Cap Growth Cl1)	A	Dividend	K	T					
17. -PARSX	A	Dividend	K	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 ~\$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	

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18. -PELPX (Local Bond CL P)	A	Dividend	J	T					
19. PTPPX (CL P)	A	Dividend	K	T					
20. -PFBPX (Bond Hedged Cl P)	A	Dividend	K	T					
21. -TRBCX (Blue Chip Growth)		None	L	T					
22. -PRSVX (Value)	B	Dividend	K	T					
23. -HIEMX (Markets Opportunities CL 1)	B	Dividend	L	T					
24. -STDFX (Cap Growth Admin CL)	B	Dividend	L	T					
25. -ESIDX (Int'l Bond Admin Cl)	A	Dividend	K	T					
26. -Federated Auto'd Gov't Money Trust		None	J	T					
27. ALU	A	Dividend	J	T					
28. CSCO	A	Dividend	J	T					
29. KO	A	Dividend	J	T					
30. SPOUSE									
31. TIAA-CREF (Retirement)									
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. VANGUARD (Investment)									
37. -VFIAX	A	Dividend	L	T					
38. -VEXAX	B	Dividend	K	T					
39. -VMMXX	B	Dividend	K	T					
40. -VBTLX	B	Dividend	K	T					
41. -VTIAX	A	Dividend	L	T					
42. Community Trust Bank	A	Int./Div.	K	T					

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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. These lines disclosed my captial distribution from my former law firm Greenebaum Doll & McDonald/Bingham Greenebaum Doll (changed from a PLLC to a partnership 1/1/12 based on a merger, resulting in the need to use 2 lines). I received \$709.34 on February 4, 2013, because the firm found it still owed me a small amount from the retirement plan when the final reconciliation was peformed after year end. No additional money is owed.

Part VII, lines 5-9 from prior year: This disclosed the final distribution from my former law firm's retirement plan. Therefore, there is no disclosure this year.

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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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