

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Rucker, Shelley D.	2. Court or Organization U.S. Bankruptcy Court - E.D.Tenn.	3. Date of Report 06/25/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address Historic United States Courthouse 31 E. 11th Street Chattanooga Tennessee 37402		
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. Board Member/Judicial Liaison | Chattanooga Chapter of the Federal Bar Association |
| 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. 2016	Girls Preparatory School- annual salary
2. 4/01/2016	Tribal Casino Gaming Enterprises dba Harrah's, Winnings
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	October 26-28, 2016	San Francisco, CA	Attendance at conference and attendance at newsletter committee meeting	Hotel, Meals and Airfare
2. Mid South Commercial Law Institute	December 1-2, 2016	Nashville, TN	Attendance at conference, Speaker on bankruptcy panel	Waiver of conference fee, Meals, Hotel
3. Tennessee Administrative Office of the Courts	February 23, 2016	Nashville, TN	Continuing education speaker on bankruptcy to Annual Meeting of Sessions Court Judges	Mileage and Lunch
4.				

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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 I (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. Suntrust Bank Accounts	A	Interest	L	T					
2. Regions Bank Account Y		None	J	T					
3. IRA (Header)									
4. - Fidelity Freedom 2010 Fund	B	Dividend	M	T	Buy (add'l)	12/23/16	K		
5. -Fidelity Core money market	A	Int./Div.	N	T	Distributed (part)	12/23/16	L		
6.					Distributed (part)	12/28/16	K		
7.					Distributed (part)	01/14/16	J		
8. -Fidelity Freedom 2030	C	Dividend	M	T	Sold (part)	01/12/16	L	B	
9.					Merged (with line 5)	01/12/16	L		
10.					Buy (add'l)	12/23/16	K		
11. -Fidelity Select Biotechnology		None			Sold	01/12/16	M	E	
12.					Merged (with line 5)	01/12/16	M		
13. - Apple Inc. Common Stock	C	Dividend	M	T					
14. - Walt Disney Co. Common Stock	A	Dividend	K	T	Buy (add'l)	01/14/16	J		
15. - Taser International Stock		None	J	T					
16. -Goldman Sachs Group, Inc.		None	K	T	Buy	12/28/16	K		
17. Northwest Mutual Insurance Co. Whole Life Policy	B	Dividend	L	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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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. Massachusetts Mutual Whole Life Insurance Policy	A	Int./Div.	J	T					
19. Girls Preparatory School 401(a) Plan TIAA CREF (Header)									
20. -TIAA Traditional	A	Interest	J	T					
21. -CREF Growth R1		None	M	T	Buy	03/01/16	L		
22. -CFREF Stock R1		None			Sold	03/01/16	L	A	
23. Girls Preparatory School 403(b) Plan TIAA CREF (Header)									
24. -TIAA Traditional	A	Interest	J	T					
25. -CREF Stock R1		None			Sold	03/01/16	L	A	
26. -CREF Growth R1		None	L	T	Buy	03/01/16	L		
27. Optum Health Savings Account	A	Int./Div.	J	T					
28. AXA Universal Life Insurance Policy	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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

VII. Notes

In response to letter of inquiry dated June 7, 2017, Go Pro Class A stock was sold in whole and not in part on December 2, 2015. The remaining information in the 2015 report is correct.

Line 2 Balance in the account is less than \$5000.

Line 5 Funds from the Core Account were used to purchase additional shares in Freedom Funds 2010 and 2030 and shares in Disney and Goldman Sachs Group.

Lines 4 and 8 Fidelity statements regarding the 2010 and 2030 Funds indicated that short term and long term gains were earned on the accounts and were reinvested in units of those funds respectively. These gains are included in year end values. These transactions were part of the management of the fund and I have no further detail on what particular transactions within the funds produced the gains. The dividend income from these funds which was reflected in my statements is included in lines 4 and 7.

Line 14 Upon review of the January 2016 statement for detail regarding the Fedelity Select Biotechnology shares sale, an additional purchase of Disney stock was discovered and has been added.

Lines 19-22 and 23-26 Statements for Girls Preparatory School 401(A) DC Plan and 403(B) DC Plan do not reflect interest and dividends earned by the investments composed of CREF Stock and CREF Growth Funds. TIAA Traditional reflects only quarterly interest amounts.

Line 27 Wells Fargo assigned the HSA account to Optum Bank. This is the same account that was reported last year as the Wells Fargo HSA.

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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/ Shelley D. Rucker**

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
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