

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

*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) Whipple, Mary Ann	2. Court or Organization U.S. Bankruptcy Court, N.D. OH	3. Date of Report 05/11/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 1/1/2017 to 12/31/2017
7. Chambers or Office Address James M. Ashley and Thomas W.L. Ashley United States Courthouse 1716 Spielbusch Avenue, Room 111 Toledo, OH 43604		
IMPORTANT NOTES: <i>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>		

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. Custodian	Uniform Gift to Minors Act [See Note in Part VIII]
2. Trustee	Trust #1 [See Note in Part VIII]
3. Executive Committee Member	Morrison R. Waite Chapter, American Inns of Court
4. Executive Board Secretary	University of Michigan Club of Toledo
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. 1991	State Teachers Retirement System (Ohio); interest in public pension plan
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.	
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. American Bankruptcy Institute	6/7/17 to 6/11/17	Traverse City, MI	Workshop Speaker	workshop registration fee and materials, lodging and meals
2. Federal Bar Association, Western District of Michigan	7/27/17 to 7/29/17	Boyne Highlands, MI	Seminar speaker	seminar registration fee and materials, transportation and meals
3. American Bankruptcy Institute	11/9/17 to 11/10/17	Troy, MI	Seminar Speaker	seminar registration fee and materials, lodging and meals
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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. Huntington National Bank(IRA)(CD)(cash accounts)	A	Interest	M	T					See Note in Part VIII
2. Merrill Lynch Ready Assets Trust	A	Int./Div.	J	T					
3. Blackrock Mid Cap Growth Equity Portfolio Class A	B	Dividend	L	T					
4. AB International Growth Fund Class A		None	J	T					
5. Nuveen Enhanced AMT-Free Municipal Credit Opportunity Fund (NVG)	A	Dividend	J	T					
6. Blackrock Balanced Capital Fund Class A	B	Dividend	J	T					
7. MFS Municipal Income Fund A	A	Dividend	J	T					
8. MFS Global Total Return Fund A	A	Dividend	K	T					
9. MainStay Large Cap Growth Fund Class A	D	Dividend	K	T					
10. MainStay Common Stock Fund Class A	A	Dividend	K	T					
11. MainStay ICAP Select EQ Fund Class A	D	Dividend			Merged (with line 12)	05/08/17	K		See Note in Part VIII
12. MainStay Epoch US EquityYield Fund Class A	B	Dividend	K	T	Open	05/08/17	K		See Note in Part VIII
13. MainStay Cornerstone Growth Fund Inv. Class (IRA)	A	Dividend	J	T					
14. Investment Company of America-A Fund Number 4	D	Dividend	L	T					
15. Franklin Equity Income Fund-Class A	B	Dividend	K	T					
16. UBS Pace Large Company Value Equity Fund Class C	A	Dividend	K	T					
17. UBS Bank USA	A	Interest	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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	(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. UBS Pace Global Fixed Income Fund Investors Class	A	Dividend	K	T					
19. UBS U.S. Allocation Fund Class C	A	Dividend	K	T					
20. Columbus Life Ins. Co. Fixed Annuity	C	Interest	M	T					
21. Vanguard Windsor II Fund (UGMA)	B	Dividend	K	T					See Note in Part VIII
22. Washington Federal Seattle Wash (CD) (UGMA)	A	Interest	K	T					See Note in Part VIII
23. U.S. Savings Bonds		None	K	T					
24. STRS (Ohio) Money Market Account (Ohio public pension)	A	Dividend	J	T					
25. STRS (Ohio) Russell 1000 Index Fund (Ohio public pension)	A	Dividend	J	T					
26. PNC Bank (cash account)(CD)	A	Interest	L	T					
27. Sun Federal Credit Union (cash account)	A	Interest	J	T					
28. FirstMerit Bank (cash account)	A	Interest			Closed	02/18/17	K		See Note in Part VIII
29. Northwestern Mutual Extra Ordinary Life Policy	A	Dividend	J	T					
30. Northwestern Mutual 65 Life Policy	A	Dividend	K	T					
31. New York Life Whole Life Policy	A	Dividend	J	T					
32. New York Life Paid-up at 85	A	Dividend	J	T	Open	05/18/17	J		See Note in Part VIII
33. Washington Federal Seattle Wash (cash account)(CD)	A	Interest	M	T					
34. The Trust Company of Toledo, N.A.(IRA Rollover) (H)									

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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35. --Vanguard Institutional Index Fund (IRA)	D	Dividend	N	T					
36. --MFS Int'l New Discovery-1 Fund (IRA)	A	Dividend	K	T	Buy (add'l)	12/14/17	J		
37.					Buy (add'l)	12/14/17	J		
38. --Vanguard Short Term Federal Bond Fund (IRA)	B	Dividend	L	T	Buy (add'l)	04/03/17	J		
39. --Northern Institutional Prime Obligations Portfolio (IRA)	A	Interest	L	T					
40. --Vanguard Intermediate Term Bond Index (IRA)	C	Dividend	L	T	Buy (add'l)	12/27/17	J		
41. --Harbor International Fund (IRA)	D	Dividend	L	T	Buy (add'l)	12/21/17	J		
42. --Harbor Bond Fund (IRA)	A	Dividend	K	T					
43. --Fidelity Contrafund (IRA)	D	Dividend	M	T	Buy (add'l)	02/13/17	J		
44.					Buy (add'l)	12/12/17	J		
45. --Sterling Capital Stratton Small- Cap Value Fund (IRA)	D	Dividend	L	T	Buy (add'l)	12/14/17	J		
46. --Dodge & Cox Stock Fund (IRA)	D	Dividend	L	T	Buy (add'l)	03/30/17	J		
47.					Buy (add'l)	03/30/17	J		
48.					Buy (add'l)	12/21/17	J		
49.					Buy (add'l)	12/22/17	J		
50. --Vanguard Dividend Growth-1 (IRA)	C	Dividend	L	T	Buy (add'l)	03/29/17	J		
51.					Buy (add'l)	12/21/17	J		

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52.					Buy (add'l)	12/21/17	J		
53. --Invesco Int'l Growth (IRA)	B	Dividend	K	T	Buy (add'l)	12/18/17	J		
54. Trust #1 (H)									See Note in Part VIII
55. --Massachusetts Mutual Permanent Life Policy	C	Dividend	M	T					
56. --Northwestern Mutual Whole Life Policy	C	Dividend	M	T					
57. --Columbus Life Insurance Policy (whole life)	A	Dividend	K	T					
58. The Huntington Investment Co. (H)									
59. --American Funds: Capital World Growth & Income Fund A	A	Dividend	J	T					
60. --American Funds: Washington Mutual Investors Fund Class A	A	Dividend	K	T					
61. --American Funds: High Income Municipal Bond Fund Class A	A	Dividend	J	T					
62. --American Funds: Tax Exempt Bond Fund of America A	A	Dividend	J	T					

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

Parts I and VII [Lines 54-57] Note: Trust #1 is a life insurance trust for a family member of which I am the trustee. The three whole life insurance policies assigned to Trust #1 [Line 54] are reported in Part VII [Lines 55-57].

Part I and VII [Lines 21 and 22] Note: The Minor reached the age of majority under the Ohio UGMA statute in 2014. However, the Washington Federal (Seattle Wash) CD reported at Part VII [Line 22] and the Vanguard Windsor II Fund reported at Part VII [Line 21] were both still maintained in my name as custodian and in my nominal custody at December 31, 2017.

Part VII [Line 1] Note: The Huntington National Bank IRA reported at Part VII [Line 1] is invested in a Huntington National Bank CD.

Part VII [Lines 1 and 28] Note: First Merit Bank merged into Huntington National Bank effective February 18, 2017. The cash account reported in Line 28 became a Huntington National Bank account and is now included in the assets reported on Line 1.

Part VII [Lines 11 and 12] Note: The shareholders of the MainStay ICAP Select EQ Fund approved a reorganization of that fund into the MainStay Epoch US Equity Yield Fund Class A effective on May 8, 2017, with no gain or loss occurring.

Part VII [Line 32] Note: A family member was the owner of the New York Life Paid-up at 85 policy on my life and transferred policy ownership to me.

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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/ Mary Ann Whipple**

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