

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) WISE, TRACEY N.	2. Court or Organization U.S. BANKRUPTCY COURT, EASTERN DISTRICT OF KENTUCKY	3. Date of Report 05/01/2018
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 01/01/2017 to 12/31/2017
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.		
2.		
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.		
2.		
3.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

WISE, TRACEY N.

Date of Report

05/01/2018

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. 2017	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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. American College of Bankruptcy	3/9-3/11/17	Washington, DC	Annual meeting	Travel
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

WISE, TRACEY N.

Date of Report

05/01/2018

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 Co	Mortgage Loan - Rental Property	L
2.	Federal Direct Unsubsidized/Ford Loans	Student Loan	None
3.	Trustmark National Bank	Mortgage Loan - Rental Property	L
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

WISE, TRACEY N.

Date of Report

05/01/2018

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	L	T					
3. UBS Financial Services (Money Market)	D	Int./Div.	O	T					
4. - Ishares Core S&P 500 ETF	A	Int./Div.	K	T	Sold (part)	07/17/17	J	B	
5.					Sold (part)	10/02/17	J	A	
6.					Sold (part)	11/13/17	J	C	
7. - Ishares Russell 1000 ETF	A	Int./Div.	K	T	Sold (part)	07/17/17	J	B	
8.					Sold (part)	11/13/17	J	C	
9. - Ishares Russell 2000 ETF	A	Int./Div.	J	T	Sold (part)	07/17/17	J	A	
10.					Sold (part)	11/13/17	J	A	
11. - Ishares Core S&P MidCap ETF	A	Int./Div.	K	T	Sold (part)	07/17/17	J	B	
12.					Sold (part)	11/13/17	J	B	
13. - Ishares U.S Financial Services ETF	A	Int./Div.	J	T	Sold (part)	07/17/17	J	A	
14. - Technology Select Sector SPDR ETF	A	Int./Div.	J	T					
15. - Vanguard REIT ETF	A	Int./Div.	J	T					
16. - Vanguard Health Care ETF	A	Int./Div.			Sold	05/26/17	J	B	
17. - Vanguard Short-term Inflation Protected SEC Index FD ETF	A	Int./Div.	J	T	Sold (part)	07/17/17	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 H ~\$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	P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$50,000,000	L ~\$50,001 - \$100,000 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 10

Name of Person Reporting

WISE, TRACEY N.

Date of Report

05/01/2018

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)

18.					Sold (part)	11/13/17	J	A	
19. - DOUBLELINE CORE FIXED INCOME FUND CLASS I	A	Int./Div.	J	T	Sold (part)	07/17/17	J	A	
20. - VANGUARD TOTAL WORLD STK INDEX FD ETF	A	Int./Div.	J	T					
21. - ISHARES U.S. ENERGY ETF	A	Int./Div.			Buy (add'l)	07/17/17	J		
22.					Sold	10/02/17	J	A	
23. - ISHARES MSCI EAFE ETF	A	Int./Div.	K	T					
24. - ISHARES EDGE MSCI MIN VOL EMERGING MARKETS ETF	A	Int./Div.			Sold	07/17/17	J	A	
25. - VANGUARD TOTAL INTL BOND ETF	A	Int./Div.	J	T	Sold (part)	07/17/17	J	A	
26. - VANGUARD TOTAL BOND MKT ETF	A	Int./Div.	K	T	Sold (part)	07/17/17	J	A	
27. - ISHARES 1-3 YEAR CREDIT BOND ETF	A	Int./Div.	J	T	Sold (part)	07/17/17	J	A	
28. - SPDR BLOOMBERG BARCLAYS LONG TERM TREAS ETF	A	Int./Div.	J	T					
29. - VANECK VECTORS AMT-FREE INTE MUNICIPAL INDEX ETF	A	Int./Div.	J	T	Sold (part)	07/17/17	J	A	
30. - VANGUARD SHORT-TERM CORPORATE BOND ETF	A	Int./Div.			Sold (part)	07/17/17	J	A	
31.					Sold	10/02/17	J	A	
32. - ISHARES NASDAQ BIOTECHNOLOGY ETF	A	Int./Div.	J	T	Buy	01/30/17	J		
33. - VANGUARD FTSE EUROPE ETF	A	Int./Div.	J	T	Buy	05/26/17	J		
34. - VANGUARD FTSE MARKETS ETF	A	Int./Div.	J	T	Buy	07/17/17	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	
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FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

WISE, TRACEY N.

Date of Report

05/01/2018

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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. - ISHARES SILVER TRUST ETF	A	Int./Div.	J	T	Buy	07/17/17	J		
36. - ETF PHYSICAL PLATINUM SHARES ETF	A	Int./Div.			Buy	01/03/17	J		
37.					Sold	07/17/17	J	A	
38. - ISHARES GOLD TRUST ETF	A	Int./Div.			Buy	07/17/17	J		
39.					Sold	10/02/17	J	A	
40. - VANGUARD INFORMATION TECHNOLOGY ETF	A	Int./Div.			Buy	07/17/17	J		
41.					Sold	10/02/17	J	A	
42. - SPDR PORTFOLIO LONG TERM TREAS ETF TREAS ETF	A	Int./Div.	J	T	Sold (part)	07/17/17	J	A	
43. UBS Financial Services (Traditional IRA fka SEP IRA)	E	Int./Div.	O	T					
44. - Ishares Core S&P 500 ETF (fka Ishares Trust S&P)	B	Int./Div.	M	T					
45. - Ishares Russell 2000 ETF (fka Ishares Trust Russell 2000 Index)	A	Int./Div.	K	T					
46. - Ishares Core S&P MidCap ETF (fka Ishares Trust Mi)	B	Int./Div.	L	T					
47. - Ishares MSCI EAFE Small Cap ETF (fka Ishares MSCI EAFE Small Cap)	A	Int./Div.	J	T					
48. - Vanguard REIT ETF	A	Int./Div.	K	T					
49. - Vanguard FTSE Emerging Markets ETF (fka Vanguard MSCI Emerging)	A	Int./Div.	K	T	Buy (add'l)	07/17/17	K		
50. - Ishares Russell 1000 ETF (fka Ishares Trust Russell 1000 Index)	A	Int./Div.	J	T					
51. - Ishares U.S Financial Services ETF (fka Ishares Trust Dow Jones)	A	Int./Div.	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

WISE, TRACEY N.

Date of Report

05/01/2018

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52. - Technology Select Sector SPDR ETF	A	Int./Div.	K	T					
53. - Vanguard Health Care ETF	A	Int./Div.			Sold	05/26/17	J	C	
54. - VANGUARD TOTAL WORLD STK ETF	A	Int./Div.	K	T					
55. - ISHARES U.S. ENERGY ETF	A	Int./Div.	J	T					
56. - ISHARES CORE MSCI EAFE ETF	A	Int./Div.	K	T					
57. - ISHARES CORE U.S. AGGREGATE BOND ETF	C	Int./Div.	M	T					
58. - VANGUARD TOTAL INTL BON FD ETF CL	A	Int./Div.	K	T					
59. - VANGUARD TOTAL BOND MKT ETF	C	Int./Div.	M	T					
60. - VANGUARD SHORT-TERM BOND ETF	B	Int./Div.	L	T					
61. - ISHARES 20+ YEAR TREAS BON ETF	A	Int./Div.	K	T					
62. - SPDR GOLD SHARES ETF	A	Int./Div.			Sold	01/30/17	J	A	
63. - ISHARES NASDAQ BIOTECHNOLOGY ETF	A	Int./Div.	J	T	Buy	01/30/17	J		
64. - VANGUARD FTSE EUROPE ETF	A	Int./Div.	J	T	Buy	05/26/17	J		
65. Merrill Lynch - Angelucci Acoustics Inc SEP	D	Int./Div.	L	T					
66. - American Growth Fund of America Cl A	A	Int./Div.	K	T					
67. - American AMCAP Fund Cl A	A	Int./Div.	K	T					
68. - Blackrock Global Allocation FD Inc A	A	Int./Div.	K	T	Sold (part)	05/11/17	J	A	

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FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

WISE, TRACEY N.

Date of Report

05/01/2018

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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)
69. - Blackrock ADV U.S. TTL Market FD, Inc. CI A fka Blackrock Global	A	Int./Div.	K	T					
70. Rental Property, Shelbyville, Shelby County, KY	D	Rent	M	W					
71. Rental Property, Lexington, Fayette County, KY	D	Rent	M	W					
72. Poppin Angels LLC		None	J	T					
73. Jackson National Life Insurance Company (Fixed Annuity)	E	Interest	N	T					
74. JPMorgan Chase Bank, N.A. (Savings)	A	Interest	K	T					
75. Poppin, Inc.		None	J	T					
76. UBS 529 Plan #1	A	Int./Div.	J	T					
77. UBS 529 Plan #2 (X)	A	Int./Div.	J	T					

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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 9 of 10

Name of Person Reporting

WISE, TRACEY N.

Date of Report

05/01/2018

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

VII. There were some minor fund name changes.

VII. SPDR PORTFOLIO LONG TERM TREAS ETF TREAS ETF was purchased on 12/09/16 but was missing from the broker statement and not reported on the 2016 FDR. All shares were sold on 7/17/17.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

WISE, TRACEY N.

Date of Report

05/01/2018

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
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One Columbus Circle, N.E.
Washington, D.C. 20544