

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) Preston, C. Kathryn	2. Court or Organization Bankruptcy Court, S.D. Ohio	3. Date of Report 5/14/2012
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 01/01/2011 to 12/31/2011
7. Chambers or Office Address U.S. Bankruptcy Court 170 North High Street Columbus, Ohio 43215		
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. Insert signature on last page.		

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. 1991	Huntington Bancshares Retirement Plan - former Employer; no control - Opinion of Committee on Code of Conduct obtained. (See Part VIII).
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. 2011

City of Columbus, Ohio (salary)

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. NCBJ

October 12-15, 2011

Tampa, FL

NCBJ Annual Conference

Lodging

2. Allegheny County Bar
Association

December 8-9, 2011

Pittsburgh, PA

CLE Speaker

Transportation, Lodging, Meals

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.	Columbus Bar Association	Bankruptcy Law Institute Fee	\$370.00
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.	Huntington National Bank	Mortgage on Rental Prop. #1, Cape Coral, FL. (Pt. VII, line 1)	M
2.	Huntington National Bank	Second Mortgage/Personal Credit Line, Rental Prop. #1 Cape Coral, FL. (Pt. VII, line 1)	K
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. Rental Property #1, Cape Coral, FL (Purchased 2005 \$679,900)	D	Rent	O	R					
2. Investment Property, N. Captiva Island, FL		None	N	W					
3. Huntington Bank Accounts	A	Interest	K	T					
4. Bank of America Accounts	A	Interest	K	T					
5. Fifth Third Bank Account		None	J	T					
6. CME Fed. Credit Union Accounts	A	Interest	J	T					
7. Chase Bank Accounts		None	J	T					
8. Trust #1-income beneficiary	C	Distribution	N	T					
9. -Ashland, Inc.									
10. -AT&T, Inc., f/k/a SBC Communications									
11. -BRE Properties, Inc.									
12. -Chubb Corp.									
13. -Cimarix Energy Co.									
14. -Cisco Systems, Inc.									
15. -Conoco Philips									
16. -Denison Mines Corp.									
17. -Dodge & Cox Int'l Stock Fund									

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 \$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	

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18. -EMC Corp.									
19. -Fairpoint Communications, Inc.									
20. -Frontier Communications Corp.									
21. -General Dynamics Corp.									
22. - Greater China Fund Inc.com									
23. -Heartland Express, Inc.									
24. -Ishares S&P Latin America									
25. -M&T Bank Corporation									
26. -Marathon Oil									
27. -Marathon Petroleum Corp.					Spinoff (from line 26)	07/01/11	J		Spinoff from Marathon Oil
28. -Merck & Co., Inc.									
29. -Microsoft Corp.									
30. -Raytheon Co.									
31. -Southern Co.									
32. -Tupperware Corp.									
33. -Verizon Communications									
34. -Walmart Stores, Inc.									

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35. -Whirlpool Corp.									
36. -Wells Fargo Government Money Market Fund									
37. -Farm Property (127.92 acres) Jasper Co., IA									
38. Huntington Bancshares Pension Plan (See part VIII)		None	M	V					
39. Hartford Life Ins. Policy	B	None	K	T					
40. - American Funds Ins. Asset Alloc. Fund									
41. - American Funds Ins. Bond Fund									
42. -American Funds Ins. Growth Income Fund									
43. -Franklin Templeton Mutual Shares Security Fund									
44. -Fidelity VIP Contra Fund Portfolio									
45. -Fidelity VIP Mid Cap Portfolio									
46. -Hartford HLS Int'l Small Company Fund									
47. -Oppenheimer Global Securities Fund									
48. -Van Kampen LIT Comstock Portfolio									
49. Brokerage Account #1			K	T					
50. - AT&T (Y)	A	Dividend			Sold	07/29/11	J	A	
51. - Exxon Mobile Corp. - common stock	A	Dividend	J	T					

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52. IBM		None	J	T	Buy	11/17/11	J		
53. - Lowe's Co. - common stock (Y)	A	Dividend			Sold	07/27/11	J	A	
54. - MDU Resources Grp. Inc. - common stock (Y)	A	Dividend			Sold	07/29/11	J	A	
55. - Microsoft Corp. - common stock (Y)	A	Dividend			Sold	07/29/11	J	A	
56. -Principle Financial Group, Inc. (X) (See part VIII)		None	J	T					
57. - Procter & Gamble Co. - common stock	A	Dividend	J	T	Sold (part)	7/29/11	J	A	
58. - Stryker Corp. (Y)	A	Dividend			Sold	7/29/11	J	A	
59. - United Technologies Corp.	A	Dividend	J	T	Sold (part)	7/29/11	J	A	
60. -Fed OH Muni Income Fund	A	Int./Div.	J	T					
61. Brokerage Account #2			L	T					
62. - American Balanced Fund - Class A Bonds	A	Dividend	K	T					
63. -American Europacific Growth Fund Class A	A	Dividend	J	T	Buy (add'l)	1/7/11	J		
64.					Buy (add'l)	2/9/11	J		
65.					Buy (add'l)	3/9/11	J		
66.					Buy (add'l)	4/7/11	J		
67.					Buy (add'l)	5/9/11	J		
68.					Buy (add'l)	6/9/11	J		

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69.					Buy (add'l)	7/8/11	J		
70.					Buy (add'l)	8/9/11	J		
71.					Buy (add'l)	9/9/11	J		
72.					Buy (add'l)	10/7/11	J		
73.					Buy (add'l)	11/5/11	J		
74.					Buy (add'l)	12/8/11	J		
75.	- American Growth Fund of America - Class A Bonds	A	Dividend	K	T				
76.	IRA # 1	D	Int./Div.	N	T				
77.	-ABALX - Class A Bonds				Buy (add'l)	1/24/11	J		
78.					Buy (add'l)	11/17/11	J		
79.	-ABNDX - Class A Bonds								
80.	-AEPGX - Class A Bonds								
81.	-AGTHX - Class A Bonds				Buy (add'l)	1/24/11	J		
82.					Buy (add'l)	11/17/11	J		
83.	-AHITX - Class A Bonds								
84.	-AIVSX - Class A Bonds				Buy (add'l)	1/24/11	J		
85.	-AMECX - Class A Bonds				Buy (add'l)	1/24/11	J		

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2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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86. - CWGIX - Class A Bonds									
87. -NEWFX - Class A Bonds					Sold (part)	11/17/11	J	B	
88. -SMCWX - Class A Bonds					Sold (part)	11/17/11	J	A	
89. IRA # 2	A	Dividend	J	T					
90. - Dodge & Cox Bal. Fund									
91. - Hershey Foods Corp.									
92. Principle Financial Group (Y) (See part VIII)	A	Dividend							
93. Ohio Police & Fire Pension Fund [REDACTED]		None	M	T					
94. Ohio Police & Fire Pension Fund DROP [REDACTED]	E	Interest	O	T					
95. Ohio Public Employees Deferred Comp. Prog [REDACTED]	C	Dividend	M	T					
96. - Dodge & Cox Balanced Fund									
97. - Dodge & Cox Stock									
98. - Fidelity Contra Fund									
99. -Fidelity Growth Co.									
100. - FPA Capital Fund									
101. - PIMCO Total Return Fund									
102. - Vanguard Inst. Index Fund									

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103. - Vanguard Capital Opportunity Fund									
104. Investment Accounts (as Custodian XXXXXXXXXX)	A	Dividend	J	T					
105. - CAIBX					Buy (add'l)	8/25/11	J		
106. WG Holding Co., LLC		None	K	W	Buy	04/16/11	K		WG Holding Co., LLC
107. Rum Cove, LLC		None	N	W	Buy	08/09/11	N		Hart & June Kelly
108. -Rental prop N.Captiva Isl, FL(purchased 2011 \$350,000)			O	W					
109. -Personal property attendant to rental property			K	W					

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

Part II Line 1 - Retirement plan of former employer; I have no control; I will receive retirement annuity upon reaching retirement age. I obtained the opinion of the Committee on Codes of Conduct on 9-27-06; They found that a conflict exists and directed that in actions involving Huntington (1) the parties must be notified of the conflict and that I am disqualified from presiding, and (2) the parties may be offered an opportunity to waive the conflict.

Part VII Line 5 - The Fifth Third Bank account is a new account opened 2011.

Part VII Line 38 - The value of my interest in the Huntington Bancshares Retirement Plan is determined by calculation of the present value of the anticipated future benefits. The calculation is performed by Huntington or its administrative service provider.

Part VII Line 56 and 92 - The Principle Financial Group, Inc. stock was transferred on or about 12-7-11 into Brokerage account #1 from direct personal ownership.

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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/ C. Kathryn Preston**

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