

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) Schaaf, Gregory R.	2. Court or Organization U.S. Bankruptcy Court, Eastern District of Kentucky	3. Date of Report 07/31/2018
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 01/01/2017 to 12/31/2017
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) (ended August 2017)
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. 2017	Atlanta International School, Atlanta, Ga; salary
2. 2017	Transylvania University, Lexington, KY; salary
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	08/22-24/2017	Cincinnati, Ohio	Speaking Engagement MRBS Summer Conference	Hotel; transportation
2. American College of Bankruptcy	03/09-11/2017	Washington D.C.	Annual Meeting	Hotel; transportation
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. (H)Retirement Account - No. 1 (risk based) [SEE PART VIII, NOTE 1]									
4. --Federated Treasury Obligations Fund	A	Dividend	J	T					
5. --FDN		None	L	T					
6. --FXN	A	Dividend			Sold	03/23/17	K		
7. --FXU	A	Dividend			Sold	11/09/17	K	C	
8. --QTEC	A	Dividend	L	T					
9. --First Trust Target High Qual Div 16 MO FE RE	C	Dividend	M	T					
10. --First Truste Target GLB DIV LDRS 4QTR 16 MO FE RE	D	Dividend	M	T					
11. --HYLS	B	Dividend	J	T	Sold (part)	06/07/17	J	A	
12. --HYS	B	Dividend			Sold	06/07/17	L	B	
13. --TEL	A	Dividend			Sold	04/10/17	J	B	
14. --GOOG		None			Sold	04/10/17	J	A	
15. --AAPL	A	Dividend			Sold	04/10/17	J	B	
16. --BRK/B		None			Sold	04/10/17	J	A	
17. --CVS	A	Dividend			Sold	04/10/17	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 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 ~\$250,000,001 - \$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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☐ 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. --CSCO	A	Dividend			Sold	04/10/17	J	B	
19. --DIS	A	Dividend			Sold	04/10/17	J	A	
20. --EXPD		None			Sold	04/10/17	J		
21. --XOM	A	Dividend			Sold	04/10/17	J		
22. --FAST	A	Dividend			Sold	04/10/17	J	B	
23. --GE	A	Dividend			Sold	04/10/17	J	C	
24. --HOG	A	Dividend			Sold	04/10/17	J	B	
25. --HD	A	Dividend			Sold	04/10/17	J	B	
26. --IBM	A	Dividend			Sold	04/10/17	J	A	
27. --JPM	A	Dividend			Sold	04/10/17	J	B	
28. --JNJ	A	Dividend			Sold	04/10/17	J	A	
29. --MAT	A	Dividend			Sold	04/10/17	J		
30. --MSFT	A	Dividend			Sold	04/10/17	J	B	
31. --NTRS	A	Dividend			Sold	04/10/17	J	B	
32. --OMC	A	Dividend			Sold	04/10/17	J	A	
33. --PFE	A	Dividend			Sold	04/10/17	J	A	
34. --PGR	A	Dividend			Sold	04/10/17	J	B	

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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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. --SPLS	A	Dividend			Sold	04/10/17	J	A	
36. --TJX	A	Dividend			Sold	04/10/17	J	B	
37. --USB	A	Dividend			Sold	04/10/17	J	A	
38. --UNP	A	Dividend			Sold	04/10/17	J	B	
39. --WFC	A	Dividend			Sold	04/10/17	J		
40. --First Trsut Auto'd Quantitative AQA Ser 14	A	Dividend	M	T	Buy	04/25/17	L		
41. --First Trust Trust Series 15	B	Dividend	M	T	Buy	04/18/17	L		
42. --First Trust Sabrient Baker's Dozen Portfolio April 17 Ser	A	Dividend	L	T	Buy	04/25/17	L		
43. --FTXO	A	Dividend	K	T	Buy	03/23/17	K		
44. --FIXD	A	Dividend	J	T	Buy	06/07/17	J		
45. --FTSM	A	Dividend	J	T	Buy	06/07/17	J		
46. --LMBS	A	Dividend	K	T	Buy	06/07/17	L		
47. --FEMB	A	Dividend	J	T	Buy	06/07/17	J		
48. --FTSL	A	Dividend	K	T	Buy	06/07/17	K		
49. --FXL	A	Dividend	K	T	Buy	11/17/17	K		
50. [(H)End Retirement Account - No. 1]									
51. (H)Investement Account - No. 1									

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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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)
52. -CSCO	A	Dividend	J	T	Sold (part)	07/13/17	J	C	
53. -FDN		None	K	T					
54. -FXN	A	Dividend			Sold	03/23/17	J		
55. -FXU	A	Dividend			Sold	11/10/17	J	A	
56. -QTEC	A	Dividend	J	T					
57. -FTXO	A	Dividend	J	T	Buy	03/23/17	J		
58. -FXR	A	Dividend	J	T	Buy	11/10/17	J		
59. -FXL	A	Dividend	J	T	Buy	11/10/17	J		
60. -Hilliard Lyons Insured at Citizens Bank (temporary cash account)	A	Interest			Closed	12/01/17	J		
61. -Standard Bank (temporary account)	A	Interest	J	T	Open	12/01/17	J		
62. [(H)End Investment Account - No. 1]									
63. (H)Retirement Account - No. 2									
64. -TIAA Trad'l [SEE PART VIII, NOTE 2]	B	Interest	K	T					
65. -CREF Stock [SEE PART VIII, NOTE 2]	A	Interest	L	T					
66. -TIAA Real Estate [SEE PART VIII, NOTE 2]	E	Interest	J	T					
67. -CREF In'l Linked Bond [SEE PART VIII, NOTE 2]	A	Interest	J	T					
68. -CREF Money Market Account R1	A	Interest	J	T	Open	08/30/17	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
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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				
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69.									
70. [(H)End Retirement Account - No. 2]									
71. (H)Investment Account - No. 2									
72. -VFIAX	A	Dividend	M	T					
73. -VEXAX	A	Dividend	L	T					
74. -VMMXX	A	Dividend	K	T					
75. -VBTLX	A	Dividend	K	T					
76. -VTIAX (X)	B	Dividend	L	T					
77. [(H)End Investment Account - No. 2]									
78. Community Trust Bank	A	Interest	K	T					
79. (H)Investment Account - No. 3									
80. -Oppenhiemer Steelpath MLP Income Fund A	B	Dividend	K	T					
81. [(H)End Investment Account - No. 3]									
82. PNC Bank	A	Interest	J	T					
83. (H)Retirement Account - No. 3 [SEE PART VIII, NOTE 1 Columns C&D]									
84. --FDN		None							
85. --FXN		None							

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86. --FXU		None							
87. --QTEC		None							
88. --First Trust Target GLB Div LDRS 4Q16 Mo FE RE	A	Dividend							
89. --Federated Treasury Obligations Fund (1)	A	Dividend							
90. --TEL		None							
91. --GOOG		None							
92. --AAPL		None							
93. --BRK/B		None							
94. --CVS	A	Dividend							
95. --CSCO	A	Dividend							
96. --DIS	A	Dividend							
97. --EXPD		None							
98. --XOM		None							
99. --FAST	A	Dividend							
100. --GE	A	Dividend							
101. --HOG		None							
102. --HD		None							

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103. --IBM		None							
104. --JMP	A	Distribution							
105. --JNJ		None							
106. --MAT		None							
107. --MSFT		None							
108. --NTRS	A	Dividend							
109. --OMC	A	Dividend							
110. --PFE	A	Dividend							
111. --PGR	A	Dividend							
112. --SPLS	A	Dividend							
113. --TJX	A	Dividend							
114. --USB	A	Dividend							
115. --UNP		None							
116. --WFC	A	Dividend							
117. [(H)End Retirement Account - No. 3]									
118. General American Whole Life Policy (X)		None	J	T					
119.									

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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)
120.									

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	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Schaaf, Gregory R.

Date of Report

07/31/2018

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

Part VII, Note 1, Lines 3-50; and Lines 83-117: (H) Retirement Account - No. 1 was consolidated with Retirement Account - No. 3 on or about March 1, 2017. The statement from my investment advisor was: "The positions were not sold and bought for a consolidation. They were only journaled from one account to another. So it's only a change in positions not transactional." I left the list of assets that were in Retirement Account - No. 3 at the end of last year for audit purposes. I have included the reportable transactions that occurred prior to the consolidation of the accounts under Retirement Account No. 3.

FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

Schaaf, Gregory R.

Date of Report

07/31/2018

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/ **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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Washington, D.C. 20544