

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) Volk, Frank W.	2. Court or Organization United States Bankruptcy Court, Southern District of W. Va.	3. Date of Report 05/15/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge -- Fulltime	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 Frank W. Volk, United States Bankruptcy Judge United States Bankruptcy Court 300 Virginia Street East, Room 6408 Charleston, WV 25301		
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. Adjunct Lecturer of Law | West Virginia University College of Law |
| 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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE 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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

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.)*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. Fifth Third Bank Accounts	A	Interest	L	T					
2. Charleston Federal Credit Union	A	Interest	J	T					
3. Hartford Funds (Smart 529) Age-Based Portfolios		Dividend	K	T					
4. Hartford Funds (Smart 529) Age-Based Portfolio		Dividend	L	T					
5. FIAM TD 2035 POOL V (Y)	A	Dividend							
6. TRANSCANADA USA (46840) (X)	A	Dividend	M	T					
7. FID Contrafund Pool (Y)	A	Dividend							
8. FID Growth Co Pool	A	Dividend	L	T					
9. VANG INST TR 2035 (X)	A	Dividend	K	T					
10. FID 500 INDEX INST	A	Dividend	K	T					
11. VANG VMMR-FED MMKT	A	Int./Div.	J	T					
12. Dominion Res. Inc. Va. New (Brokerage #1)	A	Dividend	K	T					
13. Travelers Companies Inc. (Brokerage #1)	A	Dividend	K	T					
14. Travelers Companies Inc. (Brokerage #2)	B	Dividend	L	T					
15. AEP (Brokerage #2)	A	Dividend	J	T					
16. AT&T (Brokerage #2)	A	Dividend	J	T					
17. BP PLC SPONSORED ADR (Brokerage #2)	A	Dividend	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
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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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. Dominion Resources Inc. New (Brokerage #2)	B	Dividend	K	T					
19. Emerson Electric Co. (Brokerage #2)	A	Dividend	J	T					
20. Exelon Corp. (Brokerage #2)	A	Dividend	K	T					
21. Exxon Mobil Corp. (Brokerage #2)	B	Dividend	K	T					
22. Southern Co. (Brokerage #2)	A	Dividend	J	T					
23. Franklin Income Fund CL A (Brokerage #2)	A	Dividend	J	T					
24. Travelers Companies Inc. (Brokerage #2)	A	Dividend	J	T					
25. Travelers Companies Inc. (Brokerage #2)	A	Dividend	J	T					
26. Travelers Companies Inc. (Brokerage #2)	A	Dividend	J	T					
27. Columbia Retirement Plan (Defined Bft. Cash Balance Pension) (Y)									
28. TransCanada Retirement Plan (Defined Bft. Cash Balance Pension) (X)	B	Interest	K	T					
29.									
30.									
31.									
32.									
33.									
34.									

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

Part VII. [REDACTED] former employer was a merged company composed of Nisource and Columbia Energy Group. [REDACTED] left that employment around the turn of the century. In 2015, the merged company split into Nisource and Columbia Pipeline Group and, in 2016, Columbia Pipeline Group was acquired by TransCanada. As a part of the TransCanada acquisition, [REDACTED] 401(k) assets in FIAM TD 2035 POOL V appear to have been transferred into an account styled TRANSCANADA USA (46840). With the assistance of a Fidelity representative, I have learned that [REDACTED] current holdings within TRANSCANADA USA (46840) include the following: FID GROWTH CO POOL, VANG INST TR 2035, FID 500 INDEX INST, and VANG VMMR-FED MMKT. These exchanges were all accomplished without our knowledge by her former employer. I can attempt to provide further information if deemed necessary.

Part VII. Due to the merger transactions described above, [REDACTED] former account in the Columbia Retirement Plan (Defined Bft. Cash Balance Pension) has now changed to a TransCanada account of a similar character. I was informed by the representative with whom I spoke, however, that the balance and earnings on the account are something to which [REDACTED] does not have access and that those figures would need to be prepared by hand and sent to me in a letter. Extrapolating beyond the balance from last year, and the low earnings rate, I have estimated the value and earnings of the account and will amend the report if necessary.

Part VII. The Smart 529 Plans were commenced over a decade ago, one for each [REDACTED]. The Hartford only provides income information for the life of the investment. The Hartford will not break it down for me by year, although I lodged a special request that it do so. I am thus left with little option to leave the income column blank. Please advise if the Committee desires the statements of account.

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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/ **Frank W. Volk**

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