

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 06/02/2016
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 01/01/2015 to 12/31/2015
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Member, Board of Director	God's Pantry Food Bank (Lexington, KY)
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.		

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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.)*

<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. 2015	Sayre School, Lexington, KY, College Counselor/teacher, Salary
2. 2015	Atlanta International School, Atlanta, Ga; 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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. National Conference of Bankruptcy Judges	10/07-10/10/2014	Miami, FL	Annual Conference	Hotel
2. American Inst of CPAs	11/06-11/10/2015	Las Vegas, NV	Speaking Engagement at Forensics/Valuation Conf	Hotel, transport, food
3. American Bankruptcy Institute	07/22-07/25/2015	Amelia Island, FL	Speaking Engagement ABI Summer Conference	Hotel, transport, food
4. American College of Bankruptcy	03/12-03/14/2015	Washington, D.C.	Annual Meeting	Hotel, transport, food
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) (X)									
4. -ARTIX (investor cl)	A	Dividend	K	T	Sold (part)	03/16/15	J		
5.					Sold (part)	09/15/15	K		
6. -DODGX (Stock)	A	Dividend	J	T	Sold (part)	03/10/15	J		
7.					Buy (add'l)	03/16/15	K		
8.					Sold (part)	09/18/15	K		
9. -AEPFX (CL F2)	A	Dividend	K	T	Buy (add'l)	03/10/15	J		
10.					Sold (part)	03/16/15	K		
11.					Sold (part)	09/18/15	K		
12. -HAINX (Instl Cl)	A	Dividend	K	T	Buy (add'l)	03/10/15	J		
13.					Sold (part)	03/16/15	J		
14.					Sold (part)	09/18/15	K		
15. -SBPYX (Clearbridge Small Cap Growth Cl1)		Dividend	J	T	Sold (part)	09/18/15	J		
16. -PARSX		Dividend			Sold	03/17/15	K		
17. -PELPX (Local Bond CL P)	A	Dividend	J	T	Buy (add'l)	03/10/15	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	
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 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.					Sold (part)	03/16/15	J		
19.					Sold (part)	09/18/15	J		
20. -PFBPX (Bond Hedged Cl P)	A	Dividend	K	T	Buy (add'l)	03/16/15	J		
21.					Sold (part)	09/18/15	K		
22. -TRBCX (Blue Chip Growth)		Dividend	K	T	Sold (part)	03/10/15	J		
23.					Buy (add'l)	03/17/15	K		
24.					Sold (part)	09/18/15	K		
25. -PRSVX (Value)	A	Dividend	J	T	Buy (add'l)	03/16/15	J		
26.					Sold (part)	09/18/15	J		
27. -HIEMX (Markets Opportunities CL 1)	A	Dividend	L	T	Buy (add'l)	03/10/15	J		
28.					Sold (part)	03/16/15	J		
29.					Sold (part)	09/18/15	K		
30. -STDFX (Cap Growth Admin CL)	A	Dividend	K	T	Sold (part)	03/10/15	J		
31.					Buy (add'l)	03/17/15	K		
32.					Sold (part)	09/18/15	K		
33. -ESIDX (Int'l Bond Admin Cl)	A	Dividend	J	T	Buy (add'l)	03/10/15	J		
34.					Buy (add'l)	03/16/15	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 = \$5,000,001 - \$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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☐ 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)

35.					Sold (part)	09/18/15	J		
36. -BCOIX	A	Dividend	J	T	Sold (part)	09/18/15	J		
37. -HWHIX	B	Dividend	K	T	Buy (add'l)	03/10/15	J		
38.					Sold (part)	03/16/15	J		
39.					Sold (part)	09/18/15	K		
40. -Federated Treasury Obligations Fund	A	Int./Div.	J	T					
41. -BAUX	A	Dividend	J	T	Buy	03/18/15	K		
42.					Sold (part)	09/18/15	J		
43. (H)Investment Account - No. 1									
44. -ALU					Sold	09/22/15	J	A	
45. -CSCO	A	Dividend	J	T					
46. -KO	A	Dividend			Sold	09/22/15	J	C	
47. -FXD	A	Dividend	J	T	Buy	09/22/15	J		
48. -FXG	A	Dividend	J	T	Buy	09/22/15	J		
49. -FDN		None	J	T	Buy	09/22/15	J		
50. -FXH		Dividend	J	T	Buy	09/22/15	J		
51. -FBT	A	Dividend	J	T	Buy	09/22/15	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. -Hilliard Lyons Insured at Programs Bank (temporary cash account)	A	Int./Div.	J	T					
53. (H)Retirement Account - No. 2 (X)									
54. -TIAA Trad'l (X)	A	Int./Div.	K	T					
55. -CREF Stock (X)	B	Int./Div.	K	T					
56. -TIAA Real Estate (X)	A	Int./Div.	J	T					
57. -CREF In'l Linked Bond (X)	A	Int./Div.	J	T					
58. (X)(H)Investment Account - No. 2									
59. -VFIAX	B	Dividend	L	T					
60. -VEXAX	A	Dividend	K	T					
61. -VMMXX	B	Dividend	K	T					
62. -VBTLX	A	Dividend	K	T					
63. -VTIAX (X)	A	Interest	L	T					
64. Community Trust Bank	A	Int./Div.	J	T					
65. (H)Investment Account - No. 3									
66. -Oppenhiemer Steelpath MLP Income Fund A (X)	A	Dividend	K	T					
67. Natwest (Y)									
68. PNC Bank	A	Int./Div.	J	T	Open	07/31/15	J		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	P3 = \$25,000,001 - \$50,000,000 P4 = More than \$50,000,000
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69. (H)Retirement Account - No. 3 (X)									
70. ABMD	A	Dividend	J	T	Buy	09/22/15	J		
71. CGNX	A	Dividend	J	T	Buy	10/14/15	J		
72. FXD	A	Dividend	K	T	Buy	09/22/15	K		
73. FXG	A	Dividend	K	T	Buy	09/22/15	K		
74. FDN	A	Dividend	K	T	Buy	09/22/15	K		
75. FXH	A	Dividend	K	T	Buy	09/22/15	K		
76. FBT	A	Dividend	K	T	Buy	09/22/15	K		
77. FBT (Target Hi Quality)	A	Dividend	L	T	Buy	09/22/15	L		
78. FBT (Target Global Dvd Ldrs)	A	Dividend	L	T	Buy	09/22/15	L		
79. GILD	A	Dividend	J	T	Buy	09/22/15	J		
80. GGG	A	Dividend	J	T	Buy	09/22/15	J		
81. IM	A	Dividend	J	T	Buy	09/22/15	J		
82. KBH	A	Dividend	J	T	Buy	09/22/15	J		
83. KFY	A	Dividend	J	T	Buy	09/22/15	J		
84. SAIA	A	Dividend	J	T	Buy	09/22/15	J		
85. SWKS	A	Dividend	J	T	Buy	09/22/15	J		

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86. SMRT	A	Dividend	J	T	Buy	09/22/15	J		
87. TRN	A	Dividend	J	T	Buy	10/27/15	J		
88. FOXA	A	Dividend	J	T	Buy	09/22/15	J		
89. UTHR	A	Dividend	J	T	Buy	11/24/15	J		
90. VLO	A	Dividend	J	T	Buy	11/24/15	J		
91. General American Life (X)		None	J	T					

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

Part VII, lines 3 and 69. My prior retirement account was split into two separate investment accounts based on advice from my broker.

Part VII, line 67. I understand this account is closed, but the actual date of closure is not known. It was also determined the account had a \$0 or near \$0 balance last year, so it did not require reporting.

Part VII, lines 53-57. I was able to find out additional information to fill in columns B(1) and (2).

Part VII, Line 63. I was able to find out additional information to fill in columns B(1) and (2).

Part VII, Line 66. I was able to find out additional information to fill in columns B(1) and (2).

Part VII, line 91. This is an insurance policy on the life of a 3d party. I determined that I am the owner, so this reflects the cash surrender value.

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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/ 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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544