

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Humphrey, Guy R.	2. Court or Organization US Bankruptcy Court	3. Date of Report 04/27/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address 120 W Third St Dayton, Ohio 45402		
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. Vice President	Bankruptcy Bench-Bar Conference for the Southern District of Ohio, Inc.
2. Trustee	The Thomas F. Waldron American Bankruptcy Law Forum
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. 4/15/2000	Member of EARL, LTD. (EARL) under which quarterly distributions are received (2000-2025) for attorney fees earned while partner (cont in 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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2018	EARL, LTD., distribution of earned attorney fees	\$55,245.00
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. 2018	Franklin City School District -- Wages
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.				
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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE 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. IRA Fairfield National Bank	A	Interest	J	T					
2. Fifth Third Bank Accounts	A	Interest	M	T					
3. College Advantage 529 Account #2 (Guarant'd Savings Fund)	A	Interest	J	T					
4. Vestas Wind Systems	A	Dividend	J	T					
5. BlackRock									
6. -- 529 fund B (COLLEGEADV MODERATE 2001-A)	A	Interest	K	T					
7. Jackson National Life Insurance Company					Distributed	08/20/18	M	F	Forethought Life Insurance
8. (Perspective II Fixed & Variable Annuity)	D	Int./Div.			Distributed	08/20/18	M	F	Forethought Life Insurance
9. -- JNL/Franklin Templeton Found Strat	D	Int./Div.			Distributed	08/20/18	L	E	Forethought Life Insurance
10. -- JNL/T. Rowe Price Established Growth	D	Int./Div.			Distributed	08/20/18	L	E	Forethought Life Insurance
11. John Hancock Life Insurance Company -- John Hancock Trust	D	Int./Div.	M	T					
12. series type mutual fund managed by John Hancock Investment									
13. Management Services, LLC									
14. -- 500 Index B portfolio	A	Int./Div.	J	T					
15. -- Select Bond portfolio	A	Int./Div.	J	T					
16. -- American Growth portfolio	A	Int./Div.	K	T					
17. -- American International portfolio	A	Int./Div.	J	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	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	
3. Value Method Codes	N = \$250,001 - \$500,000 P3 = \$250,000,001 - \$500,000,000	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. --Global portfolio	A	Int./Div.	J	T					
19. -- Fixed portfolio	A	Int./Div.	J	T					
20. -- International Equity Index B portfolio	A	Int./Div.	J	T					
21. -- Managed Volatility Aggressive portfolio	A	Int./Div.	J	T					
22. -- Mid Cap Index portfolio	A	Int./Div.	J	T					
23. -- Natural Resources portfolio	A	Int./Div.			Merged (with line 16)	03/31/18	J		
24. -- Small Cap Growth portfolio	A	Int./Div.	J	T					
25. -- Small Cap Index portfolio	A	Int./Div.	J	T					
26. -- Small Cap Value portfolio	A	Int./Div.	J	T					
27. AXA/Equinvest 403b Account	C	Int./Div.	K	T					
28. Forethought Life Insurance	A	Int./Div.	M	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 \$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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part II (cont)

with former law firm, Chester Willcox & Saxbe (CWS), from national litigation between the State of Ohio and cigarette manufacturers. The members of EARL are former partners of CWS who were partners of CWS at the time of the fee award made in 2000. As of January 1, 2012, CWS merged with the law firm of Taft Stettinius & Hollister; however, there is no relationship between EARL and Taft Stettinius & Hollister other than that some of the members of EARL who were partners of CWS in 2000 are now members of Taft Stettinius & Hollister. Distributions by EARL were fixed and set through a percentage formula agreed upon and established through the agreement and documents created in 2000 and the only function of EARL is to receive the fee award payments, to make the distributions to the members of EARL in accordance with the 2000 agreement, and to make all appropriate and required tax or other filings for EARL. An accountant with Taft Stettinius & Hollister performs the ministerial task of overseeing the electronic distribution and deposit of the EARL distributions.

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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/ Guy R. Humphrey

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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