

FINANCIAL DISCLOSURE REPORT FINAL FILING

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) Kelley, Susan V.	2. Court or Organization Bankruptcy Court ED Wis	3. Date of Report 2/12/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☐ Annual ☒ Final 5b. ☐ Amended Report	6. Reporting Period 1/1/2018 to 1/31/2019
7. Chambers or Office Address 517 East Wisconsin Avenue Milwaukee, WI 53202		
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.		
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 04/06/18	Wolters Kluwer Law & Business, book royalties	\$8,579.19
2. 09/27/18	Wolters Kluwer Law & Business, book royalties	\$12,906.00
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	Milwaukee Brewers Baseball Club LP - 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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. American Bankruptcy Institute	6/7 - 6/8	Lake Geneva, Wisconsin	Bankruptcy Seminar	one night hotel, meals, mileage
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.)*

	<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.	Chase Bank	Credit Card	J
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. Brokerage Account 1									
2. Wells Fargo Large Co Core-Inv Fund	A	Int./Div.			Sold	04/18/18	J	C	
3. Wells Fargo Advantage Large Company Growth	A	Int./Div.			Sold	04/18/18	J	B	
4. Wells Fargo Advantage Opportunity Inv.	C	Int./Div.			Sold	04/18/18	K	C	
5. BMO Harris Bank Account	A	Interest	L	T					
6. Mutual of Omaha Whole Life Insurance Policies	A	Interest	K	T					
7. UBS Retirement Account									
8. IShares U.S. Technology ETF	A	Int./Div.	J	T	Sold (part)	04/23/18	K	D	
9. IShares Trust Russell 2000 Index Fund	A	Int./Div.	J	T	Sold (part)	08/27/18	K	A	
10. IShares Trust U.S. Basic Materials Sctr Index Fund	A	Int./Div.			Sold	04/23/18	K	D	
11. IShares Inc MSCI EMU Index Fund	B	Int./Div.			Sold	04/23/18	M	E	
12. IShares Trust Russell Midcap Index Fund	A	Int./Div.	J	T	Sold (part)	08/27/18	K	A	
13. IShares Trust S&P Latin America 40 Index Fund	A	Int./Div.			Sold	04/23/18	K	C	
14. IShares Tr MSCI All Ctry Asia Ex Japan Index	A	Int./Div.			Sold	04/23/18	L	E	
15. Guggenheim Solar ETF	A	Int./Div.			Sold	04/23/18	J	A	
16. Deutsche X-trackers Harvest	A	Int./Div.	J	T	Sold (part)	04/23/18	K	A	
17. IShares US Financials ETF	A	Int./Div.			Sold	04/23/18	L	E	

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 (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	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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18. IShares NASDAQ Biotechnology ETF	A	Int./Div.	J	T	Sold (part)	08/27/18	J	A	
19. Nationwide Future Venue Annuity									
20. Drey Stk Indx SVC	A	Int./Div.	J	T					
21. Fnklnvtpt Tmp Frgn Vip 3	A	Int./Div.	J	T					
22. Fnklnvtptfnklnsmcp Val Vip 2	A	Int./Div.	J	T					
23. Wisconsin Retirement Employee Trust Fund	C	Distribution	K	T					
24. Morgan Stanley IRA									
25. Loomis Growth C	B	Int./Div.			Sold	08/28/18	K	C	
26. Andeavor	A	Int./Div.			Sold	09/05/18	K	C	
27. UNT AAM Global Covered Call and Income	A	Int./Div.	K	T					
28. UNT AAM Tactical Income	A	Int./Div.	K	T					
29. UNT AAM American Renaissance CIL 216	B	Int./Div.			Sold	10/24/18	K	C	
30. UNT Guggenheim Closed-end Equity and Income	A	Int./Div.	K	T					
31. Snapchat, Inc.	A	Dividend	J	T					
32. UNT First Trust Biotechnology	A	Dividend	K	T	Buy	10/24/18	K		
33. Morgan Stanley Inv. Acc't									
34. UNT AAM Global Tech/151	A	Int./Div.			Sold	05/07/18	K	A	

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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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35. UNT AAM Global Basic Materials 15-1	A	Int./Div.			Sold	07/17/18	J	A	
36. UNT Guggenheim Health Care 21	B	Int./Div.	J	T					
37. UNIT Guggenheim European High Dividend 7	A	Int./Div.			Sold	12/26/18	J	A	
38. UNT Guggenheim Healthcare 24	A	Int./Div.	J	T	Buy	06/07/18	J		
39. UNT Invesco Policy Opp. 2018	A	Int./Div.	K	T	Buy	05/07/18	K		

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

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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/ Susan V. Kelley**

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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