

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) Rucker, Shelley D.	2. Court or Organization United States Bankruptcy Court, E.D. Tenn.	3. Date of Report 05/15/2019
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 01/01/2018 to 12/31/2018
7. Chambers or Office Address Historic U.S. Courthouse 31 E. 11th Street Chattanooga, Tennessee 37402		
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.)*

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. 2018	Girls Preparatory School (Salary)
2. 2018	National Conference of Bankruptcy Judges (Fees for Newsletter Layout Work)
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. National Conference of Bankruptcy Judges	October 29-30, 2018	San Antonio, TX	Attendance at annual meeting	Hotel and Airfare
2. MidSouth Commercial Law Institute	November 29-30, 2018	Nashville, TN	Teaching at seminar	Hotel, Meals, Conference Registration
3. Federal Judicial Center/ National Conference of Bankruptcy Judges	March 13-16, 2018	New Orleans, LA	Attendance at Program	Hotel, Meals and Mileage from FJC
4. Tennessee Bar Association	April 27-29, 2018	Gatlinburg, TN	Teaching at annual bankruptcy forum	Hotel, Meals and Mileage from Tennessee Bar Association
5. Association of Insolvency and Restructuring Advisors	June 13-16, 2018	Nashville, TN	Teaching and Attendance at annual meeting	Hotel and Meals

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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. Suntrust Bank Accounts	A	Interest	M	T					
2. Regions Bank Account (Y)									
3. Fidelity Rollover IRA #1									
4. -Fidelity Freedom 2010 Fund (FFFCX)#	D	Dividend	M	T					
5. -Fidelity Freedom 2030 Fund (FFEX)#	D	Dividend	L	T	Sold (part)	10/24/18	L	D	
6.					Buy (add'l)	11/02/18	K		
7.					Sold (part)	11/21/18	L	E	
8. -Fidelity Freedom 2040 (FFFX)#	D	Dividend	L	T	Buy (add'l)	06/06/18	K		
9.					Buy (add'l)	11/02/18	J		
10.					Sold (part)	11/21/18	K	A	
11. -Fidelity Freedom Select Medical Technology (FSMEX)		None	K	T	Buy (add'l)	06/06/18	K		
12.					Sold (part)	10/24/18	K	C	
13. -Apple Inc. Common Stock	B	Dividend	L	T	Sold (part)	05/04/18	K	E	
14.					Sold (part)	05/14/18	K	E	
15.					Buy (add'l)	11/06/18	K		
16.					Sold (part)	11/23/18	K	D	
17. -Walt Disney Co. Common Stock	A	Dividend	K	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P = \$250,001 - \$500,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	P = \$1,000,001 - \$5,000,000 Q = More than \$5,000,000	M = \$100,001 - \$250,000 R = \$250,001 - \$500,000	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)

18. Twenty-first Century Fox	A	Dividend	J	T	Buy	06/15/18	J		
19. -Fidelity Core money market account	B	Interest	N	T	Spinoff (from line 13)	05/04/18	K		
20.					Spinoff (from line 14)	05/14/18	K		
21.					Merged (with line 8)	06/06/18	K		
22.					Merged (with line 11)	06/06/18	K		
23.					Merged (with line 18)	06/15/18	J		
24.					Spinoff (from line 5)	10/24/18	L		
25.					Spinoff (from line 12)	10/24/18	K		
26.					Merged (with line 6)	11/02/18	K		
27.					Merged (with line 9)	11/02/18	J		
28.					Merged (with line 15)	11/06/18	K		
29.					Spinoff (from line 16)	11/23/18	K		
30.					Spinoff (from line 7)	11/21/18	L		
31.					Spinoff (from line 10)	11/21/18	K		
32.					Distributed (part)	12/07/18	L		
33. -Fidelity Roth IRA Core Account	A	Interest	J	T	Open	12/07/18	J		
34. Northwest Mutual Insurance Co. Whole Life Policy	B	Dividend	L	T					

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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35. Massachusetts Mutual Whole Life Policy	A	Dividend	J	T					
36. Girls Preparatory School 401(a) Plan TIAA CREF									
37. -TIAA Traditional	A	Interest			Merged (with line 41)	09/04/18	K		
38. -CREF Growth R1					Sold	10/22/18	J		
39. -CREF Money Market R1	A	Interest			Spinoff (from line 38)	10/22/18	J		
40.					Distributed	11/26/18	J		
41. Payout Annuity -TIAA Traditional		None	J	T	Buy	09/04/18	K		
42. Girls Preparatory School 403(b) Plan TIAA CREF -									
43. -CREF Money Market Account R1	A	Interest			Distributed	11/26/18	J		
44.					Spinoff (from line 47)	10/22/18	J		
45. -TIAA Traditional	A	Interest			Merged (with line 48)	09/04/18	J		
46. - CREF Growth R1					Distributed (part)	03/12/18	K		
47.		None			Sold	10/22/18	J		
48. -Payout Annuity TIAA Traditional	A	Interest	J	T	Buy	09/04/18	J		
49. Optum Health Savings Account	A	Interest	J	T					
50. AXA Universal Life Insurance Policy	A	Int./Div.	J	T					
51. Fidelity Rollover IRA #2									

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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52. -Apple Inc. Common Stock	B	Dividend	M	T	Sold (part)	01/18/18	L	D	
53.					Buy (add'l)	01/29/18	L		
54.					Buy (add'l)	02/07/18	K		
55.					Buy (add'l)	04/05/18	K		
56.					Sold	05/03/18	N	D	
57.					Buy	06/19/18	L		
58.					Buy (add'l)	11/05/18	L		
59. -Sector SPDR TR SHS BEN INT Industrial					Sold	01/18/18	K	B	
60. -Select Sector SPDR TR SHS BEN INT Materials					Sold	01/18/18	K	B	
61. -Select Sector SPDR TR Consumer					Sold	01/18/18	K	B	
62. Fidelity CORE Account - BNY Mellon Insured Deposit	A	Interest	K	T	Spinoff (from line 52)	01/18/18	L		
63.					Spinoff (from line 59)	01/18/18	K		
64.					Merged (with line 86)	01/03/18	J		
65.					Spinoff (from line 60)	01/18/18	K		
66.					Spinoff (from line 61)	01/18/18	K		
67.					Spinoff (from line 87)	01/16/18	J		
68.					Merged (with line 53)	01/29/18	L		

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69.					Merged (with line 84)	01/23/18	K		
70.					Spinoff (from line 85)	02/06/18	K		
71.					Merged (with line 54)	02/05/18	K		
72.					Spinoff (from line 46)	03/19/18	K		
73.					Merged (with line 55)	04/05/18	K		
74.					Spinoff (from line 56)	05/03/18	N		
75.					Merged (with line 88)	06/04/18	J		
76.					Merged (with line 89)	06/04/18	L		
77.					Merged (with line 90)	06/05/18	L		
78.					Merged (with line 57)	06/19/18	L		
79.					Spinoff (from line 91)	11/05/18	K		
80.					Merged (with line 58)	11/05/18	L		
81.					Merged (with line 92)	07/18/18	L		
82.					Spinoff (from line 40)	12/03/18	J		
83.					Spinoff (from line 43)	12/03/18	J		
84. APTIV PLC Common Stock	A	Dividend			Buy	01/23/18	K		
85.					Sold	02/06/18	K	A	

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86. United Technologies Common Stock	A	Int./Div.			Buy	01/03/18	J		
87.					Sold	01/18/18	J	A	
88. Caesars Entertainment Common Stock	A	Int./Div.	K	T	Buy	06/04/18	J		
89.					Buy (add'l)	06/04/18	L		
90.					Buy (add'l)	06/05/18	L		
91.					Sold (part)	11/05/18	K		
92. Netflix Common Stock		None	K	T	Buy	07/18/18	L		
93.									
94.									
95.									
96.									

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

Line 2 Regions Account is below reportable level. No interest was earned.

Lines 3-12 Fidelity statements regarding the 2010, 2030 and 2040 Funds and the Medical Technology Fund indicated that short term and long term gains were earned on the accounts and were reinvested in units of those funds respectively. These gains are included in year end values. These transactions were part of the management of the fund and I have no further details on what particular transaction within the funds produced the gains. The dividend and or interest income from these funds that was reflected on statements is shown in column B on lines 3-10.

Lines 34-35 Values are cash surrender values.

Lines 36-47 Statements for the Girls Preparatory School 401(A) DC Plan and 403(B) DC Plan do not reflect quarterly dividends earned by the investments composed of CREF Stock and CREF Growth Funds. No information regarding reinvestment of dividends is provided. Only the value of the asset based on the market value at that time is reflected on the quarterly statement. There is no information regarding reinvested dividends, or short or long terms gains reflected in the statements. Therefore, "none" is the response which is indicated in Column B. TIAA Traditional reflects only quarterly interest amounts which have been included in Column B.

Lines 39 and 43 Funds from CREF Money Market Accounts related to 401(A) and 403(D) plans were rolled over into Fidelity IRA #2.

Line 46 Growth Stock was sold at a loss.

Lines 41 and 47 In both the 401(a) TIAA CREF Plan and 403(b) Plan, the annuity contracts in TIAA Traditional were converted to Payout Annuities invested in TIAA Traditional Funds and the first of 10 payments was distributed to participant. The remaining funds remain invested in TIAA Traditional.

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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/ Shelley D. Rucker

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