

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) Schaaf, Gregory R.	2. Court or Organization U.S. Bankruptcy Court, Eastern District of Kentucky	3. Date of Report 04/23/2019
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 01/01/2018 to 12/31/2018
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.)

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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 12

Name of Person Reporting

Schaaf, Gregory R.

Date of Report

04/23/2019

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. 2018	Atlanta International School, Atlanta, Ga; salary
2. 2018	Transylvania University, Lexington, KY; 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. American Bankruptcy Institute	08/22-23/2018	Cincinnati, Ohio	Speaking Engagement MRBS Summer Conference	Hotel; transportation
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 12

Name of Person Reporting

Schaaf, Gregory R.

Date of Report

04/23/2019

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 12

Name of Person Reporting

Schaaf, Gregory R.

Date of Report

04/23/2019

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. Metropolitan Tower Life Insurance Company(whole life) (Note 1)		None	K	T					
3. (H)Retirement Account - No. 1 (risk based)									
4. --Federated Treasury Obligations Fund	A	Dividend	K	T					
5. --FDN		None	K	T	Sold (part)	06/14/18	K	D	
6. --QTEC	A	Dividend	K	T	Sold (part)	06/14/18	J	B	
7. --First Trust Target High Qual Div 16 MO FE RE		None			Matured	01/09/18	M	E	
8. --First Truste Target GLB DIV LDRS 4QTR 16 MO FE RE		None			Matured	01/09/18	M	D	
9. --HYLS	A	Dividend			Sold (part)	06/14/18	J		
10.					Sold	08/16/18	J		
11. --First Trsut Auto'd Quantitative AQA Ser 14		Dividend	L	T					
12. --First Trust Trust Series 15 (FT Div Inc Trust Series 15 Fee Reimb.)	C	Dividend	M	T					
13. --First Trust Sabirient Baker's Dozen Portfolio April 17 Ser	A	Dividend			Matured	05/21/18	M	E	
14. --FTXO	A	Dividend			Buy (add'l)	06/14/18	K		
15.					Sold	09/26/18	L	B	
16. --FIXD	A	Dividend			Sold (part)	06/14/18	J		
17.					Sold	08/17/18	J		

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 = \$25,000,001 - \$50,000,000 (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market

FINANCIAL DISCLOSURE REPORT

Page 5 of 12

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18. -FTSM	A	Dividend			Sold (part)	06/14/18	J	A	
19.					Sold	08/16/18	J	A	
20. -LMBS	A	Dividend			Sold (part)	06/14/18	K		
21.					Sold	08/16/18	K		
22. -FEMB	A	Dividend			Sold (part)	06/14/18	J		
23.					Sold	08/16/18	J		
24. -FTSL	A	Dividend			Sold (part)	06/14/18	K		
25.					Sold	08/16/18	J		
26. -FXL	A	Dividend	K	T	Buy (add'l)	06/14/18	J		
27. -FXH		None	K	T	Buy	11/08/18	L		
28. -FBT		None	K	T	Buy	09/26/18	L		
29. -First Trust Target Gblal Dvd Leaders 1Q 18 Term Fee Reinv	A	Dividend	M	T	Buy	01/12/18	M		
30. -First Trust High Quality Dvd 1Q 18 Fee Reinv	D	Dividend	M	T	Buy	01/12/18	M		
31. -First Trust Portfolio LP AQA Large Cap Portfolio Series Fee Reinvest	A	Dividend	K	T	Buy	08/17/18	K		
32. -First Trust Sabrient Bakers Dozen Portfolio May 2018 Fee R	A	Dividend	L	T	Buy	05/22/18	M		
33. -FXR	A	Dividend			Buy	06/14/18	L		
34.					Sold	11/07/18	L		

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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	
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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 12

Name of Person Reporting

Schaaf, Gregory R.

Date of Report

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35. [(H)End Retirement Account - No. 1]									
36. (H)Investment Account - No. 1									
37. -CSCO	A	Dividend	J	T					
38. -FDN		None	K	T					
39. -QTEC	A	Dividend	K	T					
40. -FTXO	A	Dividend			Sold	09/27/18	J	A	
41. -FXR	A	Dividend			Sold	11/08/18	J		
42. -FXL	A	Dividend	J	T					
43. -FXH		None	J	T	Buy	11/08/18	J		
44. -FBT		None	J	T	Buy	09/28/18	J		
45. -Standard Bank (temporary account)	A	Interest	J	T					
46. [(H)End Investment Account - No. 1]									
47. (H)Retirement Account - No. 2									
48. -TIAA Trad'l	B	Interest	K	T					
49. -CREF Stock	A	Interest			Merged (with line 53)	06/26/18	L		
50. -TIAA Real Estate	A	Interest			Merged (with line 53)	06/26/18	J		
51. -CREF Int'l Linked Bond		None			Merged (with line 53)	06/26/18	J		

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FINANCIAL DISCLOSURE REPORT

Page 7 of 12

Name of Person Reporting

Schaaf, Gregory R.

Date of Report

04/23/2019

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52. -CREF Money Market Account R1	A	Interest			Merged (with line 53)	06/26/18	J		
53. T-C Lfeyle Idx Rtmt [Note 3]		None	M	T	Open	06/26/18	M		
54.					Buy (add'l)	12/31/18	J		
55. [(H)End Retirement Account - No. 2]									
56. (H)Investment Account - No. 2									
57. -VFIAX	B	Dividend	L	T	Sold (part)	06/22/18	J	D	
58. -VEXAX	A	Dividend	L	T	Sold (part)	06/22/18	J	B	
59. -VMMXX	A	Dividend			Closed	06/25/18	K		
60. -VBTLX	B	Dividend			Sold	06/22/18	M	E	
61. -VTIAX	A	Dividend			Sold	06/22/18	L	D	
62. -ARKK		None	J	T	Buy	06/25/18	J		
63. -FVD	A	Dividend	J	T	Buy	06/28/18	J		
64. -FXH		None	J	T	Buy	11/23/18	J		
65. -FBT		None	J	T	Buy	06/25/18	J		
66. -FTCS	A	Dividend	J	T	Buy	06/25/18	J		
67.					Buy (add'l)	12/21/18	J		
68. -FDN		None	J	T	Buy	06/25/18	J		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 12

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Schaaf, Gregory R.

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69. -FXO	A	Dividend	J	T	Buy	06/25/18	J		
70.					Buy (add'l)	12/27/18	J		
71. -QTEC	A	Dividend	J	T	Buy	06/25/18	J		
72. -RDVY	A	Dividend	J	T	Buy	06/25/18	J		
73. -FXL	A	Dividend	J	T	Buy	06/25/18	J		
74. -SPLV	A	Dividend	J	T	Buy	12/21/18	J		
75.					Buy (add'l)	12/27/18	J		
76. -IJR	A	Dividend	J	T	Buy	06/25/18	J		
77. -IHI	A	Dividend	J	T	Buy	06/25/18	J		
78. -XAR	A	Dividend	J	T	Buy	06/25/18	J		
79. -BIICX	A	Dividend	J	T	Buy	06/25/18	J		
80. -SBLYX	A	Dividend	J	T	Buy	06/28/18	J		
81. -HLIEX	A	Dividend	J	T	Buy	06/28/18	J		
82. -JNBAX	A	Dividend	J	T	Buy	06/25/18	J		
83. -JSOSX	A	Dividend	J	T	Buy	06/25/18	J		
84. -JVASX	A	Dividend	J	T	Buy	12/21/18	J		
85. -GLIFX	A	Dividend	J	T	Buy	06/25/18	J		

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 9 of 12

Name of Person Reporting

Schaaf, Gregory R.

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86.					Buy (add'l)	06/28/18	J		
87. -MFAIX		None	J	T	Buy	12/21/18	J		
88. -PXWIX	A	Dividend	J	T	Buy	07/02/18	J		
89. -PRJZX		None	J	T	Buy	06/28/18	J		
90. -PDBZX	A	Dividend	J	T	Buy	07/02/18	J		
91. -TRBCX		None	J	T	Buy	06/25/18	J		
92.					Buy (add'l)	06/28/18	J		
93. -PKSEFX	A	Dividend	J	T	Buy	06/29/18	J		
94. -WACPX	A	Dividend	J	T	Buy	07/02/18	J		
95. -DWXH		None			Buy	06/25/18	J		
96.					Buy (add'l)	06/25/18	J		
97.					Sold	12/21/18	J	B	
98. [(H)End Investment Account - No. 2]									
99. Community Trust Bank	A	Interest	K	T					
100. (H)Investment Account - No. 3									
101. -Oppenheimer Steelpath MLP Income Fund A (MLPDX) (Note 2)	B	Dividend	J	T					
102. -Oppenheimer Global Opportunities Fund Class A (OPGIX) (Note 2)		None	J	T	Buy	12/31/18	J		

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FINANCIAL DISCLOSURE REPORT

Page 10 of 12

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103. [(H)End Investment Account - No. 3]									
104. PNC Bank	A	Interest	J	T					
105. Metropolitan Tower Life Insurance Company (Whole Life) (Note 1)		None	J	T					
106.									
107.									

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
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FINANCIAL DISCLOSURE REPORT

Page 11 of 12

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Schaaf, Gregory R.

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04/23/2019

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

Note 1: Part VII, Lines 2, 105. Policy taken over from General American Life through a merger.

Note 2: Part VII, Lines 100-103. The monthly dividends from MLPDX are reinvested monthly in OPGIX. The amounts are \$161.28 each month beginning January. Based on the small amount each month, I aggregated on an annual basis. There are no dividends for the new second Oppenheimer account.

Note 3. Part VII, Lines 53-54. Contributions from the employer and employee into this investment per payperiod are aggregated on an annual basis on line 54. Contemporaneously with becoming eligible to participate in the new employers' retirement plan, several of the investment accounts were consolidated into the investment on line 53. The designation "merger" was used to show the transfer of funds.

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

Schaaf, Gregory R.

Date of Report

04/23/2019

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
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