

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) Volk, Frank W.	2. Court or Organization United States Bankruptcy Court, Southern District of W. Va.	3. Date of Report 05/13/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. 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 Frank W. Volk, United States Bankruptcy Judge United States Bankruptcy Court 300 Virginia Street East, Room 6408 Charleston, WV 25301		
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.		
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.)*

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.	
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.				
2. IWIRC/TMA	April 12 to April 13, 2018	Atlanta, Georgia	Panel speaker	Transportation and meal.
3. American Bankruptcy Institute	August 21 to 23, 2018	Cincinnati, Ohio	Panel speaker	Transportation, meals and lodging.
4. National Conference of Bankruptcy Judges	October 27 to 31, 2018	San Antonio, Texas	Attendee and panel speaker	Transportation, meals and lodging.
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. Fifth Third Bank Accounts	A	Interest	L	T					
2. Charleston Federal Credit Union	A	Interest	J	T					
3. Hartford Funds (Smart 529) Age-Based Portfolios		Dividend	J	T					
4. Hartford Funds (Smart 529) Age-Based Portfolio		Dividend	L	T					
5. TRANSCANADA USA (46840)	A	Dividend	M	T					
6. FID Growth Co Pool	A	Dividend	L	T					
7. VANG INST TR 2035	A	Dividend	K	T					
8. FID 500 INDEX INST	A	Dividend	K	T					
9. VANG VMMR-FED MMKT	A	Int./Div.	J	T					
10. Dominion Res. Inc. Va. New (Brokerage #1)	B	Dividend	K	T					
11. Travelers Companies Inc. (Brokerage #1)	A	Dividend	K	T					
12. Travelers Companies Inc. (Brokerage #2)	B	Dividend	L	T					
13. AEP (Brokerage #2)	A	Dividend	J	T					
14. AT&T (Brokerage #2)	A	Dividend	J	T					
15. BP PLC SPONSORED ADR (Brokerage #2)	A	Dividend	J	T					
16. Dominion Resources Inc. New (Brokerage #2)	B	Dividend	K	T					
17. Emerson Electric Co. (Brokerage #2)	A	Dividend	J	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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

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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. Exelon Corp. (Brokerage #2)	A	Dividend	K	T					
19. Exxon Mobil Corp. (Brokerage #2)	B	Dividend	K	T					
20. Southern Co. (Brokerage #2)	A	Dividend	J	T					
21. Franklin Income Fund CL A (Brokerage #2)	A	Dividend	J	T					
22. Travelers Companies Inc. (Brokerage #2) Common Stock	A	Dividend	J	T					
23. Travelers Companies Inc. (Brokerage #2) Common Stock	A	Dividend	J	T					
24. Travelers Companies Inc. (Brokerage #2) Common Stock	A	Dividend	J	T					
25. TransCanada Retirement Plan (Defined Bfl. Cash Balance Pension)	B	Interest	K	T					
26.									
27.									
28.									
29.									
30.									
31.									

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(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	
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(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	
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3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part V. I have not included scholarships to my children by the State of West Virginia or its institutions based upon my understanding of the Judiciary Gift Regulations found in Volume II, Part C, Chapter 6 of the Guide to Judiciary Policy.

Part VII. My [REDACTED] former employer was a merged company composed of Nisource and Columbia Energy Group. [REDACTED] left that employment around the turn of the century. In 2015, the merged company split into Nisource and Columbia Pipeline Group and, in 2016, Columbia Pipeline Group was acquired by TransCanada.

Part VII. Due to the merger transactions described above, my [REDACTED] former account in the Columbia Retirement Plan (Defined Bft. Cash Balance Pension) has now changed to a TransCanada account of a similar character. I was informed by the representative with whom I spoke in a prior year, however, that the balance and earnings on the account are something to which [REDACTED] does not have access and that those figures would need to be prepared by hand and sent to us in a letter. Extrapolating beyond the balance from last reporting period, and the low earnings rate, I have estimated the value and earnings of the account and will amend the report if necessary.

Part VII. The Smart 529 Plans were commenced over a decade ago, one for each [REDACTED]. The Hartford only provides income information for the life of the investment. The Hartford will not break it down for me by year, although I lodged a special request that it do so. I am thus left with little option to leave the income column blank. Please advise if the Committee desires the statements of account.

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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/ **Frank W. Volk**

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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