

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) WISE, TRACEY N.	2. Court or Organization U.S. BANKRUPTCY COURT, EASTERN DISTRICT OF KENTUCKY	3. Date of Report 05/03/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) UNITED STATES BANKRUPTCY JUDGE, ACTIVE	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 300 COMMUNITY TRUST BUILDING 100 EAST VINE STREET LEXINGTON, KY 40507		
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	Angelucci Acoustical, Inc. - Construction
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. Association of Insolvency and Restructuring Advisors (AIRA)	6/13-6/15/18	Nashville, TN	Presenter at Seminar	Travel and meals
2. American Bankruptcy Institute (ABI)	3/4-3/6/18	New York, NY	Served as judge for National Moot Court Competition	Travel and meals
3. National Conference of Bankruptcy Judges (NCBJ)	10/27-10/31/18	San Antonio, TX	Presenter at Seminar	Travel
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.	Central Bank & Trust Co	Mortgage Loan - Rental Property	L
2.	Trustmark National Bank	Mortgage Loan - Rental Property	L
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. Central Bank & Trust Co. (Checking)	A	Interest	J	T					
2. Central Bank & Trust Co. (Money Market)	A	Interest	L	T					
3. UBS Financial Services (Money Market)	C	Int./Div.	N	T					
4. - Ishares Core S&P 500 ETF	A	Int./Div.	J	T	Sold (part)	01/10/18	J	B	
5.					Sold (part)	01/23/18	J	A	
6. - Ishares Russell 1000 ETF	A	Int./Div.	J	T	Sold (part)	01/10/18	J	B	
7.					Sold (part)	01/23/18	J	A	
8. - Ishares Russell 2000 ETF	A	Int./Div.	J	T					
9. - Ishares Core S&P MidCap ETF	A	Int./Div.	J	T	Sold (part)	01/10/18	J	A	
10. - Ishares U.S Financial Services ETF	A	Int./Div.	J	T	Sold (part)	04/30/18	J	B	
11. - Technology Select Sector SPDR ETF	A	Int./Div.	J	T	Sold (part)	01/10/18	J	B	
12. - Vanguard Real Estate ETF fka Vanguard REIT ETF	A	Int./Div.	J	T	Sold (part)	01/10/18	J	A	
13. - Vanguard Short-term Inflation Protected SEC Index FD ETF	A	Int./Div.			Sold	04/30/18	J	A	
14. - DOUBLELINE CORE FIXED INCOME FUND CLASS I	A	Int./Div.	J	T					
15. - VANGUARD TOTAL WORLD STK ETF	A	Int./Div.	J	T					
16. - ISHARES MSCI EAFE ETF	A	Int./Div.	K	T	Sold (part)	01/10/18	J	A	
17. - VANGUARD TOTAL INTL BOND ETF	A	Int./Div.	J	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 P3 = \$250,000.01 - \$500,000.00	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	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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18. - VANGUARD TOTAL BOND MKT ETF	A	Int./Div.			Sold (part)	04/30/18	J	A	
19.					Sold	11/13/18	J	A	
20. - ISHARES SHORT-TERM CORP BOND FKA ISHARES 1-3 YEAR CREDIT BOND ETF	A	Int./Div.			Sold (part)	02/01/18	J	A	
21.					Sold	03/02/18	J	A	
22. - SPDR BLOOMBERG BARCLAYS LONG TERM TREAS ETF	A	Int./Div.			Merged (with line 29)	01/01/18	J		
23. - VANECK VECTORS AMT-FREE INTER MUNICIPAL INDEX ETF	A	Int./Div.			Sold (part)	11/08/18	J	A	
24.					Sold	11/09/18	J	A	
25. - ISHARES NASDAQ BIOTECHNOLOGY ETF	A	Int./Div.			Sold	04/30/18	J	A	
26. - VANGUARD FTSE EUROPE ETF	A	Int./Div.			Sold	06/26/18	J	A	
27. - VANGUARD FTSE EMERGING MARKETS ETF	A	Int./Div.			Sold	12/31/18	J	A	
28. - ISHARES SILVER TRUST ETF	A	Int./Div.			Sold	11/06/18	J	A	
29. - SPDR PORTFOLIO LONG TERM TREAS ETF TREAS ETF	A	Int./Div.			Sold	03/02/18	J	A	
30. - THE FIDELITY MSCI INDUSTRIALS INDEX ETF	A	Int./Div.	J	T	Buy	06/26/18	J		
31. - VANGUARD FTSE DEVELOPED MKT ETF	A	Int./Div.			Buy	01/23/18	J		
32.					Sold (part)	04/30/18	J	A	
33.					Sold	12/31/18	J	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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34. - VANGUARD SHORT-TERM BOND ETF	A	Int./Div.	J	T	Buy	03/02/18	J		
35. - GOLDMAN SACHS HIGH YIELD MUNICIPAL FUND	A	Int./Div.	J	T	Buy	03/02/18	J		
36. - VANGUARD CORE BOND FUND CLASS ADMIRAL	A	Int./Div.	J	T	Buy	11/13/18	J		
37. - VANGUARD INFLATION PROTECTED SECURITIES	A	Int./Div.			Buy	02/01/18	J		
38.					Sold	12/31/18	J	A	
39. - VANGUARD INTERMEDIATE TERM TAX EXEMPT FUND ADMIRAL	A	Int./Div.	J	T	Buy	11/08/18	J		
40.					Buy (add'l)	11/09/18	J		
41. - ISHARES GOLD TRUST ETF	A	Int./Div.	J	T	Buy	12/18/18	J		
42. - ALERIAN MLP ETF	A	Int./Div.			Buy	01/23/18	J		
43.					Sold	03/28/18	J	A	
44. - FIRST EAGLE GOLD FUND CLASS I	A	Int./Div.			Buy	11/06/18	J		
45.					Sold	12/18/18	J	A	
46. - FIRST TR NORTH AMERICAN ENERGY INFRAStructure	A	Int./Div.			Buy	03/28/18	J		
47.					Sold	04/30/18	J	A	
48. - VANGUARD FTSE ALL WORLD EX-US ETF	A	Int./Div.			Buy	01/23/18	J		
49.					Sold	04/30/18	J	A	
50. - ISHARES FACTORSELECT MSCI EMERGING ETF	A	Int./Div.	J	T	Buy	12/31/18	J		

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51. - ISHARES EDGE MSCI MULTIFACTOR INTL ETF	A	Int./Div.	J	T	Buy	12/31/18	J		
52. - VANGUARD SHRT-TERM INFL-PROT SEC IDX FD	A	Int./Div.	J	T	Buy	12/31/18	J		
53. UBS Financial Services (Traditional IRA fka SEP IRA)	E	Int./Div.	O	T					
54. - Ishares Core S&P 500 ETF (fka Ishares Trust S&P)	B	Int./Div.	M	T	Sold (part)	01/23/18	K	D	
55. - Ishares Russell 2000 ETF (fka Ishares Trust Russell 2000 Index)	A	Int./Div.	K	T					
56. - Ishares Core S&P MidCap ETF (fka Ishares Trust Mi)	B	Int./Div.	L	T					
57. - Ishares MSCI EAFE Small Cap ETF (fka Ishares MSCI EAFE Small Cap)	A	Int./Div.	J	T					
58. - Vanguard Real Estate ETF fka Vanguard REIT ETF	A	Int./Div.	J	T					
59. - Vanguard FTSE Emerging Markets ETF (fka Vanguard MSCI Emerging)	A	Int./Div.	K	T					
60. - Ishares Russell 1000 ETF (fka Ishares Trust Russell 1000 Index)	A	Int./Div.	J	T	Sold (part)	01/23/18	J	A	
61. - Ishares U.S. Financial Services ETF (fka Ishares Trust Dow Jones)	A	Int./Div.	K	T					
62. - Technology Select Sector SPDR ETF	A	Int./Div.	K	T					
63. - VANGUARD TOTAL WORLD STK ETF	A	Int./Div.	K	T					
64. - ISHARES U.S. ENERGY ETF	A	Int./Div.			Sold	01/23/18	K	C	
65. - ISHARES CORE MSCI EAFE ETF	B	Int./Div.	K	T					
66. - ISHARES CORE U.S. AGGREGATE BOND ETF	C	Int./Div.	M	T					
67. - VANGUARD TOTAL INTL BON FD ETF CL	B	Int./Div.	K	T					

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68. - VANGUARD TOTAL BOND MKT ETF	C	Int./Div.	M	T					
69. - VANGUARD SHORT-TERM BOND ETF	B	Int./Div.	L	T	Sold (part)	02/02/18	K	A	
70. - ISHARES 20+ YEAR TREAS BON ETF	A	Int./Div.			Sold	03/02/18	K	A	
71. - ISHARES NASDAQ BIOTECHNOLOGY ETF	A	Int./Div.	J	T					
72. - VANGUARD FTSE EUROPE ETF	A	Int./Div.			Sold	06/26/18	J	A	
73. - FIRST TR NORTH AMERICAN ENERGY INFRASTRUCTURE FD ETF	A	Int./Div.	J	T	Buy	03/28/18	J		
74. - THE FIDELITY MSCI INDUSTRIALS INDEX ETF	A	Int./Div.	J	T	Buy	06/26/18	J		
75. - VANGUARD FTSE ALL WORLD EX- US ETF	A	Int./Div.	K	T	Buy	01/23/18	K		
76. - VANGUARD FTSE DEVELOPED MKT ETF	A	Int./Div.	J	T	Buy	01/23/18	J		
77. - ISHARES 1-3 YR TREAS BOND ETF	A	Int./Div.	K	T	Buy	12/06/18	K		
78. - VANGUARD INFLATION PROTECTED SECURITIES FUND ADMIRAL	A	Int./Div.	K	T	Buy	02/02/18	K		
79. - ALERIAN MLP ETF	A	Int./Div.			Buy	01/23/18	K		
80.					Sold	03/28/18	J	A	
81. - VANGUARD HIGH YIELD CORPORATE FUND ADMIRAL	A	Int./Div.			Buy	03/02/18	K		
82.					Sold	12/06/18	K	A	
83. Merrill Lynch - Angelucci Acoustics Inc SEP	D	Int./Div.	L	T					
84. - American Growth Fund of America Cl A	A	Int./Div.	K	T					

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85. - American AMCAP Fund CI A	A	Int./Div.	K	T					
86. - Blackrock Global Allocation FD Inc A	A	Int./Div.	J	T					
87. - Blackrock ADV U.S. TTL Market FD, Inc. CI A fka Blackrock Global	A	Int./Div.	K	T					
88. Rental Property, Shelbyville, Shelby County, KY	D	Rent	M	W					
89. Rental Property, Lexington, Fayette County, KY	D	Rent	M	W					
90. Poppin Angels LLC		None	J	T					
91. Jackson National Life Insurance Company (Fixed Annuity)	A	Interest	N	T					
92. JPMorgan Chase Bank, N.A. (Savings)	A	Interest	J	T					
93. Poppin, Inc.		None	J	T					
94. UBS 529 Plan #1	A	Int./Div.	J	T					
95. - College America 529 The Investment Copmany of America - ICA C	A	Int./Div.	J	T					
96. UBS 529 Plan #2	A	Int./Div.	J	T					
97. - CollegeAmerica 529 Funds College 2033 A	A	Int./Div.	J	T					

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

VII. There were some minor fund name changes.

VII. There was a name change on a fund in 2017 and the fund was duplicated under UBS Financial Services (Money Market) - SPDR Bloomberg & SPDR Portfolio are the same. Listed as Merge.

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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/ TRACEY N. WISE

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