

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Preston, C. Kathryn	2. Court or Organization Bankruptcy Court, S.D. Ohio	3. Date of Report 08/08/2016
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 01/01/2015 to 12/31/2015
7. Chambers or Office Address U.S. Bankruptcy Court 170 North High Street Columbus, Ohio 43215		
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.	1991	Huntington Bancshares Retirement Plan - former Employer; no control - Opinion of Committee on Code of Conduct obtained. (See Part VIII).
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.		
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. 2015	Ohio Police & Fire Pension Fund (retirement benefits)
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.	Columbus Bar Association Bankruptcy Law Institute	May 7, 2015	Columbus, OH	Speaker	Parking
2.	Cincinnati Bar Assoc; Bankruptcy Institute	December 17, 2015	Cincinnati, OH	Bankruptcy Seminar	Travel Expenses, parking
3.	Credit Education Coalition	October 9, 2015	Columbus, OH	Bankruptcy Seminar	Tuition, Meals
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. Huntington National Bank	Mortgage on Rental Prop. #1, Cape Coral, FL. (Pt. VII, line 1)	L
2. Huntington National Bank	Second Mortgage/Personal Credit Line, Rental Prop. #1 Cape Coral, FL. (Pt. VII, line 1)	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. Rental Property #1, Cape Coral, FL (Purchased 2005 \$679,900)	E	Rent	O	R					
2. Investment Property, N. Captiva Island, FL		None	M	W					
3. Huntington National Bank Accounts	A	Interest	M	T					
4. Bank of America Accounts	A	Interest	K	T					
5. Fifth Third Bank Account	A	Interest	J	T					
6. Chase Bank Accounts	A	Interest	K	T					
7. Preston Family Trust -income beneficiary (H)									
8. -Ashland, Inc. ("ASH")- stock	A	Dividend	J	T					
9. -AT&T, Inc. f/k/a SBC Communications- stock (Y)	A	Dividend			Sold	03/06/15	K	D	
10. -Chubb Corp (CB") -stock	A	Dividend	K	T					
11. -Cisco Systems, Inc. -stock (Y)	A	Dividend			Sold	03/06/15	J	C	
12. -Conoco Philips ("COP") - stock	B	Dividend	K	T					
13. -Denison Mines Corp. - stock (Y)		None			Sold	03/09/15	J	A	
14. -Dollar General Corp. ("DG") - stock		None	K	T	Buy	12/29/15	K		
15. -EMC Corp. - stock (Y)	A	Dividend			Sold	08/26/15	J	B	
16. - Essex Property Trust Inc. ("ESS") - stock (see Part VIII)	A	Dividend	K	T					
17. - First Trust Health Care AlphaDex Fund ETF ("FXH") -shares		None	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 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 \$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	

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18. -Frontier Communications Corp. - stock (Y)		None			Sold	03/06/15	J	A	
19. -General Dynamics Corp. ("GD") -stock	A	Dividend	J	T					
20. - Gilead Sciences Inc. -stock (Y)		None			Sold	04/02/15	J	A	
21. -Heartland Express, Inc.- stock (Y)	A	Dividend			Sold	08/21/15	K	A	
22. -M&T Bank Corporation ("MTB") -stock	A	Dividend	K	T					
23. - Van Eck Vectors Pharm ETF fka Market Vectors ("PPH") -Shares	A	Dividend	K	T					
24. -Merck & Co., Inc. - stock (Y)	A	Dividend			Sold	03/06/15	J	C	
25. -Microsoft Corp. - stock (Y)	A	Dividend			Sold	03/06/15	J	B	
26. Powershares QQQ ETF ("QQQ") -shares (X)	A	Dividend	K	T	Buy	08/25/15	L		
27.					Sold (part)	12/29/15	K	B	
28. -Raytheon Co. -stock (Y)	A	Dividend			Sold	08/21/15	K	D	
29. SPDR S & P 500 ETF ("SPY") - shares (X)	A	Dividend	L	T	Buy	08/26/15	L		
30. -Southern Co.("SO") -stock	A	Dividend	J	T					
31. -Tupperware Corp. ("TUP") - stock	A	Dividend	J	T					
32. -Verizon Communications ("VZ") -stock	A	Dividend	K	T					
33. -Walmart Stores, Inc. - stock (Y)	A	Dividend			Sold	04/02/15	J	C	
34. -Whirlpool Corp. ("WHR") - stock	A	Dividend	J	T					

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35. - Suntrust Investment Services Inc. Money Market	A	Int./Div.	J	T					
36. -Farm Property (127.92 acres) Jasper Co., IA	E	Rent	N	W					
37. Huntington Bancshares Pension Plan (see Part VIII)		None	M	V					
38. Hartford Life Ins. Policy		None	K	T					
39. - American Funds Ins. Asset Alloc. Fund (see Part VIII)			J	T					
40. - American Funds Ins. Bond Fund (see Part VIII)			J	T					
41. -American Funds Ins. Growth Income Fund (see Part VIII)			J	T					
42. -Franklin Templeton Mutual Shares Security Fund (see Part VIII)			J	T					
43. -Fidelity VIP Contra Fund Portfolio (see Part VIII)			J	T					
44. -Fidelity VIP Mid Cap Portfolio (see Part VIII)			J	T					
45. - HLS Int'l Opport. Fund (see Part VIII)			J	T					
46. -Oppenheimer Global Securities Fund (see Part VIII)			J	T					
47. -INV VK Comstock (see Part VIII)			J	T					
48. Brokerage Account #1 (H)									
49. - Exxon Mobile Corp. - common stock (Y)	A	Dividend			Sold	02/27/15	J	C	
50. -Express Scripts Holding Co.- common stock (X)	A	Dividend	J	T	Buy	03/19/15	J		
51. -IBM -stock	A	Dividend	J	T					

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52. - Proctor & Gamble Co. - common stock	A	Dividend	J	T					
53. - United Technologies Corp. - stock	A	Dividend	J	T					
54. Verizon Communications -common stock (X)	A	Dividend	J	T	Buy	03/19/15	J		
55. - Walt Disney Co. -stock	A	Dividend	J	T					
56. -Fed OH Muni Income Fund	A	Int./Div.	J	T					
57. Brokerage Account #2 (H)									
58. - American Balanced Fund - Class A Bonds (see Part VIII)	C	Dividend	L	T					
59. -American Europacific Growth Fund - Class A Bonds (see Part VIII)	A	Dividend	K	T	Buy (add'l)	01/08/15	J		
60.					Buy (add'l)	02/09/15	J		
61.					Buy (add'l)	03/09/15	J		
62.					Buy (add'l)	04/09/15	J		
63.					Buy (add'l)	05/07/15	J		
64.					Buy (add'l)	06/09/15	J		
65.					Buy (add'l)	07/09/15	J		
66.					Buy (add'l)	08/07/15	J		
67.					Buy (add'l)	09/10/15	J		
68.					Buy (add'l)	10/08/15	J		

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69.					Buy (add'l)	11/09/15	J		
70.					Buy (add'l)	12/09/15	J		
71. - American Growth Fund of America - Class A Bonds (see Part VIII)	D	Dividend	L	T					
72. IRA # 1 (H)									
73. -ABALX - Class A Bonds (see Part VIII)	D	Dividend	L	T					
74. -ABNDX - Class A Bonds (see Part VIII)	B	Dividend	L	T					
75. -AEPGX - Class A Bonds (see Part VIII)	A	Dividend	K	T					
76. -AGTHX -Class A Bonds (see Part VIII)	D	Dividend	L	T					
77. -AHITX - Class A Bonds (see Part VIII)	B	Dividend	K	T					
78. -AIVSX - Class A Bonds (see Part VIII)	D	Dividend	L	T					
79. -AMECX - Class A Bonds (see Part VIII)	C	Dividend	L	T					
80. -CWGIX - Class A Bonds (see Part VIII)	B	Dividend	L	T					
81. -NEWFX - Class A Bonds (see Part VIII)	B	Dividend	K	T					
82. -SMCWX - Class A Bonds (see Part VIII)	B	Dividend	K	T					
83. IRA # 2 (H)									
84. - Dodge & Cox Bal. Fund -Shares (see Part VIII)	A	Dividend	J	T					
85. - Hershey Foods Corp. - stock	A	Dividend	J	T					

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86. Investment Accounts (as Custodian for minor relatives) (H)									
87. - CAIBX - Class A Bonds (see Part VIII)	A	Dividend			Sold	11/13/15	J	A	
88. - American Funds Money Market Account (X)			J	T	Open	11/13/15	J		
89. WG Holding Co., LLC		None	J	W					
90. Rum Cove, LLC	D	Distribution	N	W					
91. -Rental prop N.Captiva Isl, FL(purchased 2011 \$350,000)			O	W					
92. -Personal property attendant to rental property			K	W					
93. IRA #3 (Spouse) (H)									
94. - Edward Jones Cash Account	A	Interest	J	T					
95. - AMCPX - Class A Bonds	C	Dividend	K	T					
96. - ABALX - Class A Bonds	C	Dividend	K	T					
97. - AHITX - Class A Bonds	B	Dividend	K	T					
98. - CAIBX - Class A Bonds	B	Dividend	K	T					
99. - CWBFX - Class A Bonds	A	Dividend	K	T					
100. - CWGIX - Class A Bonds	A	Dividend	K	T					
101. - ANCFX - Class A Bonds	C	Dividend	K	T					
102. - AMECX - Class A Bonds	B	Dividend	K	T					

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103. - AIVSX - Class A Bonds	C	Dividend	K	T					
104. - PGBOX - Class A Bonds	B	Dividend	L	T					
105. - ONIAX - Class A Bonds	B	Dividend	L	T					
106. - OIEIX - Class A Bonds	B	Dividend	L	T					
107. - VHIX - Class A Bonds	C	Dividend	L	T					
108. - OHYAX - Class A Bonds	C	Dividend	L	T					
109. - JFEAX - Class A Bonds	A	Dividend	L	T					
110. - JCMAX - Class A Bonds	C	Dividend	L	T					
111. - OMBAX - Class A Bonds	B	Dividend	L	T					
112. - ANEFX - Class A Bonds	C	Dividend	K	T					
113. - ANWPX - Class A Bonds	C	Dividend	K	T					
114. - SMCWX - Class A Bonds	C	Dividend	L	T					
115. Brokerage Account #3 (X) (see Part VIII) (H)									
116. - CAIBX - Class A Bonds (X) (see Part VIII)	A	Dividend	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 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 \$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	

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Name of Person Reporting

Preston, C. Kathryn

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

Part II Line 1 - Retirement plan of former employer; I have no control; I will receive retirement annuity upon reaching retirement age. I obtained the opinion of the Committee on Codes of Conduct on 9-27-06; They found that a conflict exists and directed that in actions involving Huntington (1) the parties must be notified of the conflict and that I am disqualified from presiding, and (2) the parties may be offered an opportunity to waive the conflict.

Part VII Line 16- This asset was previously listed as Essex Property Trust Inc. Com. The new name is simply a correction. No transaction has taken place.

Part VII Line 37 - The value of my interest in the Huntington Bancshares Retirement Plan is determined by calculation of the present value of the anticipated future benefits. The calculation is performed by Huntington or its administrative service provider.

Part VII Line 39-47 - I do not have income from these investments, because the asset is an insurance policy not securities.

Part VII Line 58, 59, 71, 73-82, 84, 87, 95-114 - Income includes capital gains distributions.

Part VII Line 115 and 116 - This account was inadvertently left off the 2014 Financial Disclosure Report. This account (Line 115) was initially a custodial account held by me as custodian for a minor relative; the account was converted to a joint investment on 11/13/14 after the relative reached the age of majority. The assets in this account (Line 116) were not purchased but rather were already in that account when it converted to an investment account.

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Name of Person Reporting

Preston, C. Kathryn

Date of Report

08/08/2016

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/ C. Kathryn Preston**

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