

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 07/26/2017
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 01/01/2016 to 12/31/2016
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.)*

<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. 2016	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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. National Conference of Bankruptcy Judges	10/25/16-10/28/16	San Francisco, CA	Activity of professional assoc or civic organization	Travel
2.				
3.				
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.	Federal Direct Unsubsidized/Ford Loans	Student Loan	K
3.	Trustmark National Bank	Mortgage Loan - Rental Property	L
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	M	T					
3. UBS Financial Services Account									
4. - Money Market Cash Account	A	Int./Div.	J	T					
5. - Ishares Core S&P 500 ETF	A	Int./Div.	K	T					
6. - Ishares Russell 1000 ETF	A	Int./Div.	K	T					
7. - Ishares Russell 2000 ETF	A	Int./Div.	K	T					
8. - Ishares Core S&P MidCap ETF	A	Int./Div.	K	T					
9. - Ishares U.S Financial Services ETF	A	Int./Div.	J	T					
10. - Technology Select Sector SPDR ETF	A	Int./Div.	J	T					
11. - Vanguard REIT ETF	A	Int./Div.	J	T					
12. - Vanguard Health Care ETF	A	Int./Div.	J	T					
13. - Vanguard Short-term Inflation Protected SEC Index FD ETF	A	Int./Div.	J	T					
14. - DOUBLELINE CORE FIXED INCOME FUND CLASS I	A	Int./Div.	J	T					
15. - BLACKROCK GLOBAL LONG/SHORT CREDIT FUND I	A	Int./Div.			Sold	06/17/16	J	A	
16. - VANGUARD TOTAL WORLD STK INDEX FD ETF	A	Int./Div.	J	T					
17. - ISHARES NATIONAL MUNI BOND ETF	A	Int./Div.			Sold	12/07/16	K	A	

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 = \$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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☐ 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. - ISHARES U.S. ENERGY ETF	A	Int./Div.	J	T					
19. - ISHARES MSCI EAFE ETF	A	Int./Div.	K	T					
20. - ISHARES EDGE MSCI MIN VOL EMERGING MARKETS ETF	A	Int./Div.	J	T					
21. - VANGUARD LARGE-CAP ETF	A	Int./Div.			Sold	05/11/16	J	A	
22. - PIMCO ENHANCED SHORT MATURITY ACTIVE EXCHANGE- TRADED FD	A	Int./Div.			Sold	01/15/16	J	A	
23. - VANGUARD TOTAL INTL BOND ETF	A	Int./Div.	J	T					
24. - VANGUARD TOTAL BOND MKT ETF	A	Int./Div.	K	T	Buy	01/04/16	K		
25. - VANGUARD SHORT-TERM BOND ETF	A	Int./Div.			Sold	12/27/16	J	A	
26. - ISHARES 20+ YEAR TREASURY BOND ETF	A	Int./Div.			Buy	01/15/16	J		
27.					Sold	12/09/16	J	A	
28. - SPDR GOLD SHARES ETF	A	Int./Div.			Buy	05/11/16	J		
29.					Sold	12/28/16	J	A	
30. - ISHARES 1-3 YEAR CREDIT BOND ETF	A	Int./Div.	J	T	Buy	12/27/16	J		
31. - SPDR BLOOMBERG BARCLAYS LONG TERM TREAS ETF	A	Int./Div.	J	T	Buy	12/09/16	J		
32. - VANECK VECTORS AMT-FREE INTE MUNICIPAL INDEX ETF	A	Int./Div.	K	T	Buy	12/07/16	K		
33. - VANGUARD SHORT-TERM CORPORATE BOND ETF	A	Int./Div.	J	T	Buy	06/17/16	J		

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34. UBS Financial Services (Traditional IRA fka SEP IRA)									
35. - Ishares Core S&P 500 ETF (fka Ishares Trust S&P)	B	Int./Div.	M	T					
36. - Ishares Russell 2000 ETF (fka Ishares Trust Russell 2000 Index)	A	Int./Div.	K	T					
37. - Ishares Core S&P MidCap ETF (fka Ishares Trust Mi)	B	Int./Div.	L	T					
38. - Ishares MSCI EAFE Small Cap ETF (fka Ishares MSCI EAFE Small Cap)	A	Int./Div.	J	T					
39. - Vanguard REIT ETF	A	Int./Div.	K	T					
40. - Vanguard FTSE Emerging Markets ETF (fka Vanguard MSCI Emerging)	A	Int./Div.	J	T					
41. - Ishares Russell 1000 ETF (fka Ishares Trust Russell 1000 Index)	A	Int./Div.	J	T					
42. - Ishares U.S. Financial Services ETF (fka Ishares Trust Dow Jones)	A	Int./Div.	K	T					
43. - Technology Select Sector SPDR ETF	A	Int./Div.	K	T					
44. - Vanguard Health Care ETF	A	Int./Div.	J	T					
45. - VANGUARD TOTAL WORLD STK ETF	A	Int./Div.	K	T					
46. - VAN ECK CM COMMODITY INDEX FUND Y		None			Sold	01/07/16	J	A	
47. - ISHARES U.S. ENERGY ETF	A	Int./Div.	K	T					
48. - ISHARES CORE MSCI EAFE ETF	A	Int./Div.	K	T					
49. - VANGUARD LARGE-CAP ETF	A	Int./Div.			Sold	05/11/16	J	A	
50. - ISHARES CORE U.S. AGGREGATE BOND ETF	C	Int./Div.	M	T					

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51. - PIMCO ENHANCED SHORT MAT ACTIVE EXCHANGE-TRADED FD	A	Int./Div.			Sold	01/15/16	K	A	
52. - VANGUARD TOTAL INTL BON FD ETF CL	A	Int./Div.	K	T					
53. - VANGUARD TOTAL BOND MKT ETF	C	Int./Div.	M	T					
54. - VANGUARD SHORT-TERM BOND ETF	B	Int./Div.	L	T					
55. - ISHARES 20+ YEAR TREAS BON ETF	A	Int./Div.	K	T	Buy	01/15/16	K		
56. - SPDR GOLD SHARES ETF	A	Int./Div.	J	T	Buy	05/11/16	J		
57. UBS Financial Services Brokerage Account									
58. - UNTS FT SABRIENT BAKER S DOZEN PORT AUG 2015 SER 15 REIN 09/13/16	A	Int./Div.			Sold	09/16/16	K	A	
59. Merrill Lynch - Angelucci Acoustics Inc SEP									
60. - American AMCAP CL B	A	Int./Div.			Sold	05/11/16	J	A	
61. - American Growth Fund of America Cl A	A	Int./Div.	K	T					
62. - Blackrock Value Opport FD Inc B	A	Int./Div.			Sold	03/14/16	K	A	
63. - American AMCAP Fund Cl A	A	Int./Div.	K	T	Buy (add'l)	05/11/16	J		
64. - Blackrock Global Allocation FD Inc A	A	Int./Div.	J	T					
65. - Blackrock Value Opportunities FD Inc A	A	Int./Div.	K	T	Buy (add'l)	03/14/16	K		
66. Rental Property, Shelbyville, Shelby County, KY	D	Rent	M	W					
67. Rental Property, Lexington, Fayette County, KY	D	Rent	M	W					

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68. Poppin Angels LLC		None	J	T					
69. Jackson National Life Insurance Company (Fixed Annuity)	E	Interest	N	T					
70. JPMorgan Chase Bank, N.A. (Savings) (X)	A	Interest	K	T					
71. Poppin, Inc.		None	J	T	Buy	07/20/16	J		
72. UBS 529 Plan #1									
73. - College America 529 The Investment Company of America - ICA C	A	Int./Div.	J	T	Buy	06/08/16	J		
74.									

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

VII. There were some minor fund name changes.

VII. Ishares Core U.S. Aggregate Bond ETF purchases were duplicated on 2015 report.

VII. Ishares North Ameri Nat Resources ETF was listed as sold (part) on 2015 but all was sold.

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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