

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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) Humphrey, Guy R.	2. Court or Organization US Bankruptcy Court	3. Date of Report 05/08/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address 120 W Third St Dayton, Ohio 45402		
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. Trustee	Bankruptcy Bench-Bar Conference for the Southern District of Ohio, Inc.
2. Trustee	The Thomas F. Waldron American Bankruptcy Law Forum
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. 4/15/2000	Member of EARL, LTD. (EARL) under which quarterly distributions are received (2000-2025) for attorney fees earned while partner (cont in Part VIII)
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 7

Name of Person Reporting

Humphrey, Guy R.

Date of Report

05/08/2020

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. 2019	EARL, LTD., distribution of earned attorney fees	\$55,294.00
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. 2019	Franklin City School District -- Wages
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.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Humphrey, Guy R.	05/08/2020

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 7

Name of Person Reporting

Humphrey, Guy R.

Date of Report

05/08/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. IRA Fairfield National Bank	A	Interest			Distributed	08/14/19	J		Thrift Savings Plan
2. Fifth Third Bank Accounts	A	Interest	M	T					
3. College Advantage 529 Account #2 (Guarant'd Savings Fund)	A	Interest	J	T					
4. Vestas Wind Systems	A	Dividend	J	T					
5. BlackRock									
6. -- 529 fund B (COLLEGEADV MODERATE 2001-A)	A	Interest	K	T					
7. Forethought Life Insurance Annuity	D	Interest	M	T					
8. John Hancock Life Insurance Company -- John Hancock Trust									
9. series type mutual fund managed by John Hancock Investment									
10. Management Services, LLC	A	Int./Div.			Distributed	07/08/19	M	E	Guy R. Humphrey
11. -- 500 Index B portfolio	A	Int./Div.			Distributed	07/08/19	J	C	Guy R. Humphrey
12. -- Select Bond portfolio	A	Int./Div.			Distributed	07/08/19	J	C	Guy R. Humphrey
13. -- American Growth portfolio	A	Int./Div.			Distributed	07/08/19	J	C	Guy R. Humphrey
14. -- American International portfolio	A	Int./Div.			Distributed	07/08/19	J	C	Guy R. Humphrey
15. --Global portfolio	A	Int./Div.			Distributed	07/08/19	J	C	Guy R. Humphrey
16. -- Fixed portfolio	A	Int./Div.			Distributed	07/08/19	J	C	Guy R. Humphrey
17. -- International Equity Index B portfolio	A	Int./Div.			Distributed	07/08/19	J	C	Guy R. Humphrey

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	

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. -- Managed Volatility Aggressive portfolio	A	Int./Div.			Distributed	07/08/19	J	C	Guy R. Humphrey
19. -- Mid Cap Index portfolio	A	Int./Div.			Distributed	07/08/19	J	C	Guy R. Humphrey
20. -- Small Cap Growth portfolio	A	Int./Div.			Distributed	07/08/19	J	C	Guy R. Humphrey
21. -- Small Cap Index portfolio	A	Int./Div.			Distributed	07/08/19	J	C	Guy R. Humphrey
22. -- Small Cap Value portfolio	A	Int./Div.			Distributed	07/08/19	J	C	Guy R. Humphrey
23. AXA/Equivest 403b Account	D	Int./Div.	K	T					
24. Cabin (lot purchased on May 11, 2019 for \$67,000 & under construction)		None	M	R	Buy	05/11/19	L		Woodland Group

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 6 of 7

Name of Person Reporting

Humphrey, Guy R.

Date of Report

05/08/2020

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

Part II (cont)

with former law firm, Chester Willcox & Saxbe (CWS), from national litigation between the State of Ohio and cigarette manufacturers. The members of EARL are former partners of CWS who were partners of CWS at the time of the fee award made in 2000. As of January 1, 2012, CWS merged with the law firm of Taft Stettinius & Hollister; however, there is no relationship between EARL and Taft Stettinius & Hollister other than that some of the members of EARL who were partners of CWS in 2000 are now members of Taft Stettinius & Hollister. Distributions by EARL were fixed and set through a percentage formula agreed upon and established through the agreement and documents created in 2000 and the only function of EARL is to receive the fee award payments, to make the distributions to the members of EARL in accordance with the 2000 agreement, and to make all appropriate and required tax or other filings for EARL. An accountant with Taft Stettinius & Hollister performs the ministerial task of overseeing the electronic distribution and deposit of the EARL distributions.

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Humphrey, Guy R.

Date of Report

05/08/2020

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/ Guy R. Humphrey**

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