

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) Preston, C. Kathryn	2. Court or Organization Bankruptcy Court, S.D. Ohio	3. Date of Report 05/05/2020
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 1/1/2019 to 12/31/2019
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. Trustee	Family Trust #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. 2018	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. Capital Region Bankruptcy Bar Asso. 24th Annual Bankruptcy Conference	Oct 24-26, 2019	Cooperstown, NY	Speaker	Tuition, Lodging, Meals, Mileage
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. Columbus Bar Asso. Bankruptcy Law Institute	Tuition, Meal	\$360.00
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 119)	L
2. Huntington National Bank	Second Mortgage/Personal Credit Line, Rental Prop. #1 Cape Coral, FL. (Pt. VII, line 119)	J
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. Huntington National Bank Accounts	A	Interest	M	T					
2. Bank of America Accounts	A	Interest	K	T					
3. Fifth Third Bank Accounts	A	Interest	J	T					
4. Chase Bank Accounts	A	Interest	L	T					
5. CPT Enterp. LLC - member equity int (H)	C	Dividend							
6. - Ashland Global Holdings, Inc. f/k/a Ashland, Inc. ("ASH") - stock	A	Dividend	J	T					
7. - Chubb Ltd. ("CB") f/k/a Chubb Corp - stock	A	Dividend	K	T					
8. - Conoco Philips ("COP") - stock	A	Dividend	K	T					
9. - Dollar General Corp. ("DG") - stock	A	Dividend	L	T					
10. - Essex Property Trust Inc. ("ESS") - stock	A	Dividend	K	T					
11. - First Trust Health Care AlphaDex Fund ETF ("FXH") -shares		None	K	T					
12. - General Dynamics Corp. ("GD") - stock	A	Dividend	K	T					
13. - M&T Bank Corporation ("MTB") - stock	A	Dividend	K	T					
14. - Van Eck Vectors Pharm ETF f/k/a Market Vectors ("PPH") -Shares	A	Dividend	K	T					
15. - Invesco QQQETF f/k/a Powershares QQQ ETF ("QQQ") - shares	A	Dividend	K	T					Name Change
16. - SPDR S&P 500 ETF ("SPY") - shares	B	Dividend	L	T					
17. - Suntrust Investment Services Inc. Money Market	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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NONE (No reportable income, assets, or transactions.)

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	(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. - Valvoline, Inc. ("VVV") - stock (X)	A	Dividend	J	T					
19. - Farm Property (127.92 acres) Jasper Co., IA	E	Rent	N	W					
20. Huntington Bancshares Pension Plan (see Part VIII)		None	M	V					
21. Talcott Resolution f/k/a Hartford Life Ins. Policy (H)									Issuer renamed 5/22/19
22. - American Funds Ins. Asset Alloc. Fund (see Part VIII)		None	J	T					
23. - American Funds Ins. Bond Fund (see Part VIII)		None	J	T					
24. - American Funds Ins. Growth Income Fund (see Part VIII)		None	J	T					
25. - Franklin Mut. Shares VIP Fund f/k/a Franklin Fund (see Part VIII)		None	J	T					
26. - Fidelity VIP Contra Fund Portfolio (see Part VIII)		None	J	T					
27. - Fidelity VIP Mid Cap Portfolio (see Part VIII)		None	J	T					
28. - HLS Int'l Opport. Fund (see Part VIII)		None	J	T					
29. - Invesco Oppenheimer Global Fund f/k/a Oppenheimer (see Part VIII)		None	J	T					Reorganization/ Exchange
30. - Invesco VI Comstock Fund f/k/a INV VK Comstock (see Part VIII)		None	J	T					Reorganization/ Exchange
31. Brokerage Account #1 (H)									
32. - Edward Jones Cash account	A	Interest	J	T					
33. - CIGNA Corp f/k/a Express Scripts Holding Co. - common stock (Y)		None			Sold	02/11/19	J	A	
34. - Amazon - stock		None	J	T					

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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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35. - Proctor & Gamble Co. - common stock	A	Dividend	K	T					
36. - United Technologies Corp. - stock	A	Dividend	K	T					
37. - Verizon Communications - common stock	A	Dividend	J	T					
38. - Walt Disney Co. - stock	A	Dividend	J	T					
39. - Federated OH Muni Income Fund	A	Int./Div.	J	T					
40. - CAIBX - Class A Bonds	A	Dividend	J	T					
41. - Sherwin Williams Co Stock (X)	A	Dividend	J	T	Buy	03/20/19	J		
42. Brokerage Account #2 (H)									
43. - American Balanced Fund - Class A Bonds	C	Dividend	M	T	Buy (add'l)	01/24/19	K		
44.					Buy (add'l)	02/16/19	J		
45.					Buy (add'l)	03/06/19	J		
46.					Buy (add'l)	04/08/19	J		
47.					Buy (add'l)	05/08/19	J		
48.					Buy (add'l)	06/06/19	J		
49.					Buy (add'l)	07/09/19	J		
50.					Buy (add'l)	08/07/19	J		
51.					Buy (add'l)	09/06/19	J		

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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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	(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)
52.					Buy (add'l)	10/08/19	J		
53.					Buy (add'l)	11/06/19	J		
54.					Buy (add'l)	12/06/19	J		
55. - American Europacific Growth Fund - Class A Bonds (Y)		None			Buy (add'l)	01/08/19	J		
56.					Sold	01/24/19	K		
57. - American Growth Fund of America - Class A Bonds	D	Dividend	M	T					
58. IRA # 1 (H)									
59. - ABALX - Class A Bonds	D	Dividend	M	T					
60. - ABNDX - Class A Bonds	B	Dividend	L	T					
61. - AGTHX - Class A Bonds	D	Dividend	M	T					
62. - AHITX - Class A Bonds	B	Dividend	K	T					
63. - AIVSX - Class A Bonds	D	Dividend	M	T					
64. - AMECX - Class A Bonds	C	Dividend	L	T					
65. - CWGIX - Class A Bonds	C	Dividend	M	T					
66. - SMCWX - Class A Bonds	B	Dividend	L	T					
67. - AMRMX - Class A Bonds	B	Dividend	K	T					
68. IRA # 2 (H)									

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69. - Dodge & Cox Bal. Fund - Shares	A	Dividend	J	T					
70. - Hershey Foods Corp. - stock	A	Dividend	J	T					
71. Rum Cove, LLC - member equity interest		None	N	W					
72. - Rental prop N.Captiva Isl, FL (purchased 2011 \$350,000)	G	Rent	O	W					
73. - Personal property attendant to rental property		None	K	W					
74. - Stonegate Bank checking account		None	J	T					
75. IRA #3 [REDACTED] (H)									
76. - Edward Jones Cash Account	A	Interest	J	T					
77. - AMCPX - Class A Bonds	C	Dividend	L	T	Sold (part)	05/06/19	J	A	
78. - ABALX - Class A Bonds	C	Dividend	L	T	Sold (part)	05/06/19	J	A	
79.					Buy	05/21/19	J		
80. - AHITX - Class A Bonds	B	Dividend	K	T	Sold (part)	05/06/19	J	A	
81. - CAIBX - Class A Bonds	B	Dividend	K	T	Sold (part)	05/06/19	J	A	
82. - CWBFX - Class A Bonds (Y)	B	Dividend			Sold (part)	05/06/19	J	A	
83.					Sold	05/21/19	K	A	
84. - CWGIX - Class A Bonds	B	Dividend	K	T	Sold (part)	05/06/19	J	A	
85. - ANCFX - Class A Bonds	C	Dividend	L	T	Sold (part)	05/06/19	J	A	

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86. - AMECX - Class A Bonds	B	Dividend	K	T	Sold (part)	05/06/19	J	A	
87. - AIVSX - Class A Bonds	C	Dividend	L	T	Sold (part)	05/06/19	J	A	
88. - PGBOX - Class A Bonds	B	Dividend	K	T	Sold (part)	05/06/19	J	A	
89. - ONIAX - Class A Bonds	B	Dividend	K	T	Sold (part)	05/06/19	J	A	
90. - OIEIX - Class A Bonds	C	Dividend	L	T	Sold (part)	05/06/19	J	B	
91. - VHIAx - Class A Bonds	D	Dividend	M	T	Sold (part)	05/06/19	J	C	
92. - OHYAX - Class A Bonds	C	Dividend	L	T	Sold (part)	05/06/19	J	A	
93. - JFEAX - Class A Bonds (Y)		None			Sold (part)	05/06/19	J	A	
94.					Sold	05/21/19	K	A	
95. - JCMAX - Class A Bonds	D	Dividend	L	T	Sold (part)	05/06/19	J	A	
96. - OMBAX - Class A Bonds	B	Dividend	K	T	Sold (part)	05/06/19	J	A	
97. - ANEFX - Class A Bonds	C	Dividend	L	T	Sold (part)	05/06/19	J	A	
98. - ANWPX - Class A Bonds	B	Dividend	L	T	Sold (part)	05/06/19	J	A	
99. - SMCWX - Class A Bonds	A	Dividend	L	T	Sold (part)	05/06/19	J	A	
100. - JVAAX - Class A Shares	B	Dividend	K	T	Buy	05/21/19	K		
101. - VSCOX - Class A Shares	C	Dividend	K	T	Buy	05/21/19	K		
102. - ABNDX - Class A Shares	A	Dividend	K	T	Buy	05/21/19	K		

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103. Brokerage Account #3 (H) (Y)									Closed 05/07/19
104. - CAIBX - Class A Bonds (see Part VIII) (Y)	A	Dividend							
105. IRA #4 [REDACTED] (H)									
106. - Note receivable (see Part VIII)	D	Interest	L	V					Escalante Golf, Inc.
107. - Escalante Gallery LLC - member equity interest	D	Distribution	L	T					
108. - Escalante River Club LLC - member equity interest (X)	D	Distribution	L	T	Buy	05/17/19	L		
109. IRA #5 [REDACTED] (H)									
110. - American Mut. Fund (AMRMX) - shares	A	Dividend	J	T	Sold (part)	11/29/19	J	A	
111. - Bond Fund of America (ABNDX) - shares	A	Dividend	J	T	Sold (part)	11/29/19	J	A	
112. - Capital Income Builder Mut. Fund (CAIBX) - shares	A	Dividend	J	T	Sold (part)	11/29/19	J	A	
113. - Growth Fund of Amer. (AGTHX) - shares	A	Dividend	J	T	Sold (part)	11/29/19	J	A	
114. - JP Morgan Core Bond Fund (PGBOX) - shares	A	Dividend	J	T	Sold (part)	11/29/19	J	A	
115. - JP Morgan High Yield Fund (OHYAX) - shares	A	Dividend	J	T	Sold (part)	11/29/19	J	A	
116. - JP Morgan Mid Cap Equity Fund (JCMAX) - shares	A	Dividend	J	T	Sold (part)	11/29/19	J	A	
117. - Small Cap World Fund (SMCWX) - shares	A	Dividend	J	T	Sold (part)	11/29/19	J	A	
118. Family Trust #1 (H)									
119. - Rental Property #1, Cape Coral, FL (Purchased 2005 \$679,900)	E	Rent	O	R					

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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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)
120. - Investment Property, N. Captiva, FL		None	N	W					

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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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; The committee concluded 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 20 - 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 25, 29, 30 (Franklin, Oppenheimer, Comstock) - These funds underwent a name change as a result of reorganization, exchange, merger, or simple name change. I did not receive any notice and am unable to determine the exact nature of the event or transaction or the date of the change.

Line 25 - This fund was formerly known as Franklin Templeton Mutual Shares Security Fund. There were not enough characters available on line 25 to completely identify the fund's former name.

Line 29 - This fund was formerly known as Oppenheimer Global Securities Fund. There were not enough characters available on line 29 to completely identify the fund's former name.

Line 30 - This fund was formerly known as Invesco VK Comstock Fund.

Part VII Lines 22-30 (Talcott Life Ins. Pol.) - I do not have direct or indirect income from these investments, because the asset is the insurance policy not securities.

Part VII Line 104 (CAIBX) - This asset was held in an account owned jointly with a family member. The asset was transferred to the joint owner's account in May 2019.

Part VII Line 106 (IRA #4, Escalante Golf note) - The value of the Note receivable is based on the outstanding principal balance.

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Preston, C. Kathryn

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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/ 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
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Washington, D.C. 20544