

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) Schaaf, Gregory R.	2. Court or Organization U.S. Bankruptcy Court, Eastern District of Kentucky	3. Date of Report 03/17/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Court Judge (full time)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☒ Amended Report	
7. Chambers or Office Address United States Bankruptcy Court PO Box 1111 Lexington, KY 40588-1111		
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 12

Name of Person Reporting

Schaaf, Gregory R.

Date of Report

03/17/2021

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. 2019	Transylvania University, Lexington, KY; salary
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. American Bankruptcy Institute	07/18-21, 2019	Amelia Island, Florida	Speaking Engagement Southeast Conference	Hotel; transportation
2. American Bankruptcy Institute	0819-21, 2019	Cincinnati, Ohio	Speaking Engagement MRBS Conference	Hotel; transportation
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 12

Name of Person Reporting

Schaaf, Gregory R.

Date of Report

03/17/2021

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 12

Name of Person Reporting

Schaaf, Gregory R.

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03/17/2021

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. Republic Bank, Cash Account	A	Int./Div.	J	T					
2. Metropolitan Tower Life Insurance Company(whole life)		None	K	T					
3. (H)Retirement Account - No. 1 (risk based)									
4. -Federated Treasury Obligations Fund (Note 1)	A	Dividend			Closed	04/01/19	J		
5. --FDN		None	L	T	Buy (add'l)	09/11/19	K		
6. --QTEC	A	Dividend	L	T	Buy (add'l)	09/11/19	J		
7. -First Trsut Auto'd Quantitative AQA Ser 14	A	Dividend			Matured	02/06/19	M	D	
8. -First Trust Trust Series 15 (FT Div Inc Trust Series 15 Fee Reimb.)	C	Dividend	M	T					
9. -FXL	A	Dividend	L	T	Buy (add'l)	09/11/19	J		
10. -FXH		None			Sold	04/26/19	L		
11. -FBT		None			Buy (add'l)	09/11/19	J		
12.					Sold	09/12/19	L		
13. -First Trust Target Gblal Dvd Leaders 1Q 18 Term Fee Reinv	B	Dividend			Matured	04/11/19	M		
14. -First Trust High Quality Dvd 1Q 18 Fee Reinv	B	Dividend			Matured	04/11/19	M		
15. -First Trust Portfolio LP AQA Large Cap Portfolio Series Fee Reinvest	A	Dividend	K	T					
16. -First Trust Sabrient Bakers Dozen Portfolio May 2018 Fee R	A	Dividend			Matured	06/24/19	M		
17. -FXO	A	Dividend	L	T	Buy	09/12/19	K		

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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 12

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Schaaf, Gregory R.

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18. -FXU	B	Dividend	L	T	Buy	04/26/19	K		
19.					Buy (add'l)	09/11/19	J		
20. -VOO	A	Dividend	M	T	Buy	09/11/19	M		
21. -First Trust High Qlty Divid 2Q19	B	Dividend	J	T	Buy	09/11/19	M		
22.					Sold (part)	09/11/19	N	A	
23. -First Trust Tgt Glbl Ldrs 2Q19	C	Dividend	J	T	Buy	04/10/19	M		
24.					Sold (part)	09/11/19	M		
25. -First Truste Automated Quant Anlys 18	A	Dividend	M	T	Buy	02/07/19	M		
26. -First Trust Automated Quan Anlys 19	A	Dividend	M	T	Buy	09/16/19	L		
27. -CitiBank (temporary sweep account) (Note 1)	A	Interest	J	T	Open	04/01/19	J		
28. [(H)End Retirement Account - No. 1]									
29. (H)Investement Account - No. 1									
30. -CSCO	A	Dividend	K	T					
31. -FDN		None	K	T					
32. -QTEC	A	Dividend	K	T					
33. -FXL	A	Dividend	J	T					
34. -FXH		None			Sold	04/29/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	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	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

Page 6 of 12

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Schaaf, Gregory R.

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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)
35. -FBT		None			Sold	09/18/19	J		
36. -FXO	A	Dividend	J	T	Buy	09/18/19	J		
37. -FXU	A	Dividend	J	T	Buy	04/29/19	J		
38. -Standard Bank (temporary account)	A	Interest	J	T					
39. [(H)End Investment Account - No. 1]									
40. (H)Retirement Account - No. 2									
41. -TIAA Trad'l	B	Interest	K	T					
42. T-C Lfcyle Idx Rtmt [Note 3]	C	Dividend	M	T	Buy	12/31/19	K		
43.									
44. [(H)End Retirement Account - No. 2]									
45. (H)Investment Account - No. 2									
46. -VFIAX	B	Dividend	L	T	Sold (part)	04/04/19	J	B	
47.					Sold (part)	05/30/19	J	C	
48. -VEXAX	A	Dividend	L	T					
49. -ARKK	A	Dividend	J	T					
50. -FVD	A	Dividend	J	T	Sold (part)	04/04/19	J	A	
51. -FXH		None			Sold	08/23/19	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	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	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
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FINANCIAL DISCLOSURE REPORT

Page 7 of 12

Name of Person Reporting

Schaaf, Gregory R.

Date of Report

03/17/2021

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52. -FBT		None			Sold	08/23/19	J	A	
53. -FTCS	A	Dividend	J	T					
54. -FDN		None			Sold	10/14/19	J		
55. -FXO	A	Int./Div.			Sold	10/14/19	J	A	
56. -QTEC	A	Dividend			Sold	10/14/19	J	A	
57. -RDVY	A	Dividend	J	T					
58. -FXL	A	Dividend			Sold	10/14/19	J	A	
59. -SPLV	A	Dividend	J	T					
60. -IJR		None			Sold	01/29/19	J		
61. -IHI		None	J	T	Sold (part)	01/29/19	J	A	
62. -XAR	A	Dividend	J	T					
63. -BIICX	A	Dividend	J	T					
64. -SBLYX	A	Dividend	J	T	Buy (add'l)	01/29/19	J		
65. -HLIEX	A	Dividend	J	T	Sold (part)	04/05/19	J	A	
66. -JNBAX (Note 2)	A	Dividend			Merged (with line 90)	03/07/19	J		
67. -JSOSX	A	Dividend	J	T					
68. -JVASX	A	Dividend	J	T	Sold (part)	04/04/19	J	A	

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FINANCIAL DISCLOSURE REPORT

Page 8 of 12

Name of Person Reporting

Schaaf, Gregory R.

Date of Report

03/17/2021

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69.					Sold (part)	05/30/19	J	A	
70. -GLIFX	A	Dividend	J	T					
71. -MFAIX	A	Dividend	J	T					
72. -PXWIX	A	Dividend	J	T	Buy (add'l)	04/04/19	J		
73. -PRJZX		None	J	T					
74. -PDBZX	A	Dividend	J	T					
75. -TRBCX	A	Dividend	J	T					
76. -PKSFX	A	Dividend	J	T					
77. -WACPX	A	Dividend	J	T					
78. -LMGNX	A	Dividend	J	T	Buy	10/14/19	J		
79. -LVHD	A	Dividend	J	T	Buy	01/29/19	J		
80.					Buy (add'l)	08/23/19	J		
81. -SKYY		None	J	T	Buy	04/04/19	J		
82.					Buy (add'l)	05/30/19	J		
83. -FV	A	Dividend	J	T	Buy	10/14/19	J		
84. -FRI	A	Dividend	J	T	Buy	10/14/19	J		
85. -CIBR	A	Dividend	J	T	Buy	04/04/19	J		

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FINANCIAL DISCLOSURE REPORT

Page 9 of 12

Name of Person Reporting

Schaaf, Gregory R.

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03/17/2021

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86.					Buy (add'l)	05/30/19	J		
87. -JHMM	A	Dividend	J	T	Buy	04/04/19	J		
88.					Buy (add'l)	05/30/19	J		
89.					Buy (add'l)	08/23/19	J		
90. -JBNSX (Note 2)	A	Dividend	J	T	Buy	03/07/19	J		
91. -FXU	A	Dividend			Buy	05/30/19	J		
92.					Sold	10/14/19	J	A	
93. Morgan Stanley Private Bank NA (temp. sweep acct) (Note 3)	A	Interest	J	T					
94. [(H)End Investment Account - No. 2]									
95. Community Trust Bank	A	Interest	K	T					
96. (H)Investment Account - No. 3 (Note 3)									
97. -Oppenhiemer Steelpath MLP Income Fund A (MLPDX)	B	Dividend	K	T					
98. -Oppenheimer Global Opportunities Fund Class A (OPGIX) (Note 3)		None	J	T	Buy	12/31/19	J		
99. [(H)End Investment Account - No. 3]									
100. PNC Bank	A	Interest	J	T					
101. Metropolitan Tower Life Insurance Company (Whole Life)		None	K	T					
102. (H) Investement Account - No. 4 (Note 4) (X)									

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103. -VWEHZ (X)	A	Dividend	J	T					
104. -VTTVX (X)	A	Dividend	J	T					
105. -VBLTX (Note 5) (X)	A	Dividend			Merged (with line 106)	06/05/19	J	A	
106. -VBLAX (Note 5)	A	Dividend	J	T	Buy	01/05/19	J		
107. [(H) End Investment Account - No. 4]									

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
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(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
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(See Column C2)	U =Book Value	V =Other	W =Estimated		

FINANCIAL DISCLOSURE REPORT

Page 11 of 12

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

Note 1: Part VII, Lines 4 and 27: These are the periodic sweep accounts that holds funds between trades. The brokerage firm changed its cash sweep program.

Note 2: Part VII, Lines 66 and 90: There was a class exchange, JNBAX to JNBSX.

Note 3: Part VII, Lines 96-99: The monthly dividends from MLPDX are reinvested monthly in OPGIX. The amounts are \$161.28 each month beginning January. Based on the small amount each month and consistent with the prior year, I aggregated on an annual basis. There are no dividends for the reinvestment account.

Note 4: Part VII, Lines 102-105: I inadvertently omitted this on my last report. The three positions were all acquired on February 15, 2018. The value of each position on 12/31/18 was J, less than \$15,000, based on the market. The dividends for each in 2018 was A, less than \$1,000.

Note 4: Part VII, Lines 105 and 106: There was a class exchange VBLTX to VBLAX.

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

Schaaf, Gregory R.

Date of Report

03/17/2021

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/ Gregory R. Schaaf**

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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