

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) Hoffman, Jr., John E.	2. Court or Organization U.S. Bankruptcy Court, Southern District of Ohio	3. Date of Report 08/12/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address United States Bankruptcy Court 170 N. High St. Columbus, OH 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Adjunct Professor	The Ohio State University Moritz College of Law
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

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Name of Person Reporting

Hoffman, Jr., John E.

Date of Report

08/12/2020

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	The Ohio State University Moritz College of Law (teaching salary)	\$12,000.00
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	Children's Hospital Close to Home, [REDACTED]
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 College of Bankruptcy	March 15-21, 2019	San Diego, CA	Conference	Travel, meals, and lodging
2.	Federal Bar Association of Western Michigan	July 26-29, 2019	Thompsonville, MI	Seminar	Travel and lodging
3.	American Bankruptcy Institute	August 19-21, 2019	Cincinnati, OH	Midwestern Regional Bankruptcy Institute	Travel, meals, and lodging
4.	National Conference of Bankruptcy Judges	October 30-November 1, 2019	Washington, DC	Annual Meeting	Travel, meals, and lodging
5.					

Name of Person Reporting	Date of Report
Hoffman, Jr., John E.	08/12/2020

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.		

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Name of Person Reporting

Hoffman, Jr., John E.

Date of Report

08/12/2020

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) 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. Individual Assets (H)									
2. Huntington Bank (cash)	A	Interest	K	T					
3. National Financial Services Bank Deposit Sweep Program (cash)	A	Int./Div.	L	T					
4. Brokerage #1 (H)									
5. Merrill Lynch Bank Deposit Program (cash) (X)	A	Interest	J	T					
6. iShares Core S&P Small Cap ETF (IJR)	A	Dividend	J	T	Buy	05/24/19	J		
7.					Sold (part)	10/24/19	J	A	
8. iShares National Muni Bond ETF (MUB)	A	Dividend	K	T	Buy	05/24/19	K		
9.					Sold (part)	10/04/19	J	A	
10.					Sold (part)	10/24/19	J	A	
11. iShares Core S&P U.S. Growth ETF (IUSG)	A	Dividend	K	T	Buy	05/24/19	K		
12.					Buy (add'l)	06/14/19	J		
13.					Sold (part)	10/04/19	J	A	
14.					Sold (part)	10/24/19	J	A	
15. iShares Core S&P U.S. Value ETF (IUSV)	A	Dividend	K	T	Buy	05/24/19	K		
16.					Sold (part)	10/04/19	J	A	
17.					Sold (part)	10/24/19	J	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 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

Name of Person Reporting	Date of Report
Hoffman, Jr., John E.	08/12/2020

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)
18. Microsoft Corp (MSFT) (X)	A	Dividend			Sold	05/24/19	K	C	
19. New Residential Invt (NRZ) (X)		None			Sold	05/24/19	K		
20. United Bancorp Inc Ohio (UBCP) (X)		None			Sold	05/24/19	K	B	
21. Blackrock Enhanced Global Dividend Trust (BOE) (X)	A	Dividend			Sold	05/24/19	J		
22. Blackrock Enhanced Equity Dividend Trust (BDJ) (X)	A	Dividend			Sold	05/24/19	J		
23. Blackrock Health Sciences Trust (BME) (X)	A	Dividend			Sold	05/24/19	J		
24. Eaton Vance Tax Managed Global Buy Wrt Opp Fd (ETW) (X)	A	Dividend			Sold	05/24/19	J		
25. Pimco Muni Income II (PML) (X)	A	Dividend			Sold	05/24/19	K	B	
26. Vaneck Vectors High Yield Municipal Index ETF (HYD)	A	Dividend	J	T	Buy	05/24/19	J		
27.					Sold (part)	10/24/19	J	A	
28. Vanguard FTSE Emerging Markets ETF (VWO)	A	Dividend	J	T	Buy	05/24/19	J		
29.					Sold (part)	06/14/19	J	A	
30.					Sold (part)	10/24/19	J	A	
31. Vanguard FTSE Developed Markets ETF (VEA)	A	Dividend	K	T	Buy	05/24/19	K		
32.					Sold (part)	06/14/19	J	A	
33.					Sold (part)	10/24/19	J	A	
34. IRA #1 (H)									

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35. Bank of America Cash Deposit (cash) (X)	A	Interest	J	T					
36. Amgen Inc Com (AMGN) (X)	A	Dividend			Sold	05/24/19	J		
37. American Electric Power Co (AEP) (X)	A	Dividend			Sold	05/24/19	J	B	
38. Astrazeneca PLC Spnd ADR (AZN) (X)		None			Sold	05/24/19	J	A	
39. AT&T Inc (T) (X)		None			Sold	05/24/19	J		
40. Boeing Company (BA) (X)	A	Dividend			Sold	05/24/19	J		
41. Broadcom LTD (AVGO) (X)		None			Sold	05/24/19	J		
42. Carnival Corp Paired Shs (CCL) (X)	A	Dividend			Sold	05/24/19	J		
43. Chevron Corp (CVX) (X)	A	Dividend			Sold	05/24/19	J		
44. Chubb Ltd (CB) (X)		None			Sold	05/24/19	J	A	
45. Cisco Systems Inc Com (CSCO) (X)		None			Sold	05/24/19	J	B	
46. Citigroup Inc Com New (C) (X)	A	Dividend			Sold	05/24/19	J	A	
47. CME Group Inc (CME) (X)		None			Sold	05/24/19	J	A	
48. Coca Cola Com (KO) (X)		None			Sold	05/24/19	J	A	
49. Crown Castle Reit Inc (CCI) (X)		None			Sold	05/24/19	J	A	
50. Digital Realty Tr Inc (DLR) (X)		None			Sold	05/24/19	J	A	
51. Duke Energy Corp New (DUK) (X)	A	Dividend			Sold	05/24/19	J	A	

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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. Exelon Corporation (EXC) (X)	A	Dividend			Sold	05/24/19	J	A	
53. Exxon Mobil Corp Com (XOM) (X)	A	Dividend			Sold	05/24/19	J		
54. Johnson and Johnson Com (JNJ) (X)	A	Dividend			Sold	05/24/19	J	A	
55. JPMorgan Chase & Co (JPM) (X)		None			Sold	05/24/19	J	A	
56. Lockheed Martin Corp (LMT) (X)		None			Sold	05/24/19	J	A	
57. McDonalds Corp Com (MCD) (X)		None			Sold	05/24/19	J	A	
58. Merck and Co Inc Shs (MRK) (X)		None			Sold	05/24/19	J	A	
59. Microsoft Corp (MSFT) (X)	A	Dividend			Sold	05/24/19	J	A	
60. Pepsico Inc (PEP) (X)		None			Sold	05/24/19	J	A	
61. Pfizer Inc (PFE) (X)	A	Dividend			Sold	05/24/19	J	A	
62. Royal Bank Canada PV\$1 (RY) (X)		None			Sold	05/24/19	J	A	
63. Royal Dutch Shell PLC (RDSB) (X)	A	Dividend			Sold	05/24/19	J	A	
64. Simon Property Group Del (SPG) (X)	A	Dividend			Sold	05/24/19	J		
65. Target Corp Com (TGT) (X)	A	Dividend			Sold	05/24/19	J	A	
66. Toronto Dominion Bank (TD) (X)		None			Sold	05/24/19	J	B	
67. United Techs Corp Com (UTX) (X)	A	Dividend			Sold	05/24/19	J	A	
68. Verizon Communications Com (VZ) (X)		None			Sold	05/24/19	J	A	

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

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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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)
69. Walmart Inc (WMT) (X)	A	Dividend			Sold	05/24/19	J	A	
70. Invesco Emerging Markets Sovereign Debt ETF (PCY) (X)	A	Dividend			Sold	05/24/19	J		
71. iShares IBOXX Invt Grade Corp Bd (LQD) (X)	A	Dividend	J	T					
72. iShares Tips Bond ETF (TIP) (X)	A	Dividend	J	T					
73. iShares 3-7 Year Treasury Bond ETF (IEI)	A	Dividend	J	T	Buy	05/24/19	J		
74. iShares MBS ETF (MBB) (X)	A	Dividend	J	T					
75. iShares IBOXX High Yield Corp Bond (HYG) (X)	A	Dividend	J	T					
76. iShares Inc Core MSCI Emerging Mkts ETF (IEMG)	A	Dividend	J	T	Buy	05/24/19	J		
77.					Sold (part)	06/13/19	J	A	
78. iShares Tr Core MSCI EAF ETF (IEFA)	A	Dividend	K	T	Buy	05/24/19	K		
79.					Sold (part)	06/13/19	J	A	
80. Schwab Short Term US Treasury ETF (SCHO) (X)	A	Dividend			Sold	05/24/19	J	A	
81. Vanguard Small Cap Value ETF (VBR)	A	Dividend	J	T	Buy	05/24/19	J		
82. Vanguard Small Cap Growth ETF (VBK)	A	Dividend	J	T	Buy	05/24/19	J		
83. Vanguard Value ETF (VTV)	A	Dividend	K	T	Buy	05/24/19	K		
84. Vanguard Growth ETF (VUG)	A	Dividend	K	T	Buy	05/24/19	K		
85.					Buy (add'l)	06/13/19	J		

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

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

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V =Other

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

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

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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.)

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86. Vanguard Intermediate Term Bond ETF (BIV) (X)	A	Dividend	J	T	Sold (part)	05/24/19	J		
87. Vanguard Short Term Bond (BSV) (X)	A	Dividend			Sold	05/24/19	J	A	
88. Vanguard Short Term Corp Bond (VCSH)	A	Dividend	J	T	Buy	05/24/19	J		
89. Vanguard Intermediate Term Corp Bond (VCIT)	A	Dividend	J	T	Buy	05/24/19	J		
90. Nationwide Children's Hospital Defined Contribution Plan #1 (H)									
91. Vanguard Inst Target Retirement 2025 Inst (X)	B	Dividend	K	T	Buy (add'l)	12/05/19	J		
92. Nationwide Children's Hospital Tax-Sheltered Variable Annuity (H)									
93. Vanguard Inst Target Retirement 2025 Inst (X)	A	Dividend	J	T					
94. Scudder Destinations Variable Annuity #1 (H)									
95. DWS Global Opportunities		None	J	T					
96. Deutsche Global Equity VIP		None	J	T					
97. DWS Equity 500 Index		None	K	T					
98. DWS Large Cap Value		None	J	T					
99. DWS Capital Growth		None	K	T					

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

Brokerage #1 and IRA #1 became reportable during this reporting period without corresponding reportable transactions.

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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/ John E. Hoffman, Jr.**

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