

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) Volk, Frank W.	2. Court or Organization United States Bankruptcy Court, Southern District of W. Va.	3. Date of Report 05/15/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge -- Fulltime	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 Frank W. Volk, United States Bankruptcy Judge United States Bankruptcy Court 300 Virginia Street East, Room 6408 Charleston, WV 25301		
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 Lecturer of Law | West Virginia University 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. | |

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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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2016	WV Law School (teaching)	\$6,000.00
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.)*

DATE	SOURCE AND TYPE
1.	
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. West Virginia University College of Law	08/22/2016	Morgantown, West Virginia	Travel Expenses for Teaching	Mileage to and from Morgantown to duty station.
2. West Virginia University College of Law	08/29/2016	Morgantown, West Virginia	Travel Expenses for Teaching	Mileage to and from Morgantown to duty station.
3. West Virginia University College of Law	09/19/2016	Morgantown, West Virginia	Travel Expenses for Teaching	Partial mileage to and from Morgantown to duty station.
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.			
2.			
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. Fifth Third Bank Accounts	A	Interest	L	T					
2. Charleston Federal Credit Union	A	Interest	J	T					
3. Hartford Funds (Smart 529) Age-Based Portfolios		Dividend	K	T					
4. Hartford Funds (Smart 529) Age-Based Portfolio		Dividend	K	T					
5. Nisource Stock Fund (Y)									
6. CPG Stock Fund (Y)									
7. FIAM TD 2035 POOL V (X)	A	Dividend	K	T					
8. FID Contrafund Pool	A	Dividend	K	T					
9. FID Growth Co Pool	A	Dividend	K	T					
10. Sptn 500 Index Inst. (Y)									
11. FID 500 INDEX INST (X)	A	Dividend	J	T					
12. FID Inst. Mmkt. (Y)									
13. VANG VMMR-FED MMKT (X)	A	Int./Div.	J	T					
14. Dominion Res. Inc. Va. New (Brokerage #1)	A	Dividend	K	T					
15. Travelers Companies Inc. (Brokerage #1)	A	Dividend	K	T					
16. Travelers Companies Inc. (Brokerage #2)	B	Dividend	L	T					
17. AEP (Brokerage #2)	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 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 = \$250,000,001 - \$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. AT&T (Brokerage #2)	A	Dividend	J	T					
19. BP PLC SPONSORED ADR (Brokerage #2)	A	Dividend	J	T					
20. Dominion Resources Inc. New (Brokerage #2)	B	Dividend	K	T					
21. Emerson Electric Co. (Brokerage #2)	A	Dividend	J	T					
22. Exelon Corp. (Brokerage #2)	A	Dividend	J	T					
23. Exxon Mobil Corp. (Brokerage #2)	B	Dividend	K	T					
24. Southern Co. (Brokerage #2)	A	Dividend	J	T					
25. Franklin Income Fund CL A (Brokerage #2)	A	Dividend	J	T					
26. Travelers Companies Inc. (Brokerage #2)	A	Dividend	J	T					
27. Travelers Companies Inc. (Brokerage #2)	A	Dividend	J	T					
28. Travelers Companies Inc. (Brokerage #2)	A	Dividend	J	T					
29. Columbia Retirement Plan (Defined Bft. Cash Balance Pension)	B	Interest	K	T					
30.									
31.									
32.									
33.									
34.									

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	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.									
36.									

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

Part VII. [REDACTED] was formerly employed by Nisource as set forth on my prior report. Items (5) through (12) relate to the Fidelity 401(k) Plan in which [REDACTED] invested with [REDACTED] former employer. As explained to me by a Fidelity representative, [REDACTED] former employer, during 2016, exchanged out certain holdings for others that were deemed equivalent holdings. That occurred as follows: (1) all of the Nisource Stock Fund and the CPG Stock Fund were exchanged into FIAM TD 2035 POOL V, a blended fund (07-01-2016); and (2) all of the FID Inst. Mmkt. was exchanged into the VANG VMMR-FED MMKT (09-19-2016). Additionally, at some point in 2015, her holding listed as Sptn 500 Index Inst. was exchanged by the employer into the FID 500 INDEX INST. These exchanges were all accomplished without our knowledge by her former employer. I can attempt to provide further information if deemed necessary.

Part VII. We divested our family and individual holdings in J.P. Morgan Chase and United Bankshares Inc. WV near the time I took the bench. We purchased the stock in Travelers with the entirety, or near entirety, of the proceeds to the best of my recollection. Please advise if the Committee desires further information.

Part VII. The Smart 529 Plans were commenced over a decade ago, one for each [REDACTED]. The Hartford only provides income information for the life of the investment. The Hartford will not break it down for me by year, although I lodged a special request that it do so. I am thus left with little option to leave the income column blank. Please advise if the Committee desires the statements of account.

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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/ **Frank W. Volk**

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
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Washington, D.C. 20544