AO 10
Rev. 1/2019

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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)	2. Court or Organization	3. Date of Report
Schaaf, Gregory R.	U.S. Bankruptcy Court, Eastern District of Kentucky	04/29/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
Bankruptcy Court Judge (full time)	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2020 **to** 12/31/2020

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.	Executor	Leon Joseph Creek Estate (See Part VIII, Note 4)
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.		

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.			
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.	2020	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.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

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.			

Name of Person Reporting	Date of Report
Schaaf, Gregory R.	04/29/2021

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	B		C		D				
	Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
	Place "(X)" after each asset exempt from prior disclosure	(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	B	Int./Div.	J	T					
2.	Metropolitan Tower Life Insurance Company(whole life) (Note 1)	A	Int./Div.			Redeemed	08/22/20	L		
3.	(H)Retirement Account - No. 1 (risk based)									
4.	--FDN		None			Sold (part)	03/12/20	K	C	
5.						Sold	03/18/20	K	D	
6.	--QTEC		None			Sold (part)	03/12/20	K	A	
7.						Sold	03/18/20	J	D	
8.	-First Trust Trust Series 15 (FT Div Inc Trust Series 15 Fee Reimb.)		None			Matured	05/18/20	L	A	
9.	-FXL		None			Sold (part)	03/12/20	K	A	
10.						Sold	03/18/20	K	A	
11.	-First Trust Portfolio LP AQA Large Cap Portfolio Series Fee Reinvest	A	Dividend			Matured	05/29/20	K	A	
12.	-FXO		None			Sold (part)	03/12/20	K	A	
13.						Sold	03/18/20	J	A	
14.	-FXU		None			Sold (part)	03/12/20	K	A	
15.						Sold	03/18/20	K	A	
16.	-VOO	C	Dividend	M	T	Buy (add'l)	03/24/20	K		
17.						Buy (add'l)	04/22/20	J		

1 Income Gain Codes: (See Columns B1 and D4)	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
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2 Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3 Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Schaaf, Gregory R.	04/29/2021

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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.					Buy (add'l)	05/29/20	K		
19. -First Trust High Qlty Divid 2Q19	A	Dividend			Matured	05/29/20	J	A	
20. -First Trust Tgt Glbl Ldrs 2Q19	A	Dividend			Matured	05/29/20	J	A	
21. -First Truste Automated Quant Anlys 18	A	Dividend			Matured	05/29/20	M	E	
22. -First Trust Automated Quan Anlys 19	A	Dividend			Matured	05/29/20	M	C	
23. -CitiBank (temporary sweep account)	A	Interest			Closed	01/01/20	J	A	
24. -FWGIX	B	Dividend	M	T	Buy	03/03/20	K		
25.					Buy (add'l)	03/12/20	K		
26.					Buy (add'l)	03/24/20	K		
27.					Buy (add'l)	04/22/20	J		
28.					Sold (part)	05/29/20	L	A	
29. -GAFFX	B	Dividend	M	T	Buy	03/03/20	K		
30.					Buy (add'l)	03/12/20	K		
31.					Buy (add'l)	03/24/20	K		
32.					Buy (add'l)	04/22/20	J		
33.					Buy (add'l)	05/29/20	K		
34.					Sold (part)	08/25/20	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	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
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2 Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3 Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Schaaf, Gregory R.	04/29/2021

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)
35. -IJR	A	Dividend	L	T	Buy	04/22/20	J		
36.					Buy (add'l)	05/29/20	L		
37. -VWO	B	Dividend	M	T	Buy	04/22/20	J		
38.					Buy (add'l)	05/29/20	L		
39.					Sold (part)	08/25/20	J	B	
40. -VEA	C	Dividend	M	T	Buy	04/22/20	J		
41.					Buy (add'l)	05/29/20	M		
42.					Buy (add'l)	08/25/20	J		
43. -FWMIX	C	Dividend	M	T	Buy	03/03/20	K		
44.					Buy (add'l)	03/24/20	K		
45.					Buy (add'l)	04/22/20	J		
46.					Buy (add'l)	05/29/20	L		
47.					Buy (add'l)	06/03/20	J		
48.					Buy (add'l)	08/25/20	J		
49. -AGN		None			Buy	02/25/20	J		
50.					Sold	03/03/20	J	A	
51. -DIS		None			Buy	02/25/20	L		

1 Income Gain Codes: (See Columns B1 and D4)	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
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2 Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3 Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Schaaf, Gregory R.	04/29/2021

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)
52.					Sold	03/03/20	L	A	
53. -GE		None			Buy	02/25/20	K		
54.					Sold	03/03/20	K	A	
55. -VNQ		None			Buy	04/22/20	J		
56.					Sold	05/29/20	J	A	
57. -HSBC Bank USA (temporary sweep acct)	A	Interest	J	T	Open	01/01/20	J		
58. [(H) End Retirement Account - No.1]									
59. (H)Investement Account - No. 1									
60. -CSCO	A	Dividend	K	T					
61. -FDN		None	K	T					
62. -QTEC	A	Dividend	K	T					
63. -FXL	A	Dividend	K	T					
64. -FXO	A	Dividend			Sold	06/10/20	J	A	
65. -FXU	A	Dividend			Sold	06/10/20	J	A	
66. -FXD	A	Dividend	J	T	Buy	06/10/20	J		
67. -FTXR	A	Dividend	J	T	Buy	09/22/20	J		
68. -FXN		None			Buy	06/10/20	J		

1 Income Gain Codes: (See Columns B1 and D4)	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
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2 Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3 Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Schaaf, Gregory R.	04/29/2021

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)
69.					Sold	09/15/20	J	A	
70. -CitiBank (X) (temporary sweep account) (Note 5)	A	Interest	J	T					
71. [(H)End Investment Account - No. 1]									
72. (H)Retirement Account - No. 2									
73. -TIAA Trad'l	A	Interest	K	T					
74. T-C Lfcyle Idx Rtmt	C	Dividend	M	T	Buy	12/31/20	J		
75. [(H)End Retirement Account - No. 2]		None							
76. (H)Investment Account - No. 2									
77. -VFIAX	B	Dividend	M	T					
78. -VEXAX	A	Dividend	L	T					
79. -ARKK	A	Dividend	J	T					
80. -FVD	A	Dividend	J	T	Sold (part)	05/18/20	J	A	
81. -FTCS	A	Dividend	J	T					
82. -RDVY	A	Dividend	J	T	Buy (add'l)	05/18/20	J		
83. -SPLV	A	Dividend			Sold	05/18/20	J	A	
84. -IHI	A	Dividend	J	T					
85. -XAR	A	Dividend			Sold	10/14/20	J	A	

1 Income Gain Codes: (See Columns B1 and D4) — 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; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000

2 Value Codes (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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; P3 =$25,000,001 - $50,000,000; P4 =More than $50,000,000

3 Value Method Codes (See Column C2) — Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

Name of Person Reporting	Date of Report
Schaaf, Gregory R.	04/29/2021

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)
86. -BIICX	A	Dividend			Sold	03/05/20	J	A	
87. -SBLYX		None			Sold	05/18/20	J	A	
88. -HLIEX	A	Dividend	J	T					
89. -JSOSX	A	Dividend			Sold	05/18/20	J	A	
90. -JVASX		None			Sold	03/03/20	J	A	
91. -GLIFX		None			Sold	03/19/20	J	A	
92. -MFAIX		None			Sold	03/20/20	J	A	
93. -PXWIX		None			Sold	05/18/20	J	A	
94. -PRJZX	A	Distribution	J	T	Buy (add'l)	05/18/20	J		
95.					Sold (part)	10/14/20	J	A	
96. -PDBZX	A	Dividend	J	T	Buy (add'l)	05/18/20	J		
97.					Buy (add'l)	10/01/20	J		
98. -TRBCX		None			Sold (part)	06/25/20	J	A	
99.					Sold	10/14/20	J	C	
100. -PKSFX	A	Dividend	J	T	Sold (part)	05/18/20	J	A	
101. -WACPX	A	Dividend	J	T	Buy (add'l)	10/01/20	J		
102. -LMGNX		None			Sold	03/20/20	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	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
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2 Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3 Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Schaaf, Gregory R.	04/29/2021

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)
103. -LMGNX	A	Dividend	J	T	Buy	10/14/20	J		
104. -LVHD	A	Dividend			Sold	05/18/20	J	A	
105. -SKYY	A	Dividend	J	T					
106. -FXU		None			Sold (part)	03/12/20	K	A	
107.					Sold	03/18/20	K	A	
108. -FV	A	Dividend	J	T	Buy (add'l)	10/01/20	J		
109. -FRI		None			Sold	03/23/20	J	A	
110. -CIBR	A	Dividend	J	T					
111. -JHMM	A	Dividend	J	T	Sold (part)	05/18/20	J	A	
112. -JNBSX (Note 2)	A	Dividend	J	T					
113. -ARKW	A	Dividend	J	T	Buy	05/18/20	J		
114.					Sold (part)	10/01/20	J	A	
115. -HYLS	A	Dividend	J	T	Buy	05/18/20	J		
116. -FIXD	A	Dividend	J	T	Buy	03/05/20	J		
117.					Buy (add'l)	05/18/20	J		
118.					Buy (add'l)	01/01/20	J		
119. -FBT		None	J	T	Buy	04/06/20	J		

1 Income Gain Codes: (See Columns B1 and D4)	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
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2 Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3 Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Schaaf, Gregory R.	04/29/2021

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)
120.					Buy (add'l)	05/18/20	J		
121. -NXTG	A	Dividend	J	T	Buy	05/18/20	J		
122. -LMBS	A	Dividend	J	T	Buy	03/05/20	J		
123.					Sold (part)	05/18/20	J	A	
124. -FPX	A	Dividend	J	T	Buy	05/18/20	J		
125. -FTSM	A	Dividend	J	T	Buy	10/01/20	J		
126. -PAVE		None	J	T	Buy	12/07/20	J		
127. -NOBL	A	Dividend	J	T	Buy	05/18/20	J		
128. -FAGCX	A	Dividend	J	T	Buy	05/18/20	J		
129.					Sold (part)	10/14/20	J	A	
130. -FHCIX	A	Dividend	J	T	Buy	05/18/20	J		
131. -FDYZX		None	J	T	Buy	10/14/20	J		
132. -JEMSX	A	Dividend	J	T	Buy	05/18/20	J		
133. -GAOSX	A	Dividend	J	T	Buy	03/05/20	J		
134. -MWCIX	A	Dividend	J	T	Buy	05/18/20	J		
135.					Buy (add'l)	10/01/20	J		
136. -TSIIX	A	Dividend	J	T	Buy	05/18/20	J		

1 Income Gain Codes: (See Columns B1 and D4)	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
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2 Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3 Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Schaaf, Gregory R.	04/29/2021

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)
137. -VIMCX	A	Distribution	J	T	Buy	05/18/20	J		
138. -RHS	A	Distribution			Buy	05/18/20	J		
139.					Sold	12/07/20	J	A	
140. -Morgan Stanley Private Bank NA (temporary sweep acct)	A	Interest	J	T					
141. [(H)End Investment Account - No. 2]									
142. Community Trust Bank	A	Interest	M	T					
143. (H)Investment Account - No. 3									
144. -Oppenhiemer Steelpath MLP Income Fund A (MLPDX)	A	Dividend			Buy	06/25/20	J		
145.					Sold	12/21/20	K	A	
146. -Oppenheimer Global Opportunities Fund Class A (OPGIX) (Note 3)		None			Buy	11/30/20	K		
147.					Sold	12/21/20	J	B	
148. [(H)End Investment Account - No. 3]									
149. PNC Bank	A	Interest	J	T					
150. Metropolitan Tower Life Insurance Company (Whole Life)		None	K	T					
151. (H) Investement Account - No. 4									
152. -VWEHZ	A	Dividend	J	T					
153. -VTTVX	A	Dividend	J	T					

1 Income Gain Codes: (See Columns B1 and D4)	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
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2 Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3 Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Schaaf, Gregory R.	04/29/2021

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)
154. -VBLAX	A	Dividend	J	T					
155. [(H) End Investment Account - No. 4]									

1 Income Gain Codes: (See Columns B1 and D4)	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
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2 Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3 Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

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

Note 1: Part VII, Line 2: The cash value was reported for prior years. The named insured passed away, so the insurance proceeds were disbursed.

Note 2: Part VII, Line 112: Identified as JBNSX on prior year Part VIII. The correct symbol is JNBSX. This was identified correctly in Note 2 on Part VIII last year.

Note 3: Part VII, Line 146: 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 I, Line 1: There are no reportable assets based on the nature of the estate. (Discussed with committee staff before submission.)

Note 5: Part VII, Line 70: This is the temporary sweep account for this investment account. I discovered that the sweep account changed to CitiBank during 2019, so it is corrected. The amounts in this account for any length of time are de minimis as they are quickly reinvested. Therefore, I have handled by this note instead of attempting an amendment.

Name of Person Reporting	Date of Report
Schaaf, Gregory R.	04/29/2021

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544