

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) Preston, C. Kathryn	2. Court or Organization Bankruptcy Court, S.D. Ohio	3. Date of Report 06/21/2021
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 1/1/2020 to 12/31/2020
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. 2020	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.				
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.		
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 112)	L
2. Huntington National Bank	Second Mortgage/Personal Credit Line, Rental Prop. #1 Cape Coral, FL. (Pt. VII, line 112)	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)	(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)

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) see Part VIII (Y)									
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	M	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	J	T					
13. - M&T Bank Corporation ("MTB") - stock	A	Dividend	K	T					
14. - Van Eck Vectors Pharm ETF ("PPH") - Shares	A	Dividend	K	T					
15. - Invesco QQQ ETF ("QQQ") - shares	A	Dividend	L	T					
16. - SPDR S&P 500 ETF ("SPY") - shares	B	Dividend	L	T					
17. - Truist Bank f/k/a Suntrust Investment Services Inc. Money Market	A	Dividend	K	T		11/30/20			Name Change

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	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(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	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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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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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. - Valvoline, Inc. ("VVV") - stock	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	N	V					
21. Talcott Resolution f/k/a Hartford Life Ins. Policy (H)									
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 (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 (see Part VIII)		None	J	T					
30. - Invesco VI Comstock Fund (see Part VIII)		None	J	T					
31. Brokerage Account #1 (H)									
32. - Edward Jones Cash account	A	Interest	J	T					
33. - Amazon - stock		None	J	T					
34. - Proctor & Gamble Co. - common stock	A	Dividend	K	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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35. -Raytheon Tech. Corp. f/k/a United Tech. Corp. - stock; see also 41-42	A	Dividend	J	T		04/03/20	J	A	Name Change
36. - Verizon Communications - common stock	A	Dividend	J	T					
37. - Walt Disney Co. - stock	A	Dividend	J	T					
38. - Federated OH Muni Income Fund	A	Int./Div.	J	T					
39. - CAIBX - Class A Bonds	A	Dividend	J	T					
40. - Sherwin Williams Co - stock	A	Dividend	J	T					
41. - Carrier Global Corp. - stock (X)	A	Dividend	J	T	Spinoff (from line 35)	04/03/20	J		
42. - Otis Worldwide Corp. - stock (X)	A	Dividend	J	T	Spinoff (from line 35)	04/03/20	J		
43.					Sold (part)	04/03/20	J	A	
44. Brokerage Account #2 (H)									
45. - American Balanced Fund - Class A Bonds	D	Dividend	M	T	Buy (add'l)	01/08/20	J		
46.					Buy (add'l)	02/06/20	J		
47.					Buy (add'l)	03/06/20	J		
48.					Buy (add'l)	04/08/20	J		
49.					Buy (add'l)	05/06/20	J		
50.					Buy (add'l)	06/08/20	J		
51.					Buy (add'l)	07/08/20	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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52.					Buy (add'l)	08/06/20	J		
53.					Buy (add'l)	09/09/20	J		
54.					Buy (add'l)	10/07/20	J		
55.					Buy (add'l)	11/06/20	J		
56.					Buy (add'l)	12/08/20	J		
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	C	Dividend	M	T					
64. - AMECX - Class A Bonds	C	Dividend	L	T					
65. - CWGIX - Class A Bonds	B	Dividend	M	T					
66. - SMCWX - Class A Bonds	B	Dividend	L	T					
67. - AMRMX - Class A Bonds	A	Dividend	K	T					
68. IRA # 2 (H)									

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

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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	L	T					
75. IRA #3 (H)									
76. - Edward Jones Cash Account	A	Interest	J	T					
77. - AMCPX - Class A Bonds	C	Dividend	L	T					
78. - ABALX - Class A Bonds	C	Dividend	L	T					
79. - AHITX - Class A Bonds	B	Dividend	K	T					
80. - CAIBX - Class A Bonds	B	Dividend	K	T					
81. - CWGIX - Class A Bonds	A	Dividend	L	T					
82. - ANCFX - Class A Bonds	B	Dividend	L	T					
83. - AMECX - Class A Bonds	B	Dividend	K	T					
84. - AIVSX - Class A Bonds	B	Dividend	L	T					
85. - PGBOX - Class A Bonds	B	Dividend	L	T					

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86. - ONIAX - Class A Bonds	B	Dividend	L	T					
87. - OIEIX - Class A Bonds	B	Dividend	L	T					
88. - VHIX - Class A Bonds	E	Dividend	M	T					
89. - OHYAX - Class A Bonds	C	Dividend	L	T					
90. - JCMA - Class A Bonds	D	Dividend	L	T					
91. - OMBAX - Class A Bonds	B	Dividend	L	T					
92. - ANEFX - Class A Bonds	B	Dividend	L	T					
93. - ANWPX - Class A Bonds	C	Dividend	L	T					
94. - SMCWX - Class A Bonds	B	Dividend	L	T					
95. - JVAAX - Class A Shares	A	Dividend	K	T					
96. - VSCOX - Class A Shares	A	Dividend	K	T					
97. - ABNDX - Class A Shares	B	Dividend	K	T					
98. IRA #4 (H)									
99. - Note receivable (see Part VIII)	D	Interest	L	V					Escalante Golf, Inc.
100. - Escalante Gallery LLC - member equity interest	D	Distribution	L	T					
101. - Escalante River Club LLC - member equity interest	D	Distribution	L	T					
102. IRA #5 (H)									

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103. - American Mut. Fund (AMRMX) - shares	A	Dividend	J	T					
104. - American Bond Fund of America (ABNDX) - shares (see Part VIII)	A	Dividend	J	T					
105. - American Cap. Inc. Bldr. Mut. Fund (CAIBX) - shares (see Part VIII)	A	Dividend	J	T					
106. - American Growth Fund of Amer. (AGTHX) - shares (see Part VIII)	A	Dividend	K	T					
107. - JP Morgan Core Bond Fund (PGBOX) - shares	A	Dividend	J	T					
108. - JP Morgan High Yield Fund (OHYAX) - shares	A	Dividend	J	T					
109. - JP Morgan Mid Cap Equity Fund (JCMAX) - shares	A	Dividend	J	T					
110. - American Small Cap World Fund (SMCWX) - shares (see Part VIII)	A	Dividend	J	T					
111. Family Trust #1 (H)									
112. - Rental Property #1, Cape Coral, FL (Purchased 2005 \$679,900)	D	Rent	O	R					
113. - Investment Property, N. Captiva, FL		None	N	W					
114. - CPT Enterp. LLC - member equity int (H) See Part VIII (X)									
115. -- Ashland Global Holdings, Inc. f/k/a Ashland, Inc. ("ASH") - stock	A	Dividend	J	T					
116. -- Chubb Ltd. ("CB") f/k/a Chubb Corp - stock	A	Dividend	K	T					
117. -- Conoco Philips ("COP") - stock	A	Dividend	K	T					
118. -- Dollar General Corp. ("DG") - stock	A	Dividend	M	T					
119. -- Essex Property Trust Inc. ("ESS") - stock	A	Dividend	K	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	

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. -- First Trust Health Care AlphaDex Fund ETF ("FXH") -shares		None	K	T					
121. -- General Dynamics Corp. ("GD") - stock	A	Dividend	J	T					
122. -- M&T Bank Corporation ("MTB") - stock	A	Dividend	K	T					
123. -- Van Eck Vectors Pharm ETF ("PPH") - Shares	A	Dividend	K	T					
124. -- Invesco QQQ ETF ("QQQ") - shares	A	Dividend	L	T					
125. -- SPDR S&P 500 ETF ("SPY") - shares	B	Dividend	L	T					
126. -- Truist Bank f/k/a Suntrust Investment Services Inc. Money Market	A	Dividend	K	T		11/30/20			Name Change
127. -- Valvoline, Inc. ("VVV") - stock	A	Dividend	J	T					
128. -- Farm Property (127.92 acres) Jasper Co., IA	E	Rent	N	W					

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

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Name of Person Reporting	Date of Report
Preston, C. Kathryn	06/21/2021

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

Part VII Line 104 (American Bond Fund of America) - this was previously listed as "Bond Fund of America" in error. No transaction has taken place regarding this investment.

Part VII Line 105 (American Cap. Inc. Bldr. Mut. Fund) - this was previously listed as "Capital Income Builder Mut. Fund" in error. No transaction has taken place regarding this investment.

Part VII Line 106 (American Growth Fund of Amer.) - this was previously listed as "Growth Fund of Amer" in error. No transaction has taken place regarding this investment.

Part VII Line 110 (American Small Cap World Fund) - this was previously listed as "Small Cap World Fund" in error. No transaction has taken place regarding this investment.

Part VII Lines 5-19, 114-128 - my interest in CPT Enterp. LLC was transferred to Family Trust #1 on 03/13/2019.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Preston, C. Kathryn

Date of Report

06/21/2021

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/ 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