

FINANCIAL DISCLOSURE REPORT

INITIAL FILING

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 01/01/2016
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 01/01/2014 to 12/31/2015
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Adjunct Lecturer of Law	West Virginia University College of Law
2.	General Counsel	Boulevard Mobile Homes, Inc.
3.	Editorial Staff	American Bankruptcy Institute Law Journal
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. 2016	I may be asked, depending upon enrollee interest, to serve as an adjunct lecturer of law at the West Virginia University College of Law.
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Volk, Frank W.

Date of Report

01/01/2016

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. 2014	WV Law School (teaching)	\$6,000.00
2. 2015	WV Law School (teaching)	\$6,500.00
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.	
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. EXEMPT				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Volk, Frank W.

Date of Report

01/01/2016

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.	EXEMPT		
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.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Volk, Frank W.

Date of Report

01/01/2016

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	Exempt				
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	A	Dividend	J	T					
6. CPG Stock Fund	D	Dividend	J	T					
7. FID Controfund Pool	A	Dividend	K	T					
8. FID Growth Co Pool	A	Dividend	K	T					
9. Sptn 500 Index Inst.	A	Dividend	J	T					
10. FID Inst. Mmkt.	A	Int./Div.	J	T					
11. Dominion Res. Inc. Va. New (Brokerage #1)	B	Int./Div.	K	T					
12. United Bankshares Inc. WVa (Brokerage #1)	B	Int./Div.							
13. Travelers Companies Inc. (Brokerage #1)		None	K	T					
14. United Bankshares Inc. WVa (Brokerage #2)	B	Int./Div.							
15. Travelers (Brokerage #2)		None	K	T					
16. AEP (Brokerage #2)	A	Dividend	J	T					
17. AT&T (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 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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Volk, Frank W.

Date of Report

01/01/2016

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 I (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. BP PLC SPONSORED ADR (Brokerage #2)	A	Dividend	J	T					
19. Dominion Resources Inc. New (Brokerage #2)	B	Dividend	K	T					
20. Emerson Electric Co. (Brokerage #2)	A	Dividend	J	T					
21. Exelon Corp. (Brokerage #2)	A	Dividend	J	T					
22. Exxon Mobil Corp. (Brokerage #2)	B	Dividend	K	T					
23. Southern Co. (Brokerage #2)	A	Dividend	J	T					
24. Travelers Companies Inc. (Brokerage #2)		None	K	T					
25. JP Morgan Chase & Co. (Brokerage #2)	A	Dividend							
26. Franklin Income Fund CL A (Brokerage #2)	A	Dividend	J	T					
27. United Bankshares Inc. WVa (Brokerage #2)	A	Dividend							
28. Travelers Companies Inc. (Brokerage #2)		None	J	T					
29. United Bankshares Inc. WVa (Brokerage #2)	A	Dividend							
30. Travelers Companies Inc. (Brokerage #2)		None	J	T					
31. United Bankshares Inc. WVa (Brokerage #2)	A	Dividend							
32. Travelers Companies Inc. (Brokerage #2)		None	J	T					
33. Columbia Retirement Plan (Defined Bft. Cash Balance Pension)	B	Interest	K	T					
34.									

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		

FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Volk, Frank W.

Date of Report

01/01/2016

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)

35.									
36.									
37.									
38.									
39.									
40.									

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 7 of 8

Name of Person Reporting

Volk, Frank W.

Date of Report

01/01/2016

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

Part I. The General Counsel position is with a closely-held, [REDACTED] corporation. There are no investments or assets associated with my position.

Part VII. [REDACTED] was formerly employed by Nisource. Items (4) through (9) relate to the 401(k) Plan in which [REDACTED] invested. The Nisource Stock Fund and CPG Stock Fund had some unusual activity during the period. I cannot quite discern what happened, but it appears that some of the retirement fund Nisource stock was converted into CPG stock, along with other transfers. I can attempt to provide further information if deemed necessary.

Part VII. We divested [REDACTED] 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. We show no income from the Travelers' investment, which occurred in the last quarter of 2015 to the best of my recollection.

Part VII. The Smart 529 Plans were commenced over a decade ago, one for each of [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.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Volk, Frank W.

Date of Report

01/01/2016

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
One Columbus Circle, N.E.
Washington, D.C. 20544