

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) Humphrey, Guy R.	2. Court or Organization US Bankruptcy Court	3. Date of Report 05/14/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address 120 W Third St Dayton, Ohio 45402		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the <i>NONE</i> box for each part where you have no reportable information. Insert signature on last page.		

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. _____	_____
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. 4/15/2000	Member of EARL, LTD. (EARL) under which quarterly distributions are received (2000-2025) for attorney fees earned while partner (cont in 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. 2011	EARL, LTD., distribution of earned attorney fees	\$56,018.00
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. 2011	Franklin City School District -- Wages
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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. IRAs Fairfield National Bank	A	Interest	J	T					
2. IRA Middlefield Banking Company	A	Interest	J	T					
3. Fifth Third Bank Accounts	A	Interest	L	T					
4. College Advantage 529 Account #2 (Guarant'd Savings Fund)	A	Interest	J	T					
5. Vestas Wind Systems	A	Dividend	J	T					
6. Evergreen Solar (Y)									
7. BlackRock, formerly Putnam as manager									
8. -- 529 fund B (COLLEGEADV MODERATE 2001-A)	A	Interest	J	T					
9. Jackson National Life Insurance Company									
10. (Perspective II Fixed & Variable Annuity)	A	Int./Div.	L	T					
11. -- JNL/Franklin Templeton Found Strat	A	Int./Div.	K	T					
12. -- JNL/T. Rowe Price Established Growth	A	Int./Div.	K	T					
13. John Hancock Life Insurance Company -- John Hancock Trust	E	Int./Div.	L	T					
14. series type mutual fund managed by John Hancock Investment									
15. Management Services, LLC									
16. -- 500 Index B portfolio	A	Int./Div.	J	T					
17. -- American Bond portfolio	A	Int./Div.	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 = \$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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	(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. -- American Growth portfolio	A	Int./Div.	J	T					
19. -- American International portfolio	A	Int./Div.	J	T					
20. --Global portfolio	A	Int./Div.	J	T					
21. -- Fixed portfolio	A	Int./Div.	J	T					
22. -- International Equity Index B portfolio	A	Int./Div.	J	T					
23. -- Lifestyle Aggressive portfolio	A	Int./Div.	J	T					
24. -- Mid Cap Index portfolio	A	Int./Div.	J	T					
25. -- Natural Resources portfolio	A	Int./Div.	J	T					
26. -- Small Cap Growth portfolio	A	Int./Div.	J	T					
27. -- Small Cap Index portfolio	A	Int./Div.	J	T					
28. -- Small Cap Value portfolio	A	Int./Div.	J	T					
29.									
30.									

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

Part II (cont)

with former law firm, Chester Willcox & Saxbe (CWS), from national litigation between the State of Ohio and cigarette manufacturers. The members of EARL are former partners of CWS who were partners of CWS at the time of the fee award made in 2000. As of January 1, 2012, CWS merged with the law firm of Taft Stettinius & Hollister; however, there is no relationship between EARL and Taft Stettinius & Hollister other than that some of the members of EARL who were partners of CWS in 2000 are now partners or other attorneys with Taft Stettinius & Hollister. Distributions by EARL were fixed and set through a percentage formula agreed upon and established through the agreement and documents created in 2000 and the only function of EARL is to receive the fee award payments, to make the distributions to the members of EARL in accordance with the 2000 agreement, and to make all appropriate and required tax or other filings for EARL.

Part VII.

The Evergreen Solar stock became worthless and extinguished upon the Chapter 11 bankruptcy filing by the company and the later conversion of that case to a Chapter 7 liquidation bankruptcy case.

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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/ Guy R. Humphrey

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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