

**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) Kelley, Susan V.	2. Court or Organization Bankruptcy Court ED Wis	3. Date of Report 10/19/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge	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 517 East Wisconsin Avenue Milwaukee, WI 53202		
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.	
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Kelley, Susan V.

Date of Report

10/19/2017

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. 3/25/16	Wolters Kluwer Law & Business, book royalties	\$26,668.51
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.	
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. American Bankruptcy Institute	6/16 -6/17	Lake Geneva, WI	Bankruptcy Seminar	two nights hotel, mileage, meals
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Kelley, Susan V.

Date of Report

10/19/2017

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Kelley, Susan V.

Date of Report

10/19/2017

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. Brokerage Account 1									
2. Wells Fargo Large Co Core-Inv Fund	A	Int./Div.	J	T					
3. Wells Fargo Advantage Large Company Growth	A	Int./Div.	J	T					
4. Wells Fargo Advantage Opportunity Inv.	A	Int./Div.	K	T					
5. BMO Harris Bank Account	A	Interest	L	T					
6. Mutual of Omaha Whole Life Insurance Policies	A	Interest	K	T					
7. UBS Retirement Account									
8. IShares U.S. Technology ETF	A	Int./Div.	K	T					
9. IShares Trust Russell 2000 Index Fund	A	Int./Div.	K	T					
10. IShares Trust U.S. Basic Materials Sctr Index Fund	A	Int./Div.	K	T	Buy (add'l)	5/12/16	J		
11. IShares US Consumer Services Sector Index Fund	A	Int./Div.			Sold	05/12/16	K	D	
12. IShares Inc MSCI EMU Index Fund	B	Int./Div.	M	T					
13. IShares Trust Russell Midcap Index Fund	A	Int./Div.	K	T					
14. IShares Trust S&P Latin America 40 Index Fund	A	Int./Div.	K	T	Buy (add'l)	05/12/16	K		
15. IShares MSCI Emerging Markets Index Fund					Sold	05/12/16	K		
16. IShares Tr MSCI All Ctry Asia Ex Japan Index	A	Int./Div.	K	T					
17. Guggenheim Solar ETF	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 = \$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 5 of 8

Name of Person Reporting

Kelley, Susan V.

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10/19/2017

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18. Deutsche X-trackers Harvest	A	Int./Div.	K	T					
19. Energy Sector SPDR Trust	A	Int./Div.	K	T	Buy (add'l)	5/12/16	J		
20. IShares US Oil & Gas Explore & Prod Trust	A	Int./Div.			Sold	5/12/16	J		
21. IShares US Oil Equipment & Ser. Trust	A	Int./Div.			Sold	05/12/16	J		
22. Nationwide Future Venue Annuity									
23. Drey Stk Indx SVC	A	Int./Div.	J	T					
24. Fnklnvtpt Tmp Forgn Vip 3	A	Int./Div.	J	T					
25. Fnklnvtptfnklnsmcp Val Vip 2	A	Int./Div.	J	T					
26. Virent 401K Great West Retirement Services									
27. Dodge & Cox International Stock	A	Int./Div.			Sold	03/23/16	K	A	
28. Artisan Mid Cap Inv	A	Int./Div.			Sold	03/23/16	J	A	
29. T. Rowe Price Blue Chip Growth	A	Int./Div.			Sold	03/23/16	K	B	
30. Vanguard Large Cap Index Signal	A	Int./Div.			Sold	03/23/16	K	B	
31. William Blair Bond I	A	Int./Div.			Sold	03/23/16	J	A	
32. Wisconsin Retirement Employee Trust Fund	A	Int./Div.	K	T					
33. Virent Energy Systems, Inc. Common Stock		None			Expired	09/28/16	J		
34. Morgan Stanley IRA									

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FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Kelley, Susan V.

Date of Report

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35. Franklin India Growth	A	Int./Div.	K	T					
36. JP Morgan Growth Adv. C	A	Int./Div.			Sold	09/15/16	K		
37. Loomis Growth C	A	Int./Div.	K	T	Buy	09/15/16	K		
38. Birtus Multi Sect Shtrm Edc	A	Int./Div.	J	T	Buy	09/15/16	J		
39. Tesoropetroleum Op	A	Int./Div.	J	T	Buy	04/5/16	J		
40. UNT AAM High Yield and Income	A	Int./Div.	K	T	Buy	05/10/16	K		
41. UNT AAM Global Covered Call and Income	A	Int./Div.	K	T	Buy	05/10/16	K		
42. UNT AAM Tactical Income	A	Int./Div.	K	T	Buy	05/10/16	K		
43. Morgan Stanley Inv. Acc't									
44. National Gen'l Holdings Corp.	A	Int./Div.	K	T					
45. UNT AAM Global Tech/151	A	Int./Div.	K	T					
46. UNT AAM Nasdaq 50 Index 2015-2	A	Int./Div.	K	T					
47. UNT AAM European Select 2015-1Q	A	Int./Div.	K	T					
48. UNT AAM Healthcare Opportunities 2015-1	A	Int./Div.			Sold	11/28/16	K		
49. UNT AAM Global Basic Materials 15-1	A	Int./Div.	K	T					
50. UNT Guggen-eim Health Care 21	A	Int./Div.	K	T	Buy	11/28/16	K		

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FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Kelley, Susan V.

Date of Report

10/19/2017

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

III - Wolters Kluwer Royalties paid March and September. Amount shown is total annual royaties

VII - line 33 Virent common stock. Company was purchased and stock was canceled.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Kelley, Susan V.

Date of Report

10/19/2017

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/ Susan V. Kelley**

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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