

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 10/07/2014
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 01/01/2013 to 12/31/2013
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.)

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. 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. Jan 2013	City of Columbus, Ohio (Salary (back pay))
2. 2013	Ohio Police & Fire Pension Fund (retirement benefits)
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. Columbus Bar Association Bankruptcy Law Institute	May 2 -3, 2013	Columbus, OH	Planning Committee Member	Tuition, Meals
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 1)	M
2.	Huntington National Bank	Second Mortgage/Personal Credit Line, Rental Prop. #1 Cape Coral, FL. (Pt. VII, line 1)	K
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. Rental Property #1, Cape Coral, FL (Purchased 2005 \$679,900)	D	Rent	O	R					
2. Investment Property, N. Captiva Island, FL		None	N	W					
3. Huntington Bank Accounts	A	Interest	L	T					
4. Bank of America Accounts	A	Interest	K	T					
5. Fifth Third Bank Account	A	Interest	J	T					
6. CME Fed. Credit Union Accounts	A	Interest	L	T					
7. Chase Bank Accounts		None	J	T					
8. Trust #1-income beneficiary	B	Distribution	N	T					
9. -Ashland, Inc.									
10. -AT&T, Inc., f/k/a SBC Communications									
11. -BRE Properties, Inc.									
12. -Chubb Corp.									
13. -Cimarix Energy Co.									
14. -Cisco Systems, Inc.									
15. -Conoco Philips									
16. -Denison Mines Corp.									
17. -Energy Fuels Inc.									

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 - \$500,000,000	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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18. -Dodge & Cox Int'l Stock Fund									
19. -EMC Corp.									
20. -Frontier Communications Corp.									
21. -General Dynamics Corp.									
22. -Aberdeen Greater China Fund f/k/a Greater China Fund Inc.com									name change
23. -Heartland Express, Inc.									
24. -Ishares S&P Latin America									
25. -M&T Bank Corporation									
26. -Marathon Oil									
27. -Marathon Petroleum Corp.									
28. -Merck & Co., Inc.									
29. -Microsoft Corp.									
30. -Phillips 66									
31. -Raytheon Co.									
32. -Southern Co.									
33. -Tupperware Corp.									
34. -Verizon Communications									

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35. -Walmart Stores, Inc.									
36. -Whirlpool Corp.									
37. -Wells Fargo Government Money Market Fund									
38. -Farm Property (127.92 acres) Jasper Co., IA									
39. Huntington Bancshares Pension Plan (See part VIII)		None	M	V					
40. Hartford Life Ins. Policy		None	K	T					
41. - American Funds Ins. Asset Alloc. Fund									
42. - American Funds Ins. Bond Fund									
43. -American Funds Ins. Growth Income Fund									
44. -Franklin Templeton Mutual Shares Security Fund									
45. -Fidelity VIP Contra Fund Portfolio									
46. -Fidelity VIP Mid Cap Portfolio									
47. - HLS Int'l Opport. Fnd									
48. -Oppenheimer Global Securities Fund									
49. -INV VK Comstock									
50. Brokerage Account #1 (H)			L	T					
51. - Exxon Mobile Corp. - common stock	A	Dividend	J	T					

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52. -IBM	A	Dividend	J	T					
53. - Proctor & Gamble Co. - common stock	A	Dividend	J	T					
54. - United Technologies Corp.	A	Dividend	J	T					
55. - Walt Disney Co.	A	Dividend	J	T					
56. -Fed OH Muni Income Fund	A	Int./Div.	J	T					
57. Brokerage Account #2 (H)			M	T					
58. - American Balanced Fund - Class A Bonds	A	Dividend	L	T					
59. -American Europacific Growth Fund Class A	A	Dividend	K	T	Buy (add'l)	01/09/13	J		
60.					Buy (add'l)	02/07/13	J		
61.					Buy (add'l)	03/07/13	J		
62.					Buy (add'l)	04/09/13	J		
63.					Buy (add'l)	05/09/13	J		
64.					Buy (add'l)	06/07/13	J		
65.					Buy (add'l)	07/10/13	J		
66.					Buy (add'l)	08/08/13	J		
67.					Buy (add'l)	09/09/13	J		
68.					Buy (add'l)	10/09/13	J		

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69.					Buy (add'l)	11/07/13	J		
70.					Buy (add'l)	12/09/13	J		
71. - American Growth Fund of America - Class A Bonds (see pt. VIII)	C	Dividend	L	T					
72. IRA # 1 (see pt. VIII)	E	Int./Div.	O	T					
73. -ABALX - Class A Bonds									
74. -ABNDX - Class A Bonds									
75. -AEPGX - Class A Bonds									
76. -AGTHX Class A Bonds					Buy (add'l)	11/04/13	J		
77. -AHITX - Class A Bonds									
78. -AIVSX - Class A Bonds									
79. -AMECX - Class A Bonds									
80. -CWGIX - Class A Bonds									
81. -NEWFX - Class A Bonds									
82. -SMCWX - Class A Bonds									
83. IRA # 2	A	Dividend	J	T					
84. - Dodge & Cox Bal. Fund									
85. - Hershey Foods Corp.									

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86. Ohio Police & Fire Pension Fund DROP (Spouse) (Y) (see pt. VIII)	D	Interest							
87. Ohio Public Employees Deferred Comp. Prog. (Spouse) (Y)(see pt. VIII)	D	Dividend							
88. - Dodge & Cox Balanced Fund					Sold	11/18/13	K	A	
89. - Dodge & Cox Stock					Sold	11/18/13	L	D	
90. - Fidelity Contra Fund					Sold	11/18/13	M	D	
91. -Fidelity Growth Co.					Sold	11/18/13	J	A	
92. - FPA Capital Fund					Sold	11/18/13	K	B	
93. - PIMCO Total Return Fund					Sold	11/18/13	K	A	
94. - Vanguard Inst. Index Fund					Sold	11/18/13	J	A	
95. - Vanguard Capital Opportunity Fund					Sold	11/18/13	K	B	
96. Investment Accounts (as Custodian for minor relatives)	A	Dividend	J	T					
97. - CAIBX									
98. WG Holding Co., LLC		None	K	W					
99. Rum Cove, LLC		None	N	W					
100. -Rental prop N.Captiva Isl, FL(purchased 2011 \$350,000)			O	W					
101. -Personal property attendant to rental property			K	W					
102. IRA #3 (Spouse) (X) (see pt. VIII)									

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103. - Edward Jones Cash Account	A	Interest	P1	T					

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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; They found 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 39 - 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 Line 71,72- Income includes capital gains assessed to account holders due to transactions by the mutual fund.

Part VII Line 86 - The DROP account was closed 12-31-13, and the funds rolled over into IRA #3 (deposit date 1-2-14).

Part VII Line 87 - The Deferred Compensation account was closed 11-18-13, and the funds rolled over into IRA #3.

Part VII Line 102 - IRA # 3 was opened 11-20-13.

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