

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Surratt-States, Kathy A.	2. Court or Organization U.S. Bankruptcy Court E.D. MO.	3. Date of Report 05/08/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Chief U.S. Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address Thomas Eagleton Courthouse 111 S. 10th St. - 7th Floor St. Louis, MO 63102		
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.	Member	Altrusa International Inc., of St. Louis
2.	Member - Board of Directors	Catholic Charities of St. Louis
3.	President - Board of Directors	Gifted Resource Council
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.		
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.)*

DATE	SOURCE AND TYPE	INCOME (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.)*

DATE	SOURCE AND TYPE
1. 2017	City of St. Louis (police officer)
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. Southern District of Florida Bar	05/11/2017 - 05/14/2017	Naples, FL	Speaker	travel, lodging and meals
2. National Conference of Bankruptcy Judges	10-7-2017 - 10/11/2017	Las Vegas, NV	Annual conference committee meeting	travel and lodging
3. American Bankruptcy Institute	10/26/2017 - 10/27/2017	Kansas City, MO	Speacker	travel
4. All Iowa Bankruptcy Conference	11/2/2017 - 11/3/2017	Des Moines, IA	Speaker	travel
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. Commerce Bank Accounts	A	Interest	J	T					
2. State Farm Variable Universal Life: Stock & Bonds Balance	B	Dividend	K	T					
3. City of St. Louis Public Employee Deferred Compensation Plan									
4. -American Funds Growth A	A	Dividend			Sold	11/30/17	K		
5. -Nuveen Winslow Large-Cao Growth I	A	Dividend			Sold	11/30/17	K		
6. -Vanguard Target Retirement2025 Inv	A	Dividend	L	T	Buy	12/28/17	L		
7. -Great-West Portfolio Fund	A	Dividend	K	T					
8. -Monumental Life Insurance- Whole Life		None							
9. MOST-Conservative Age-Based: Vanguard Consv Growth Portfolio	B	Dividend	L	T					
10. Northwestern Mutual Life Insurance: Whole Life Insurance	A	Dividend	K	T					
11. Tulsa Teachers Credit Union Account	A	Interest	J	T					
12. Edward Jones (IRA)									
13. - Invesco Equity & Inc Fund CL A	A	Dividend	J	T	Sold (part)	12/14/17	J		
14. -Invesco Intl Growth Fund CL A	A	Dividend	J	T	Sold (part)	12/14/17	J		
15. -Invesco Corp.Bond Fund CL A	A	Dividend	J	T	Sold (part)	12/14/17	J		
16. -Invesco Amercian Value CL R6	A	Dividend	J	T	Buy	12/14/17	J		
17. -Invesco Asia Pacific Grth Fd CL Y	A	Distribution	J	T	Buy	12/14/17	J		

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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = \$50,001 - \$100,000
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	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 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. -Invesco Corp Bld CL R6	A	Distribution	J	T	Buy	12/1/17	J		
19. -Invesco Diversified DIV Fund	A	Distribution	J	T	Buy	12/14/17	J		
20. -Invesco Equity Income CL R6	A	Distribution	J	T	Buy	12/11/17	J		
21. -Invesco Floating Rate CL R6	A	Distribution	J	T	Buy	12/1/17	J		
22. Invesco INTL Growth CL R6	A	Distribution	J	T	Buy	12/14/17	J		
23. -Invesco Real Estate Fd CL R6	A	Distribution	J	T	Buy	12/14/17	J		
24. Edward Jones									
25. -Invesco Diversified Div Fund CL A	A	Dividend	J	T					
26. -Invesco Equity & Income Fund CL A	A	Dividend	J	T					

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

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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/ **Kathy A. Surratt-States**

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