

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) Schaaf, Gregory R.	2. Court or Organization U.S. Bankruptcy Court, Eastern District of Kentucky	3. Date of Report 05/30/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Court Judge (full time)	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 United States Bankruptcy Court PO Box 1111 Lexington, KY 40588-1111		
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. Member, Board of Director	God's Pantry Food Bank (Lexington, KY)
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.	

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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. 2016	Atlanta International School, Atlanta, Ga; salary
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. National Conference of Bankruptcy Judges	10/24-10/29/2016	San Francisco, CA	Annual Conference	Hotel
2. American Inst of CPAs	11/08-11/10/2016	Nashville, TN	Speaking Engagement at Forensics/Valuation Conf	Hotel, transport, food
3. American Bankruptcy Institute	08/17-08/18/2016	Cincinnati, Ohio	Speaking Engagement MRBS Summer Conference	Hotel, transport, food
4. Nat'l Association of Bankruptcy Trustees	04/07-04/10/2016	Atlanta, GA	Speaking Engagement Annual Conference	Hotel, transport, food
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. Republic Bank, Cash Account	A	Int./Div.	J	T					
2. General American Life (whole life)		None	K	T					
3. (H)Retirement Account - No. 1 (risk based)									
4. -ARTIX (investor cl)		None			Buy	02/22/16	J		
5.					Sold	09/29/16	K	B	
6. -DODGX (Stock)	A	Dividend			Sold (part)	02/22/16	J		
7.					Sold	09/28/16	K	C	
8. -AEPFX (CL F2)		None			Buy (add'l)	02/22/16	J		
9.					Sold	09/28/16	K	C	
10. -HAINX (Instl Cl)	A	Dividend			Sold (part)	02/22/16	J		
11.					Sold	09/28/16	K	A	
12. -SBPYX (Clearbridge Small Cap Growth Cl1)		None			Sold	09/28/16	K	C	
13. -PELPX (Local Bond CL P)	A	Dividend			Sold	09/28/16	J	A	
14. -PFBPX (Bond Hedged Cl P)	A	Dividend			Sold (part)	02/22/16	J		
15.					Sold	09/28/16	K		
16. -TRBCX (Blue Chip Growth)		None			Sold (part)	02/22/16	J		
17.					Sold	09/28/16	K	D	

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 = \$5,001 - \$15,000	D = \$15,001 - \$50,000 E = \$50,001 - \$100,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,001 - \$500,000	K = \$15,001 - \$50,000 O = \$50,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	H2 = 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. -PRSVX (Value)		None			Sold (part)	02/22/16	J		
19.					Sold	09/28/16	J	B	
20. -HIEMX (Markets Opportunities CL 1)		None			Sold (part)	02/22/16	J		
21.					Sold	06/06/16	L	A	
22. -STDFX (Cap Growth Admin CL)		None			Sold (part)	02/22/16	J		
23.					Sold	09/28/16	K	B	
24. -ESIDX (Int'l Bond Admin Cl)		None			Sold (part)	02/22/16	J		
25.					Sold	09/28/16	J	A	
26. -BCOIX	A	Dividend			Buy (add'l)	02/22/16	K		
27.					Sold	09/28/16	K	B	
28. -HWHIX	A	Dividend			Sold (part)	02/22/16	J		
29.					Sold	09/28/16	J		
30. -Federated Treasury Obligations Fund	A	Int./Div.	K	T	Sold (part)	02/23/16	J		
31.					Buy (add'l)	02/24/16	J		
32.					Buy	09/30/16	K		
33.					Sold (part)	10/13/16	J		
34.					Buy (add'l)	10/17/16	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 H1 = \$5,000,001 - \$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	

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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)

35.					Sold (part)	10/19/16	K		
36.					Buy (add'l)	11/17/16	K		
37.					Sold (part)	11/18/16	K		
38.					Buy (add'l)	11/30/16	K		
39. --BAUUX					Sold	09/28/16	J		
40. --FDN		None	K	T	Buy	10/14/16	K		
41. --FXN	A	Dividend	K	T	Buy	10/14/16	K		
42. --FXU	A	Dividend	K	T	Buy	10/14/16	K		
43. --QTEC	A	Dividend	K	T	Buy	11/15/16	K		
44. --FXD	A	Dividend			Buy	10/14/16	K		
45.					Sold	11/10/16	K	A	
46. --FXG	A	Dividend			Buy	10/14/16	K		
47.		Dividend			Sold	11/23/16	K		
48. --First Trust Target High Qual Div 16 MO FE RE	A	Dividend	L	T	Buy	10/11/16	L		
49.					Buy (add'l)	01/14/16	L		
50.					Sold (part)	10/14/16	L		
51. --First Truste Target GLB DIV LDRS 4QTR 16 MO FE RE	A	Dividend	K	T	Buy	10/11/16	L		

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(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		
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52.					Buy (add'l)	10/14/16	K		
53.					Sold (part)	10/14/16	L		
54. --HYLS	A	Dividend	L	T	Buy	10/14/16	L		
55. --HYS	A	Dividend	L	T	Buy	10/14/16	L		
56. --HLEMX		None			Buy	06/07/16	L		
57.					Sold	09/28/16	L	C	
58. --TEL	A	Dividend	J	T	Buy	10/14/16	J		
59. --GOOG		None	J	T	Buy	10/14/16	J		
60. --AAPL	A	Dividend	J	T	Buy	10/14/16	J		
61. --BRK/B		None	J	T	Buy	10/14/16	J		
62. --CVS	A	Dividend	J	T	Buy	10/14/16	J		
63. --CSCO		None	J	T	Buy	10/14/16	J		
64. --DIS		None	J	T	Buy	10/14/16	J		
65. --EXPD	A	Dividend	J	T	Buy	10/14/16	J		
66. --XOM	A	Dividend	J	T	Buy	10/14/16	J		
67. --FAST	A	Dividend	J	T	Buy	10/14/16	J		
68. --GE		None	J	T	Buy	10/14/16	J		

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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69. --HOG	A	Dividend	J	T	Buy	10/14/16	J		
70. --HD	A	Dividend	J	T	Buy	10/14/16	J		
71. --IBM	A	Dividend	J	T	Buy	10/14/16	J		
72. --JPM		None	J	T	Buy	10/14/16	J		
73. --JNJ	A	Dividend	J	T	Buy	10/14/16	J		
74. --MAT	A	Dividend	J	T	Buy	10/14/16	J		
75. --MSFT	A	Dividend	J	T	Buy	10/14/16	J		
76. --NTRS		None	J	T	Buy	10/14/16	J		
77. --OMC		None	J	T	Buy	10/14/16	J		
78. --PFE	A	Dividend	J	T	Buy	10/14/16	J		
79. --PGR		None	J	T	Buy	10/14/16	J		
80. --SPLS		None	J	T	Buy	10/14/16	J		
81. --TJX	A	Dividend	J	T	Buy	10/14/16	J		
82. --USB		None	J	T	Buy	10/14/16	J		
83. --UNP	A	Dividend	J	T	Buy	10/14/16	J		
84. --WFC	A	Dividend	J	T	Buy	10/14/16	J		
85. [(H)End Retirement Account - No. 1]									

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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86. (H)Investment Account - No. 1									
87. -CSCO	A	Dividend	J	T					
88. -FXD	A	Dividend			Sold	11/14/16	J		
89. -FXG	A	Dividend			Sold	11/25/16	J		
90. -FDN	A	Dividend	J	T					
91. -FXH		None			Sold	03/17/16	J		
92. -FBT		None			Sold	02/03/16	J		
93. -FXN	A	Dividend	J	T	Buy	03/17/16	J		
94. -FXU	A	Dividend	J	T	Buy	02/03/16	J		
95. -QTEC	A	Dividend	J	T	Buy	11/15/16	J		
96. -Hilliard Lyons Insured at Citizens Bank (temporary cash account)	A	Int./Div.	J	T	Open	11/17/16	J		
97. -Hilliard Lyons Insured at Programs Bank (temporary cash account)	A	Int./Div.			Closed	11/18/16	J		
98. [(H)End Investment Account - No. 1]									
99. (H)Retirement Account - No. 2									
100. -TIAA Trad'l	A	Int./Div.	K	T	Buy (add'l)	12/30/16	J		
101. -CREF Stock	B	Int./Div.	L	T	Buy (add'l)	12/30/16	J		
102. -TIAA Real Estate	A	Int./Div.	J	T	Buy (add'l)	12/30/16	K		

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103. -CREF Int'l Linked Bond	A	Int./Div.	J	T	Buy (add'l)	12/30/16	K		
104. [(H)End Retirement Account - No. 2]									
105. (H)Investment Account - No. 2									
106. -VFIAX	B	Dividend	L	T					
107. -VEXAX	A	Dividend	K	T					
108. -VMMXX	A	Dividend	K	T					
109. -VBTLX	A	Dividend	K	T					
110. -VTIAX (X)	B	Interest	L	T					
111. [(H)End Investment Account - No. 2]									
112. Community Trust Bank	A	Interest	J	T					
113. (H)Investment Account - No. 3									
114. -Oppenhiemer Steelpath MLP Income Fund A	A	Dividend	K	T					
115. [(H)End Investment Account - No. 3]									
116. PNC Bank	A	Interest	J	T					
117. (H)Retirement Account - No. 3									
118. --ABMD		None			Sold	04/21/16	J	A	
119. --CGNX	A	Dividend			Sold	04/21/16	J	A	

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	

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Schaaf, Gregory R.

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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)
120. --FXD	A	Dividend			Sold	11/14/16	K	A	
121. --FXG	A	Dividend			Sold	11/23/16	K	A	
122. --FDN		None	K	T					
123. --FXH		None			Sold	03/17/16	K		
124. --FBT [ARC Biotech]		None			Sold	02/03/16	K		
125. --FBT (Target Hi Quality) [Div 11 Mo FE RE]	B	Dividend			Sold	10/13/16	L		
126. --FBT (Target Global Dvd Ldrs)[3Q15 Mo FE RE]	B	Dividend			Buy (add'l)	07/25/16	J		
127.		Dividend			Sold	10/13/16	L		
128. --GILD	A	Dividend			Sold	04/20/16	J		
129. --GGG	A	Dividend			Sold	04/20/16	J	B	
130. --IM		None			Sold	04/20/16	J	B	
131. --KBH	A	Dividend			Sold	04/20/16	J	A	
132. --KFY	A	Dividend			Sold	04/20/16	J		
133. --SAIA		None			Sold	04/20/16	J		
134. --SWKS	A	Dividend			Sold	04/20/16	J		
135. --SMRT	A	Dividend			Sold	04/20/16	J		
136. --TRN	A	Dividend			Sold	04/20/16	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 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	

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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)
137. --FOXA	A	Dividend			Sold	02/03/16	J	A	
138. --UTHR		None			Sold	04/20/16	J		
139. --VLO	A	Dividend			Sold	04/20/16	J		
140. --FXN	A	Dividend	K	T	Buy	03/17/16	K		
141. --FXU	A	Dividend	K	T	Buy	02/03/16	K		
142. --QTEC	A	Dividend	K	T	Buy	11/15/16	K		
143. --First Trust Target High Qual Div 16 Mo FE RE	A	Dividend			Buy	10/10/16	L		
144.					Sold	10/11/16	L	C	
145. --First Trust Target GLB Div LDRS 4Q16 Mo FE RE	A	Int./Div.	L	T	Buy	10/10/16	L		
146.					Sold	10/11/16	L	D	
147.					Buy	10/14/16	L		
148. --Federated Treasury Obligations Fund (1) (X-see note)	A	Int./Div.	K	T	Sold (part)	04/26/16	K		
149.					Buy (add'l)	10/14/16	M		
150.					Sold (part)	10/17/16	M		
151.					Buy (add'l)	11/30/16	K		
152. --TEL	A	Dividend	J	T	Buy	04/21/16	J		
153. --GOOG		None	J	T	Buy	04/21/16	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 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	
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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)
154. --AAPL	A	Dividend	J	T	Buy	04/21/16	J		
155. --BRK/B		None	J	T	Buy	04/21/16	J		
156. --CVS	A	Dividend	J	T	Buy	04/21/16	J		
157. --CSCO	A	Dividend	J	T	Buy	04/21/16	J		
158. --DIS	A	Dividend	J	T	Buy	04/21/16	J		
159. --EXPD	A	Dividend	J	T	Buy	04/21/16	J		
160. --XOM	A	Dividend	J	T	Buy	04/21/16	J		
161. --FAST	A	Dividend	J	T	Buy	04/21/16	J		
162. --GE	A	Dividend	J	T	Buy	04/21/16	J		
163. --HOG	A	Dividend	J	T	Buy	04/21/16	J		
164. --HD	A	Dividend	J	T	Buy	04/21/16	J		
165. --IBM	A	Dividend	J	T	Buy	04/21/16	J		
166. --JMP	A	Dividend	J	T	Buy	04/21/16	J		
167. --JNJ	A	Dividend	J	T	Buy	04/21/16	J		
168. --MAT	A	Dividend	J	T	Buy	04/21/16	J		
169. --MSFT	A	Dividend	J	T	Buy	04/21/16	J		
170. --NTRS	A	Dividend	J	T	Buy	04/21/16	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 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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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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Schaaf, Gregory R.

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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.)

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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)
171. --OMC	A	Dividend	J	T	Buy	04/21/16	J		
172. --PFE	A	Dividend	J	T	Buy	04/21/16	J		
173. --PGR		None	J	T	Buy	04/21/16	J		
174. --SPLS	A	Dividend	J	T	Buy	04/21/16	J		
175. --TJX	A	Dividend	J	T	Buy	04/21/16	J		
176. --USB	A	Dividend	J	T	Buy	04/21/16	J		
177. --UNP	A	Dividend	J	T	Buy	04/21/16	J		
178. --WFC	A	Dividend	J	T	Buy	04/21/16	J		
179. [(H)End Retirement Account - No. 3]									
180. General American Life (X)		None	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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII, Line 148: Information regarding the Federated Treasury Obligations Fund was inadvertently omitted from my 2015 report. Please accept this note as an amendment to my 2015 report. The account was established September 22, 2015, to hold the funds that were not used to purchase the securities noted in September 2015 on my report when the account was established. The market value of the acquisition was "L", between \$50,001 and \$100,000. There were two reportable sales on October 19 and October 30, 2015, of "J", \$15,000 or less. There was one reportable sale on November 30, 2015, of "J", \$15,000 or less. The final balance on December 31, 2015, at market value was "K", \$15,001 - \$50,000.

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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/ Gregory R. Schaaf

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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