

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Dales, Scott W.                                                                                                                      | <b>2. Court or Organization</b><br><br>U.S. Bankruptcy Court, W.D. MI                                                                                                                                                                                                                    | <b>3. Date of Report</b><br><br>06/26/2018                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>Chief U.S. Bankruptcy Judge                                                   | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2017<br>to<br>12/31/2017 |
| <b>7. Chambers or Office Address</b><br><br>US Bankruptcy Court, WD Mich<br>One Division, North Room 210<br>Grand Rapids, MI 49503                                                                        |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## 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. | Secretary       | Chief Lake Property Owners Assn.   |
| 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. |             |                          |
| 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><br>(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. 2017     | Kalamazoo Community Foundation (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. American Bankruptcy Institute (ABI)                | Nov. 17, 2017    | Troy, MI          | Panelist at legal education seminar      | Mileage                          |
| 2. Federal Bar Assn (Western Michigan Bankr. Section) | July 27-29, 2017 | Harbor Springs MI | Panelist at Bar Assn Mtg., legal seminar | Mileage and lodging for 2 nights |
| 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.              |                    |                   |
| 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Comcast Corp Class A Common                                                                                              | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. AT&T                                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. Vodafone Group PLC                                                                                                       | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 4. Verizon Communications Common Stock                                                                                      | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. CenturyLink, Inc. Common (fka Qwest<br>Communications Int'l)                                                             | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 6. Frontier Communications Corp.                                                                                            |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 7. Trustco Bank Corp. NY Common (UTMA)                                                                                      | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 8. Met Life Policy Holders Trust (common<br>stock)                                                                          | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 9. Brighthouse Financial (common stock)                                                                                     |                                         | None                                          | J                                               | T                                         | Spinoff<br>(from line 8)                        | 08/10/17                | J                               |                                |                                                                   |
| 10. Principal Funds TOD (H)                                                                                                 |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 11. -SAM Flexible Income Portfolio (A)                                                                                      | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. Kalamazoo Community Foundation 401(k)<br>and 403(b) (JDD) (H)                                                           |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 13. - T Rowe Price Retirement I 2030 I (See<br>Part VIII)                                                                   | A                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 14. TIAA-CREF 403(b) Retirement Fund (JDD)                                                                                  | A                                       | Int./Div.                                     | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 15. American Funds 529A Accounts (Thru<br>Princor Financial) (H)                                                            |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 16. -American Funds College Enrollment Fund                                                                                 | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 17.                                                                                                                         |                                         |                                               |                                                 |                                           | Redeemed<br>(part)                              | 07/31/17                | J                               |                                |                                                                   |

|                         |                                  |                             |                                |                                 |                         |
|-------------------------|----------------------------------|-----------------------------|--------------------------------|---------------------------------|-------------------------|
| 1. Income Gain Codes:   | A = \$1,000 or less              | B = \$1,001 - \$2,500       | C = \$2,501 - \$5,000          | D = \$5,001 - \$15,000          | E = \$15,001 - \$50,000 |
| (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    |                                 |                         |
| 3. Value Method Codes   | Q = Appraisal                    | R = Cost (Real Estate Only) | S = Assessment                 | T = Cash Market                 |                         |
| (See Column C2)         | U = Book Value                   | V = Other                   | W = Estimated                  |                                 |                         |

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Name of Person Reporting

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                                           |   |          |   |   |                    |          |   |  |  |
|---------------------------------------------------------------------------|---|----------|---|---|--------------------|----------|---|--|--|
| 18.                                                                       |   |          |   |   | Redeemed<br>(part) | 11/20/17 | J |  |  |
| 19. -American Funds College 2018 Fund 529A (CENAX)                        | A | Dividend | L | T |                    |          |   |  |  |
| 20. Principal Financial Group Variable Universal Life (SWD) (H)           |   |          |   |   |                    |          |   |  |  |
| 21. -LifeTime 2030                                                        | A | Dividend | K | T | Buy                | 11/17/17 | K |  |  |
| 22. -Capital Appreciation (Principal Funds)                               | A | Dividend |   |   | Redeemed           | 11/17/17 | J |  |  |
| 23. -Diversified International (Principal Funds)                          | A | Dividend |   |   | Redeemed           | 11/17/17 | J |  |  |
| 24. -Dreyfus VIP Opportunistic Small Cap (Dreyfus)                        | A | Dividend |   |   | Redeemed           | 11/17/17 | J |  |  |
| 25. -Equity Income Account I (Principal Funds)                            | A | Dividend |   |   | Redeemed           | 11/17/17 | J |  |  |
| 26. -Fidelity VIP Equity-Income (Fidelity Funds)                          | A | Dividend |   |   | Redeemed           | 11/17/17 | J |  |  |
| 27. -Invesco Core Equity (Invesco Investment Services, Inc.)              | A | Dividend |   |   | Redeemed           | 11/17/17 | J |  |  |
| 28. -Largecap Growth I (Principal Funds)                                  | A | Dividend |   |   | Redeemed           | 11/17/17 | J |  |  |
| 29. -Midcap (Principal Funds)                                             | A | Dividend |   |   | Redeemed           | 11/17/17 | J |  |  |
| 30. -Principal Core Plus Bond (Principal Funds) fka Bond & Mortgage Secs. | A | Dividend |   |   | Redeemed           | 11/17/17 | J |  |  |
| 31. Principal Financial Group Variable Universal Life (JDD) (H)           |   |          |   |   |                    |          |   |  |  |
| 32. -LifeTime 2030                                                        | A | Dividend | J | T | Buy                | 11/17/17 | J |  |  |
| 33. -Capital Appreciation (Principal Funds)                               | A | Dividend |   |   | Redeemed           | 11/17/17 | J |  |  |
| 34. -Diversified International (Principal Funds)                          | A | Dividend |   |   | Redeemed           | 11/17/17 | J |  |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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Name of Person Reporting

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code I<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35. -Dreyfus VIF Opportunistic Small Cap (Dreyfus)                                                                          | A                                       | Dividend                                      |                                                 |                                           | Redeemed                                        | 11/17/17                | J                               |                                |                                                                   |
| 36. -Equity Income Account I (Principal Funds)                                                                              | A                                       | Dividend                                      |                                                 |                                           | Redeemed                                        | 11/17/17                | J                               |                                |                                                                   |
| 37. -Fidelity VIP Equity-Income (Fidelity Funds)                                                                            | A                                       | Dividend                                      |                                                 |                                           | Redeemed                                        | 11/17/17                | J                               |                                |                                                                   |
| 38. -Invesco Core Equity (Invesco Investment Services, Inc.)                                                                | A                                       | Dividend                                      |                                                 |                                           | Redeemed                                        | 11/17/17                | J                               |                                |                                                                   |
| 39. -Largecap Growth I (Principal Funds)                                                                                    | A                                       | Dividend                                      |                                                 |                                           | Redeemed                                        | 11/17/17                | J                               |                                |                                                                   |
| 40. -Midcap (Principal Funds)                                                                                               | A                                       | Dividend                                      |                                                 |                                           | Redeemed                                        | 11/17/17                | J                               |                                |                                                                   |
| 41. -Principal Core Plus Bond (Principal Funds) fka Bond & Mortgage Secs.                                                   | A                                       | Dividend                                      |                                                 |                                           | Redeemed                                        | 11/17/17                | J                               |                                |                                                                   |
| 42. Lake Michigan Federal Credit Union (Deposit Accounts)                                                                   | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 43. PNC Bank (Deposit Accounts)                                                                                             | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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

Part VII, lines 1-6: The stock interests in the "Baby Bells" and their successors are the product of a gift

These "Baby Bell" assets on Lines 1-6 are disclosed though below the reporting threshold.

Part VII, line 8-9. received the Brighthouse Financial, Inc., stock as a spin-off from MetLife and it is included although below the reporting threshold.

Part VII, line 12: the Kalamazoo Community Foundation retirement plan reported "gains" which I assume take the form of reinvested tax-deferred dividends or other return on investment. This is retirement account.

Part VII, line 14: the TIAA-CREF reported "gains" which I assume take the form of reinvested tax-deferred dividends or other return on investment. This is retirement account.

Part VII, lines 15-19: The 529A accounts listed on these lines are perhaps better identified as part of the American Funds College Target Date Series 2018, a college savings financial product tailored to the timing of anticipated tuition and other college related costs, given the ages of our children. We took two partial distributions from the college savings accounts (College Enrollment Fund 529A (CENEX)). With respect to the reported gains and dividends, the American Funds 529A accounts historically declare and distribute capital gains and dividends at year end (in this case, Dec. 2017) based on balances at that time. The gains and dividends in our college savings accounts are automatically reinvested, again at year end.

Part VII, lines 20-41. The funds listed after line 20 and line 31 are listed as supporting detail regarding the two Variable Universal Life ("VUL") policies that my wife and I own. The funds included under the VUL heading are "sub account" or "mirror" assets of the Principal Financial Group or its subsidiaries, and do not belong to us. Rather, my wife and I own the VUL insurance contracts, and we do not have an ownership interest in the insurance company's assets used to fund the policy, nor does the insurance company provide us with transaction information telling us when the insurance company acquired (or disposed of) underlying assets the company uses to meet its obligations under the life insurance contract. The account statements for the VUL policies also do not provide information regarding income related to the sub-accounts during the reporting period, so I am unable to provide the information for these sub-accounts based on these statements. I included the specific fund detail in the interest of full disclosure, although the specific assets are not reportable. In Nov. 2017, we consolidated the sub-accounts (individually identified under the VUL Policies) into the LifeTime 2030 fund, primarily to simplify annual financial disclosure reporting. The exchange occurred at our direction without gain or loss.

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|--------------------------|----------------|
| Dales, Scott W.          | 06/26/2018     |

## 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/ Scott W. Dales**

**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