

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) Preston, C. Kathryn	2. Court or Organization Bankruptcy Court, S.D. Ohio	3. Date of Report 08/01/2017
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 1/1/2016 to 12/31/2016
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. 2016	Ohio Police & Fire Pension Fund (retirement benefits)
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. Columbus Bar Association	February 12, 2016	Columbus, OH	Bankruptcy Seminar Instructor	Parking
2. Columbus Bar Association Bankruptcy Law Institute	May 5-6, 2016	Columbus, OH	Bankruptcy Seminar Speaker	Tuition, Meals
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)	L
2.	Huntington National Bank	Second Mortgage/Personal Credit Line, Rental Prop. #1 Cape Coral, FL. (Pt. VII, line 1)	L
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)	E	Rent	O	R					
2. Investment Property, N. Captiva Island, FL		None	M	W					
3. Huntington National Bank Accounts	A	Interest	M	T					
4. Bank of America Accounts	A	Interest	K	T					
5. Fifth Third Bank Account	A	Interest	J	T					
6. Chase Bank Accounts	A	Interest	K	T					
7. Preston Fam Tr nka CPT Enterp. LLC - equity int (H) (see Part VIII)									
8. - Ashland Global Holdings, Inc. f/k/a Ashland, Inc. ("ASH") - stock	A	Dividend	J	T					
9. - Chubb Ltd. ("CB") fka Chubb Corp - stock (X)	A	Dividend	K	T					
10. - Conoco Philips ("COP") - stock	A	Dividend	K	T					
11. - Dollar General Corp. ("DG") - stock	A	Dividend	K	T					
12. - Essex Property Trust Inc. ("ESS") - stock	A	Dividend	K	T					
13. - First Trust Health Care AlphaDex Fund ETF ("FXH") -shares		None	K	T					
14. - General Dynamics Corp. ("GD") - stock	A	Dividend	K	T					
15. - M&T Bank Corporation ("MTB") - stock	A	Dividend	K	T					
16. - Van Eck Vectors Pharm ETF fka Market Vectors ("PPH") -Shares	A	Dividend	K	T					
17. - Powershares QQQ ETF ("QQQ") - shares	A	Dividend	K	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 (See Columns C1 and D3)	J = \$15,001 - \$50,000 K = \$15,001 - \$50,000 L = \$50,001 - \$100,000 M = \$100,001 - \$250,000 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 (See Column C2)	R = Cost (Real Estate Only) U = Book Value V = Other	S = Assessment W = Estimated	T = Cash Market	

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18. - SPDR S&P 500 ETF ("SPY") - shares	B	Dividend	L	T					
19. - Southern Co. ("SO") - stock	A	Dividend	J	T					
20. - Tupperware Corp. ("TUP") - stock	A	Dividend	J	T					
21. - Verizon Communications ("VZ") - stock	B	Dividend	K	T					
22. - Whirlpool Corp. ("WHR") - stock	A	Dividend	J	T					
23. - Suntrust Investment Services Inc. Money Market	A	Int./Div.	J	T					
24. - Farm Property (127.92 acres) Jasper Co., IA	E	Rent	N	W					
25. Huntington Bancshares Pension Plan (see Part VIII)		None	M	V					
26. Hartford Life Ins. Policy (H)									
27. - American Funds Ins. Asset Alloc. Fund (see Part VIII)		None	J	T					
28. - American Funds Ins. Bond Fund (see Part VIII)		None	J	T					
29. - American Funds Ins. Growth Income Fund (see Part VIII)		None	J	T					
30. - Franklin Templeton Mutual Shares Security Fund (see Part VIII)		None	J	T					
31. - Fidelity VIP Contra Fund Portfolio (see Part VIII)		None	J	T					
32. - Fidelity VIP Mid Cap Portfolio (see Part VIII)		None	J	T					
33. - HLS Int'l Opport. Fund (see Part VIII)		None	J	T					
34. - Oppenheimer Global Securities Fund (see Part VIII)		None	J	T					

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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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35. - INV VK Comstock (see Part VIII)		None	J	T					
36. Brokerage Account #1 (H)									
37. - Edward Jones Cash account (X)		None	J	T					
38. - Express Scripts Holding Co. - common stock		None	J	T					
39. - IBM -stock (Y)	A	Dividend			Sold	12/19/16	J		
40. - Proctor & Gamble Co. - common stock	A	Dividend	J	T					
41. - United Technologies Corp. - stock	A	Dividend	J	T					
42. - Verizon Communications - common stock	A	Dividend	J	T					
43. - Walt Disney Co. - stock	A	Dividend	J	T					
44. - Federated OH Muni Income Fund	A	Int./Div.	J	T					
45. Brokerage Account #2 (H)									
46. - American Balanced Fund - Class A Bonds (see Part VIII)	C	Dividend	L	T					
47. - American Europacific Growth Fund - Class A Bonds (see Part VIII)	A	Dividend	K	T	Buy (add'l)	01/07/16	J		
48.					Buy (add'l)	02/09/16	J		
49.					Buy (add'l)	03/09/16	J		
50.					Buy (add'l)	04/07/16	J		
51.					Buy (add'l)	05/09/16	J		

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52.					Buy (add'l)	06/09/16	J		
53.					Buy (add'l)	07/08/16	J		
54.					Buy (add'l)	08/09/16	J		
55.					Buy (add'l)	09/09/16	J		
56.					Buy (add'l)	10/07/16	J		
57.					Buy (add'l)	11/09/16	J		
58.					Buy (add'l)	12/08/16	J		
59. - American Growth Fund of America - Class A Bonds (see Part VIII)	D	Dividend	L	T					
60. IRA # 1 (H)									
61. - ABALX - Class A Bonds (see Part VIII)	C	Dividend	M	T	Buy (add'l)	11/21/16	J		
62. - ABNDX - Class A Bonds (see Part VIII)	A	Dividend	L	T	Buy (add'l)	11/21/16	J		
63. - AEPGX - Class A Bonds (see Part VIII)	A	Dividend	K	T					
64. - AGTHX - Class A Bonds (see Part VIII)	D	Dividend	L	T					
65. - AHITX - Class A Bonds (see Part VIII)	B	Dividend	K	T	Buy (add'l)	11/21/16	J		
66. - AIVSX - Class A Bonds (see Part VIII)	C	Dividend	L	T	Buy (add'l)	11/21/16	J		
67. - AMECX - Class A Bonds (see Part VIII)	B	Dividend	L	T	Buy (add'l)	11/21/16	J		
68. - CWGIX - Class A Bonds (see Part VIII)	C	Dividend	L	T					

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69. - NEWFX - Class A Bonds (Part VIII)	A	Dividend	K	T					
70. - SMCWX - Class A Bonds (see Part VIII)	A	Dividend	K	T	Buy (add'l)	11/21/16	J		
71. IRA # 2 (H)									
72. - Dodge & Cox Bal. Fund - Shares (see Part VIII)	A	Dividend	J	T					
73. - Hershey Foods Corp. - stock	A	Dividend	J	T					
74. Investment Accounts (as Custodian for minor relatives) (H)									
75. - American Funds Money Market Account	A	Dividend	J	T					
76. WG Holding Co., LLC - member equity interest (see Part VIII) (Y)		None							
77. Rum Cove, LLC - member equity interest		None	N	W					
78. - Rental prop N.Captiva Isl, FL (purchased 2011 \$350,000)		None	O	W					
79. - Personal property attendant to rental property		None	K	W					
80. IRA #3 (Spouse) (H)									
81. - Edward Jones Cash Account	A	Interest	J	T					
82. - AMCPX - Class A Bonds (see Part VIII)	B	Dividend	K	T	Sold (part)	09/27/16	J	A	
83.					Sold (part)	12/05/16	J	A	
84. - ABALX - Class A Bonds (see Part VIII)	B	Dividend	K	T	Sold (part)	09/27/16	J	A	
85.					Sold (part)	12/05/16	J	A	

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86. - AHITX - Class A Bonds (see Part VIII)	B	Dividend	K	T	Sold (part)	12/05/16	J	A	
87. - CAIBX - Class A Bonds (see Part VIII)	B	Dividend	K	T	Sold (part)	09/27/16	J	A	
88.					Sold (part)	12/05/16	J	A	
89. - CWBFX - Class A Bonds (see Part VIII)	A	Dividend	K	T	Sold (part)	12/05/16	J	A	
90. - CWGIX - Class A Bonds (see Part VIII)	B	Dividend	K	T	Sold (part)	09/27/16	J	A	
91.					Sold (part)	12/05/16	J	A	
92. - ANCFX - Class A Bonds (see Part VIII)	B	Dividend	K	T	Sold (part)	09/27/16	J	A	
93.					Sold (part)	12/05/16	J	A	
94. - AMECX - Class A Bonds (see Part VIII)	B	Dividend	K	T	Sold (part)	09/27/16	J	A	
95.					Sold (part)	12/05/16	J	A	
96. - AIVSX - Class A Bonds (see Part VIII)	B	Dividend	K	T	Sold (part)	09/27/16	J	A	
97.					Sold (part)	12/05/16	J	A	
98. - PGBOX - Class A Bonds (see Part VIII)	B	Dividend	K	T	Sold (part)	12/05/16	J	A	
99. - ONIAX - Class A Bonds (see Part VIII)	B	Dividend	K	T	Sold (part)	12/05/16	J	A	
100. - OIEIX - Class A Bonds (see Part VIII)	B	Dividend	L	T	Sold (part)	09/27/16	J	B	
101.					Sold (part)	12/05/16	J	A	
102. - VHIAx - Class A Bonds (see Part VIII)		None	L	T	Sold (part)	09/27/16	J	B	

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103.					Sold (part)	12/05/16	J	A	
104. - OHYAX - Class A Bonds (see Part VIII)	C	Dividend	L	T	Sold (part)	12/05/16	J	A	
105. - JFEAX - Class A Bonds (see Part VIII)	C	Dividend	L	T	Sold (part)	09/27/16	J	A	
106.					Sold (part)	12/05/16	J	A	
107. - JCMAX - Class A Bonds (see Part VIII)	B	Dividend	L	T	Sold (part)	12/05/16	J	A	
108. - OMBAX - Class A Bonds (see Part VIII)	B	Dividend	K	T	Sold (part)	12/05/16	J	A	
109. - ANEFX - Class A Bonds (see Part VIII)	A	Dividend	K	T	Sold (part)	09/27/16	J	A	
110.					Sold (part)	12/05/16	J	A	
111. - ANWPX - Class A Bonds (see Part VIII)	B	Dividend	K	T	Sold (part)	09/27/16	J	A	
112.					Sold (part)	12/05/16	J	A	
113. - SMCWX - Class A Bonds (see Part VIII)	A	Dividend	K	T	Sold (part)	12/05/16	J	A	
114. Brokerage Account #3 (H)									
115. - CAIBX - Class A Bonds	A	Dividend	J	T					
116. IRA #4 (Spouse) (H) (X)					Open	09/19/16			
117. - Note receivable (see Part VIII) (X)	B	Interest	L	V	Open	09/26/16	L		Escalante Golf, Inc.
118. - Escalante Gallery LLC - member equity interest (X)			L	T	Buy	12/09/16	L		Escalante Gallery, LLC
119. Profit Sharing Annuity Plan (Spouse) (H) (X)									

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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Name of Person Reporting

Preston, C. Kathryn

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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. - Fidelity 500 Index Fund ("FUSVX") (X)	A	Int./Div.	K	T					
121. - Fidelity Balanced Fund ("FBAKX") (X)	A	Int./Div.	J	T					
122. - PIMCO Total Return Fund ("PTTRX") (X)	A	Int./Div.	J	T					
123.									
124.									
125.									
126.									
127.									
128.									
129.									
130.									
131.									
132.									
133.									
134.									
135.									

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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Preston, C. Kathryn

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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 7 - I was a beneficiary of the Preston Family Trust. The Trust terminated by its terms in July 2016. The assets were transferred to the CPT Enterprises, LLC, an entity formed by and owned by the Trust beneficiaries. No other consideration was exchanged.

Part VII Line 26 - 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 Lines 28-36 - I do not have direct or indirect income from these investments, because the asset is an insurance policy not securities.

Part VII Lines 46-59, 61-70, 72, 82-113 - Income includes capital gains distributions.

Part VII Line 77 - W.G. Holding has gone out of business. Membership interests are valueless.

Part VII Line 117 - The value of the Note receivable is based on the outstanding principal balance.

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Name of Person Reporting

Preston, C. Kathryn

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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
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