

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) Baum, Redfield T.	2. Court or Organization U.S. Bankruptcy Court (AZ)	3. Date of Report 04/23/2015
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 01/01/2014 to 12/31/2014
7. Chambers or Office Address 230 North First Ave. Phoenix, AZ 85003		
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. Trustee Trust #2	
2. Director	Arizona State University College of Law Alumni Association
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. _____

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

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.)*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. ATT	D	Dividend	N	T					
2. Agilent	A	Dividend	K	T					
3. Abbott	A	Dividend	J	T					
4. Abbvie	A	Dividend	J	T					
5. American Cap Fund	A	Dividend	K	T					
6. American Mutual Fund	A	Dividend	K	T					
7. Alcatel Lucent		None	J	T					
8. Berkshire Hathaway		None	N	T					
9. Becton Dickinson	A	Dividend	J	T					
10. Bemis	A	Dividend	J	T					
11. Bristol Meyers Squibb	A	Dividend	J	T					
12. Clorox	A	Dividend	J	T					
13. Comerica	A	Dividend	K	T					
14. Conoco Phillips	B	Dividend	K	T					
15. Cognizant		None	K	T					
16. Cpmcast	A	Dividend	K	T					
17. Citigroup	A	Dividend	K	T					

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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18. Coke	A	Dividend	K	T					
19. CapitalWorld Fund	A	Dividend	K	T					
20. Emerson Electric	A	Dividend	J	T					
21. Express Scripts Holding	A	Dividend	J	T					
22. Diebold	A	Dividend	K	T					
23. EuroPacific Fund	A	Dividend	K	T					
24. Frontier Comm.	A	Dividend	J	T					
25. ExxonMobil	E	Dividend	O	T					
26. General Electric	E	Dividend	O	T					
27. Gap	A	Dividend	J	T					
28. Gartner		None	J	T					
29. GrowthFund	A	Dividend	K	T					
30. HewlettPackard	A	Dividend	K	T					
31. Hospira	A	Dividend	J	T					
32. Intel	A	Dividend	J	T					
33. Stifel Nicolaus Insured Bank Program	A	Dividend	K	T					
34. Invest.Co.Amer.Fund	A	Dividend	K	T					

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35. Johnson & Johnson	C	Dividend	M	T					
36. J.W.Smucker	A	Dividend	J	T					
37. Keysight Tech.		None	J	T	Spinoff (from line 2)	9/1/2014	J		
38. Merck	B	Dividend	L	T					
39. NewPerspectFund	A	Dividend	K	T					
40. Pfier	C	Dividend	K	T					
41. Phillips 66	A	Dividend	K	T					
42. Royal Dutch	C	Dividend	M	T					
43. Proctor Gamble	B	Dividend	K	T					
44. S.W.Gas	A	Dividend	J	T					
45. SW Airlines	A	Dividend	J	T					
46. Sanofi Aventis	A	Dividend	J	T					
47. SmallCapWorldFund	A	Dividend	K	T					
48. Three M Co.	A	Dividend	J	T					
49. Wash.MutualInvest Fund	A	Dividend	K	T					
50. UPS	A	Dividend	J	T					
51. VerigyLTD		None	J	T					

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52. Verizon	D	Dividend	M	T					
53. VodafoneGroup	B	Dividend	K	T					
54. Windstream	A	Dividend	J	T					
55. Zweig Total Return	A	Dividend	J	T					
56. LSI		None	J	T	Sold	11/16/14	J	A	
57. Kinder Morgan	A	Dividend	J	T					
58. JP Morgan Chase Bank Account	A	Interest	K	T					

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

Clorox was received as an IRA distribution on Oct. 1, 2013. Agilent was inadvertently omitted from the 2013 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/ **Redfield T. Baum**

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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Washington, D.C. 20544