

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) Baker, Kristine G.	2. Court or Organization Eastern District of Arkansas	3. Date of Report 7/14/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active Article III 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 United States District Court - Eastern District of Arkansas 500 West Capitol Avenue, Room D444 Little Rock, Arkansas 72201		
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	Arbor Enterprises, LLC
2.	Member	Wasserliebend, LLC
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.)*

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. 12/31/2014

MWSGW Ordinary business income

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.

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.)*

	<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.	Chase #1	Credit card	J
2.	Chase #2	Credit card	J
3.	Am. Express	Credit card	J
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. Brokerage Acct. #1: (H)									
2. Am. Funds Int'l Growth & Income Fund	C	Dividend	L	T					
3. Am. Funds Europac. Fund	A	Dividend	K	T					
4. Am. Funds Growth Fund of Am.	E	Dividend	M	T	Buy (add'l)	02/13/14	J		
5.					Buy (add'l)	04/16/14	J		
6.					Buy (add'l)	05/16/14	J		
7.					Buy (add'l)	06/16/14	J		
8.					Buy (add'l)	07/15/14	J		
9.					Buy (add'l)	09/15/14	J		
10.					Buy (add'l)	10/29/14	J		
11.					Buy (add'l)	11/14/14	J		
12. Am. Funds New World Fund	D	Dividend	M	T					
13. Am. Funds Smallcap Wrld. Fund	D	Dividend	L	T					
14. Am. Funds Washington Mut. Fund	D	Dividend	M	T					
15. Am. Funds Global Balanced Fund	C	Dividend	M	T					
16. Brokerage Acct. #2 (Y) (H)									
17. Brokerage Acct. #3: (H)									

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 \$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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☐ 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)

18. Am. Funds Fundamental Investors Fund	D	Dividend	L	T					
19. Am. Funds Growth Fund of Am.	B	Dividend	K	T					
20. Am. Funds Int'l. Growth & Income Fund	A	Dividend	J	T					
21. Invesco Constellation Fund	B	Dividend	K	T					
22. Am. Funds Europac. Fund	A	Dividend	J	T					
23. Brokerage Acct. #4 (Y) (H)									
24. Brokerage Acct. #5: (H)									
25. Am. Funds Global Balanced Fund	B	Dividend	J	T	Buy (add'l)	03/13/14	J		
26. Am. Funds Europac. Fund	A	Dividend	J	T	Buy (add'l)	03/13/14	J		
27. Brokerage Acct. #6: (H)									
28. Am. Funds Global Balanced Fund	B	Dividend	J	T	Buy (add'l)	03/13/14	J		
29. Am. Funds Europac. Fund	A	Dividend	J	T	Buy (add'l)	03/13/14	J		
30. Brokerage Acct. #7: (H)									
31. Vanguard Age-Based Moderate Growth (*)		None	M	T	Buy (add'l)	05/09/14	J		
32. Brokerage Acct. #8: (H)									
33. American Funds 2024 Fund	D	Int./Div.	M	T	Buy (add'l)	01/29/14	J		
34. Brokerage Acct. #9: (H)									

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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☐ 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)

35. Vanguard Age-Based Growth (**)		None	M	T	Buy (add'l)	01/30/14	J		
36.					Buy (add'l)	08/12/14	J		
37.					Buy (add'l)	10/24/14	J		
38.					Buy (add'l)	11/21/14	J		
39. Brokerage Acct. #10: (H)									
40. American Funds 2024 Fund	B	Dividend	M	T	Buy (add'l)	01/30/14	J		
41.					Buy (add'l)	07/09/14	J		
42.					Buy (add'l)	08/08/14	J		
43.					Buy (add'l)	10/22/14	J		
44. Centennial Bank (ckg. acct.)	A	Interest	L	T					
45. Delta Trust & Bank (ckg. acct.) (Y)									
46. Iberia Bank (svgs. acct.) (Y)									
47. Membership interest in Arbor Enterprises, LLC: (H)									
48. Delta Trust & Bank (Y)									
49. Simmons Bank (X)	A	Interest	L	T					
50. Am. Funds Int'l. Growth & Income Fund	B	Dividend	K	T					
51. Am. Funds Growth Fund of Am.	C	Dividend	K	T	Buy (add'l)	02/06/14	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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52.					Buy (add'l)	02/12/14	J		
53. Am. Funds New World Fund	A	Dividend	J	T					
54. Am. Funds Smallcap Wrld. Fund	B	Dividend	K	T					
55. Am. Funds Washington Mut. Fund	B	Dividend	K	T					
56. Am. Funds Fundamental Investors Fund	B	Dividend	K	T	Buy (add'l)	02/05/14	J		
57.					Buy (add'l)	02/24/14	J		
58. Am. Funds Growth Fund of Am.	C	Dividend	L	T	Buy (add'l)	02/05/14	J		
59.					Buy (add'l)	02/24/14	J		
60. Am. Funds Europac. Fund	A	Dividend	J	T	Buy (add'l)	02/05/14	J		
61.					Buy (add'l)	02/24/14	J		
62. American Beacon Stephens Mid Cap Growth Fund	B	Dividend	K	T					
63. American Beacon Stephens Small Cap Growth Fund	A	Dividend	K	T					
64. Membership interest in Wasserliebend, LLC: (H)									
65. Developed parcel in [REDACTED]		None	M	W					
66. Undeveloped parcel 1 in [REDACTED], [REDACTED]		None	J	W					
67. Undeveloped parcel 2 in [REDACTED], [REDACTED]		None	J	W					
68. Undeveloped parcel 3 in [REDACTED], [REDACTED]		None	J	W					

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69. Simmons First National Bank (crg. acct.)		None	J	T					
70. Membership interest in Mitchell Williams	A	Int./Div.	L	U					
71. New York Life: whole life policy 1 (Y)		None			Redeemed	01/28/14	K		
72. New York Life: whole life policy 2 (Y)		None			Redeemed	03/10/14	K		
73. Membership interest in [REDACTED]	B	Rent	M	U					
74. Brokerage Acct. #11: (H)									
75. Am. Funds Global Balanced Fund	A	Dividend	J	T					
76. Am. Funds Europac. Fund	A	Dividend	K	T					
77. Am. Funds Fundamental Investors Fund	B	Dividend	K	T					
78. Am. Funds Growth Fund of Am.	D	Dividend	L	T					
79. Am. Funds Int'l Growth & Income Fund	B	Dividend	K	T					
80. Am. Funds Smallcap Wrld. Fund	B	Dividend	J	T					
81. Am. Funds Washington Mutual Fund	B	Dividend	K	T					
82. Brokerage Acct. #12: (H)									
83. Am. Funds Int'l. Growth & Income Fund	A	Dividend	J	T					
84. Am. Funds Europac. Fund	A	Dividend	K	T					
85. Am. Funds Growth Fund of Am.	D	Dividend	L	T					

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86. Am. Funds Smallcap Wrld. Fund	B	Dividend	K	T					
87. Am. Funds Washington Mut. Fund	C	Dividend	L	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.)*

Line 16 (Y): Brokerage Acct. #2 was closed in 2013, with assets being transferred to other existing brokerage accounts as reported on the 2013 Annual Report.

Line 23 (Y): Brokerage Acct. #4 was closed in 2013, with assets being transferred to other existing brokerage accounts as reported on the 2013 Annual Report.

Line 31 (*): The fund of Brokerage Acct. #7 transitioned to "moderate growth" from "aggressive growth," which marks a change from the 2013 Annual Report for this fund.

Line 35 (**): This fund of Brokerage Acct. #9 transitioned to "growth" from "aggressive growth," which marks a change from the 2013 Annual Report for this fund.

Line 45 (Y): This account was closed in 2014 when Delta Bank and Trust, which housed the account, was acquired by Simmons Bank during 2014; the assets were transferred to the account reported on line 69 on the 2014 Annual Report.

Line 46 (Y): This account, a health savings account, was fully depleted and closed in February 2014; there were no remaining assets to be transferred at the time the account was closed.

Line 48 (Y): This account was closed in 2014 when Delta Bank and Trust, which housed the account, was acquired by Simmons Bank during 2014; the assets were transferred to the account reported on line 49 on the 2014 Annual Report.

Line 49 (X): This account was opened in 2014 when Simmons Bank acquired Delta Bank and Trust.

Line 71 (Y): New York Life: all of whole life policy 1 was redeemed for cash value in 2014.

Line 72 (Y): New York Life: all of whole life policy 2 was redeemed for cash value in 2014.

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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/ Kristine G. Baker

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