

FINANCIAL DISCLOSURE REPORT INITIAL FILING

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) Collins, Daniel P.	2. Court or Organization Bankruptcy Court Arizona	3. Date of Report 04/05/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☒ Initial ☐ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2012 to 02/28/2013
7. Chambers or Office Address 230 N. 1st Avenue, Suite 601 Phoenix, Arizona 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. Chairman of the Board	Foundation for Senior Living
2. Trustee	Alfred E. Naucke Charitable Remainder Unitrust
3. Vice-President	Collins, May, Potenza, Baran & Gillespie, P.C.
4. Bankruptcy Trustee	Irish Pub -Arrowhead, LLC and Irish Pub-Arrowhead Land, LLC
5. Bankruptcy Trustee	Southwest Supermarkets, LLC, et al.
6. Chapter 11 Plan Agent	David Jason Miller
7. Chapter 11 Disbursing Agent	The Villas At Ocotillo, LLC
8. Board Member	University of Arizona Law School Board of Visitors
9. Chair	St. Theresa Catholic School Capital Campaign

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. 2012	Collins, May, Potenza, Baran & Gillespie, P.C. Retirement Plan
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. 2011	Collins, May, Potenza, Baran & Gillespie, P.C. -- wages and bonuses from law practice	\$459,823.00
2. 2012	Collins, May, Potenza, Baran & Gillespie, P.C. -- wages and bonuses from law practice	\$546,004.71
3. 2013	May, Potenza, Baran & Gillespie, P.C. -- wages from law practice	\$3,541.67
4. 2013	May, Potenza, Baran & Gillespie, P.C. -- stock and equipment buyout	\$5,800.00

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. 2011	Mountain View Family Physicians, PLLC --- K-1 income from medical practice
2. 2012	Mountain View Family Physicians, PLLC --- K-1 income from medical practice
3. 2013	Mountain View Family Physicians, PLLC --- K-1 income from medical practice
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. Exempt				
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.	Exempt		
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.	Gonzaga University	College tuition	K
3.	University of Southern California	College tuition	K
4.	Xavier College Preparatory	High School tuition	K
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. Mountain View Family Physicians, PLLC-- Medical practice		None	J	W					
2. Collins, May, Potenza, Baran & Gillespie, P.C.--Law Firm	D	Distribution							
3. 401K #1	F	Int./Div.	O	T					
4. -- Openheimer Funds-Cash Reserves									
5. -- Openheimer Funds -Value Fund									
6. -- Openheimer Funds-Rising Dividends Fund									
7. -- Openheimer Funds-Discovery Fund									
8. -- Openheimer Funds-Small and MidCap Value Fund									
9. -- Openheimer Funds-International Diversified Fund									
10. -- Openheimer Funds-Global Strategic Income Fund									
11. 401K #2	C	Int./Div.	M	T					
12. -- Schwab Investor Money Fund									
13. -- Income and Growth ETF Fund 35									
14. Allianz--Bonus Dex Annuity	A	Int./Div.	K	T					
15. Allianz--Accumulator Bonus Maxx Annuity	A	Int./Div.	K	T					
16. IRA #1	C	Int./Div.	L	T					
17. -- RBC Dain Rauscher Cash and Money Market Fund									

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 --\$250,001 - \$500,000	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 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. -- Wells Fargo Utilities Fund									
19. -- Templeton Global Bond Fund									
20. -- Fidelity Advisors New Insights C Fund									
21. -- Ivy Asset Strategy Fund									
22. IRA #2	A	Int/Div.	J	T					
23. -- Fidelity Advisors New Insights C Fund									
24. -- Templeton Select Shares Money Market Fund									
25. IRA #3 (SEP IRA)	C	Int/Div.	L	T					
26. -- Franklin Income Class C Fund									
27. --Jennison Natural Resources Fund									
28. IRA # 4	C	Int/Div.	M	T					
29. -- Vanguard -WellingtonAdmiral Fund									
30. -- Vanguard -Windsor II Admiral Fund									
31. IRA #5	C	Int/Div.	M	T					
32. -- Vanguard-WellingtonAdmiral Fund									
33. -- Vanguard -Windsor II Admiral Fund									
34. Aviva--Retirement Annuity	A	Int/Div.	K	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
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	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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35. JP Morgan Chase Bank--savings and checking accounts	A	Interest	L	T					
36. CGM Focus Fund	A	Distribution							
37. JP Morgan Chase Bank--Common Stock	A	Distribution							
38. Janus Fund	D	Int./Div.	N	T					
39. UBS Financial-American Funds Inv Co and Fidelity Adv Gro Op	C	Distribution							
40. JP Morgan Chase Bank-Savings and Checking accounts	A	Interest	N	T					
41. Fidelity-Unique 2012 Fund	A	Int./Div.	L	T					
42. Vanguard-500 Index Fund	A	Int./Div.	K	T					
43. American Funds	B	Int./Div.	M	T					
44. -- Growth Fund of America 529C									
45. --Washington Mutual Investors Fund 529C									
46. --Income Fund of America 529C									
47. --American Balanced Fund 529C									
48. --Intermediate Bond Fund of America 529C									
49. Merrill Lynch-MILM Equity Portfolio S Fund	A	Int./Div.	K	T					
50. Franklin Templeton-Aged Based Growth Asset Allocation 13-16	A	Int./Div.							
51. Alfred E. Naucke Charitable Reinder Unitrust		Int./Div.							Resigned Trustee Position

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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	L = \$50,001 - \$100,000 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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52.									
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

For many years I was the trustee of the Alfred E. Naucke Charitable Remiander Unitrust. I resigned as trustee in 2012. I do not have information which would describe the assets which were owned by that Unitrust as of the date of this 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/ **Daniel P. Collins**

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