

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 07/13/2019
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 01/01/2018 to 12/31/2018
7. Chambers or Office Address United States District Court - Eastern District of Arkansas 500 West Capitol Avenue, Room D 444 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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 12

Name of Person Reporting

Baker, Kristine G.

Date of Report

07/13/2019

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. 12/31/2018

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.

FINANCIAL DISCLOSURE REPORT

Page 3 of 12

Name of Person Reporting

Baker, Kristine G.

Date of Report

07/13/2019

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.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 12

Name of Person Reporting

Baker, Kristine G.

Date of Report

07/13/2019

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	B	Dividend	L	T					
3. Am. Funds Europac. Fund	B	Dividend	L	T	Buy (add'l)	12/13/18	J		
4. Am. Funds Growth Fund of Am.	E	Dividend	N	T					
5. Am. Funds New World Fund	C	Dividend	M	T					
6. Am. Funds Smallcap World Fund	D	Dividend	M	T	Buy (add'l)	01/11/18	J		
7.					Buy (add'l)	02/14/18	J		
8.					Buy (add'l)	03/14/18	J		
9.					Buy (add'l)	04/11/18	J		
10.					Buy (add'l)	05/14/18	J		
11.					Buy (add'l)	06/11/18	J		
12.					Buy (add'l)	07/12/18	J		
13.					Buy (add'l)	08/16/18	J		
14.					Buy (add'l)	09/12/18	J		
15.					Buy (add'l)	10/11/18	J		
16. Am. Funds Washington Mut. Fund	D	Dividend	M	T					
17. Am. Funds Global Balanced Fund	B	Dividend	M	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		

FINANCIAL DISCLOSURE REPORT

Page 5 of 12

Name of Person Reporting

Baker, Kristine G.

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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)

18. Brokerage Acct. #2 (Y)(H)									
19. Brokerage Acct. #3: (H)									
20. Am. Funds Growth Fund of Am.	C	Dividend	K	T					
21. Am. Funds Int'l Growth & Income Fund	A	Dividend	J	T					
22. Invesco Constellation Fund	C	Dividend	K	T					
23. Am. Funds Europac. Fund	B	Dividend	K	T					
24. Am. Funds New Economy Fund	C	Dividend	K	T					
25. Am. Funds Small Cap World Fund	B	Dividend	K	T					
26. Brokerage Acct. #4 (Y) (H)									
27. Brokerage Acct. #5: (H)									
28. Am. Funds Europac. Fund	B	Dividend	K	T	Sold (part)	02/14/18	J	A	
29. Am. Funds New Economy Fund	B	Dividend	K	T					
30. Brokerage Acct. #6: (H)									
31. Am. Funds Europac. Fund	A	Dividend	K	T					
32. Am. Funds New Economy Fund	B	Dividend	K	T					
33. Brokerage Acct. #7: (H)									
34. Vanguard Moderate Age Based Option Conservative Growth Portfolio		None			Sold	05/04/18	L		

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 12

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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 Conservative Age Based Option Income Portfolio		None			Sold	06/27/18	M		
36. Vanguard Moderage Age-Based Option: Income Portfolio		None			Buy	05/04/18	L		
37.					Sold	06/27/18	L		
38. Vanguard Conservative Growth Portfolio		None	N	T	Buy	06/27/18	N		
39. Brokerage Acct. #8: (H)									
40. American Funds 2024 Fund		None			Sold	09/26/18	M		
41. American Funds VA 529 U.S. Govt. Money Market FD CL A M/M	A	Dividend	M	T	Buy	09/26/18	M		
42. Brokerage Acct. #9: (H)									
43. Vanguard Moderate Based Option Conservative Growth Portfolio		None			Buy (add'l)	03/29/18	J		
44.					Sold	06/27/18	L		
45. Vanguard Conservative Age Based Option Income Portfolio		None			Buy (add'l)	03/29/18	J		
46.					Sold	06/27/18	M		
47. Vanguard Conservative Growth Portfolio		None	M	T	Buy	06/27/18	M		
48.					Sold (part)	07/26/18	J		
49.					Buy (add'l)	07/31/18	J		
50. Brokerage Acct. #10: (H)									
51. American Funds 2024 Fund		None			Sold	07/09/18	M		

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	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 12

Name of Person Reporting

Baker, Kristine G.

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07/13/2019

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52. American Funds CF24-529A	C	Dividend	M	T	Buy	07/09/18	M		
53. Centennial Bank (Y)									
54. Central Bank Cash Account	A	Interest	K	T					
55. Simmons Bank Cash Account	A	Interest	K	T					
56. Membership Interest in Arbor Enterprises, LLC: (H)									
57. Simmons Bank (Y)									
58. Central Bank Cash Account	A	Interest	J	T					
59. Arbor Brokerage Acct. #1: (H)									
60. Am. Funds Int'l Growth Fund of Am.	A	Dividend	K	T					
61. Am. Funds Growth Fund of Am.	D	Dividend	L	T	Buy (add'l)	02/15/18	J		
62. Am. Funds New World Fund	A	Dividend	J	T					
63. Am. Funds Smallcap World Fund	B	Dividend	J	T					
64. Am. Funds Washington Mut. Fund	C	Dividend	K	T					
65. Arbor Brokerage Acct. #2: (H)									
66. Am. Funds Fundamental Investors Fund	C	Dividend	K	T					
67. Am. Funds Growth Fund of Am.	D	Dividend	L	T					
68. Am. Funds Europac. Fund	B	Dividend	K	T					

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3. Value Method Codes (See Column C2)	P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 8 of 12

Name of Person Reporting

Baker, Kristine G.

Date of Report

07/13/2019

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69. American Beacon Stephens Mid Cap Growth Fund	B	Dividend	J	T					
70. American Beacon Stephens Small Cap Growth Fund	C	Dividend	J	T					
71. Am. Funds New World Fund	A	Dividend	J	T	Buy	12/06/18	J		
72. Membership Interest in Wasserliebend, LLC: (H)									
73. Developed parcel [REDACTED]		None	M	W					
74. Undeveloped parcel 1 [REDACTED]		None	J	W					
75. Undeveloped parcel 2 [REDACTED]		None	J	W					
76. Undeveloped parcel 3 [REDACTED]		None	J	W					
77. Undeveloped parcel 4 [REDACTED]		None	J	W					
78. Simmons First National Bank Cash Account		None	J	T					
79. Membership interest in Mitchell Williams	A	Int./Div.	L	U					
80. Membership interest in [REDACTED], LLC [REDACTED]	A	Dividend	M	W					
81. Brokerage Acct. #11: (H)									
82. Am. Funds Global Balanced Fund	A	Dividend	J	T					
83. Am. Funds Europac. Fund	C	Dividend	L	T					
84. Am. Funds Fundamental Investors Fund	C	Dividend	K	T					
85. Am. Funds Growth Fund of Am.	D	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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FINANCIAL DISCLOSURE REPORT

Page 9 of 12

Name of Person Reporting

Baker, Kristine G.

Date of Report

07/13/2019

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86. Am. Funds Int'l Growth & Income Fund	A	Dividend	K	T					
87. Am. Funds Smallcap World Fund	B	Dividend	K	T					
88. Am. Funds Washington Mutual Fund	C	Dividend	K	T					
89. Brokerage Acct. #12: (H)									
90. Am. Funds Int'l Growth & Income Fund	A	Dividend	J	T					
91. Am. Funds Europac. Fund	C	Dividend	L	T					
92. Am. Funds Growth Fund of Am.	D	Dividend	L	T					
93. Am. Funds Smallcap World Fund	B	Dividend	K	T					
94. Am. Funds Washington Mut. Fund	D	Dividend	L	T					
95. Other Bank Accts.: (H)									
96. Other Bank Acct. - Simmons #1 Cash Account		None	J	T					
97. Other Bank Acct. - Simmons #2 Cash Account		None	J	T					
98. Other Bank Acct. - Simmons #3 Cash Account		None	J	T					
99. Other Bank Acct. - Simmons #4 Cash Account		None	J	T					
100. Brokerage Acct. #13: (H)									
101. Vanguard 500 Index Fund Investor Class	A	Dividend	J	T					
102. Brokerage Acct. #14: (H)									

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FINANCIAL DISCLOSURE REPORT

Page 10 of 12

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103. Vanguard 500 Index Fund Investor Class	A	Dividend	J	T					
104. Brokerage Acct. #15: (H)									
105. Index Funds S&P 500 Equal Weight	A	Dividend	J	T	Buy	11/14/18	J		
106.					Buy (add'l)	12/04/18	J		
107. iShares Core MSCI Emerging ETF	A	Dividend	J	T	Buy	12/04/18	J		

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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FINANCIAL DISCLOSURE REPORT

Page 11 of 12

Name of Person Reporting

Baker, Kristine G.

Date of Report

07/13/2019

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

Line 18 (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 26 (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 53 (Y): This account was closed in 2015 with assets being transferred to the account at Line 54.

Line 57 (Y): This Membership Interest in Arbor Enterprises, LLC account was closed in 2017 with assets being transferred to the account at Line 58.

Line 59: This Arbor Brokerage Account #1 has assets held by Arbor Enterprises, LLC, of which the filer is a member.

Line 65: This Arbor Brokerage Account #2 has assets held by Arbor Enterprises, LLC, of which the filer is a member.

Line 104: Brokerage Acct. #15 was opened in 2018.

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

Baker, Kristine G.

Date of Report

07/13/2019

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
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