

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) Collins, Daniel P.	2. Court or Organization Bankruptcy Court Arizona	3. Date of Report 01/28/2020
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 01/01/2018 to 12/31/2018
7. Chambers or Office Address 230 N. 1st Avenue, Suite 603 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. Board Member	University of Arizona Law School Board of Visitors
2. Board of Directors	American Bankruptcy Institute
3. Board of Governors	National Conference of Bankruptcy Judges
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.)*

<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. 2018	Mountain View Family Physicians, PLLC - K-1 income from medical practice
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.	National Association of Bankruptcy Trustees	02/22/18 to 02/24/18	Las Vegas, NV	Speaker at 2018 Spring Conference	Transportation, meals and lodging.
2.	American Bankruptcy Institute	04/18/18 to 04/22/18	Washington, DC	Speaker at 2018 Annual Spring Meeting	Transportation, meals and lodging.
3.	Missouri State Bar	05/03/18 to 05/04/18	Kansas City, MO	Speaker at 11th Annual Frank W. Koger Bankruptcy Symposium	Transportation and lodging.
4.	American Bankruptcy Institute	05/16/18 to 05/18/18	Las Vegas, NV	Speaker at VALCON 2018	Transportation, meals and lodging.
5.	American Bankruptcy Institute	09/06/18 to 09/08/18	Las Vegas, NV	Speaker at 2018 Southwest Bankruptcy Conference	Transportation, meals and lodging.

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6.	National Conference of Bankruptcy Judges/ABI	10/27/18 to 10/31/18	San Antonio, TX	Speaker at 2018 Annual Conference	Transportation and lodging.
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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.	University of Southern California	College Expenses	K
2.	Creighton University	College Tuition	L
3.	Brophy College Preparatory	High School Tuition	J
4.	Santa Clara University	College 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. 401K #1									
3. -- Oppenheimer Funds-Cash Reserves	A	Int./Div.	K	T	Buy (add'l)	01/25/18	K		
4. --Oppenheimer Funds-Discovery Fund	E	Int./Div.	M	T					
5. --Oppenheimer Funds-Small and MidCap Value Fund	D	Int./Div.	L	T					
6. --Oppenheimer Funds-International Diversified Fund	A	Int./Div.	L	T					
7. --Oppenheimer Funds-Capital Income Fund	D	Int./Div.	M	T					
8. --Oppenheimer Funds-Global Fund	C	Int./Div.	K	T					
9. --Global Opportunities Fund	D	Int./Div.	M	T					
10. --Discovery Mid Cap Growth Fund	C	Int./Div.	K	T					
11. --Main Street Fund	D	Int./Div.	L	T					
12. --Total Return Bond Fund R	A	Int./Div.	K	T					
13. 401K #2									
14. --Vanguard Federal Money Market Fund	A	Int./Div.	K	T					
15. --Voya Intermediate Bond Fund - R6	B	Int./Div.	M	T					
16. --DFA Inflation Protected Securities Portfolio Inst	A	Int./Div.	L	T					
17. --Vanguard STAR-Inv	D	Int./Div.	M	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	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)

18. --Vanguard Value Index Fund - Admiral	A	Int./Div.	L	T					
19. Allianz--Bonus Dex Annuity; 3% Fixed	A	Int./Div.	K	T					
20. Allianz--Accumulator Bonus Maxx Annuity; 3% Fixed	A	Int./Div.	K	T					
21. IRA #1									
22. --AllianceBernstein Discovery		None			Sold	07/16/18	K		
23. --Eaton Vance Dividend Builder		None			Sold	07/16/18	K		
24. --Fidelity Advisors New Insights C Fund		None			Sold	07/16/18	J		
25. --Franklin Income FDS		None			Sold	07/16/18	J		
26. --Ivy Asset Strategy Fund		None			Sold	07/16/18	K		
27. --Templeton Global Bond Fund		None			Sold	07/16/18	K		
28. --Pershing Prime Reserves Money Market		None			Sold	07/16/18	J		
29. --Flexinsured Account	A	Int./Div.	M	T	Buy	07/16/18	M		
30. IRA #2									
31. --Templeton Select Shares Money Market Fund					Sold	01/25/18	K		
32. IRA #4									
33. --Vanguard - WellingtonAdmiral Fund	D	Int./Div.	M	T					
34. --Vanguard - Windsor II Admiral Fund	D	Int./Div.	M	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	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	
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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. IRA #5									
36. --Vanguard-Wellington Admiral Fund	D	Int./Div.	L	T					
37. --Vanguard - Windsor II Admiral Fund	D	Int./Div.	M	T					
38. Athene -- Retirement Annuity; 2% Fixed	A	None	K	T					
39. JP Morgan Chase Bank - savings and checking accounts	A	Interest	M	T					
40. Janus Fund -	C	Int./Div.	M	T					
41. Vanguard - 500 Index Fund - MJC		None	K	T					
42. Vanguard 529 Plan - AMC									
43. --Mid-Cap Index	D	Int./Div.	K	T					
44. --Small-Cap Index	D	Int./Div.	K	T					
45. --Total International Stock Index	D	Int./Div.	K	T					
46. -- Value Index	D	Int./Div.	K	T					
47. Vanguard 529 Plan - MJC									
48. -- Aggress Growth	D	Int./Div.	L	T					
49. -- Small-Cap Index	D	Int./Div.	L	T					
50. -- Total International Stock Index	D	Int./Div.	K	T					
51. American Funds									

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52. -- Growth Fund of America 529C-KVC	B	Int./Div.	L	T					
53. -- Growth Fund of America 529C - AMC	B	Int./Div.	L	T					
54. Franklin Templeton-Aged Based Growth Asset Allocation 13-16 - MJC		None			Sold	07/17/18	K		
55. Fidelity -- AZ Aggressive Growth - KVC		None			Sold	05/14/18	K		
56. Fidelity -- AZ Aggressive Growth - AMC		None	K	T					
57.									

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

Part VII, line 3, 401K #1, Oppenheimer Funds-Cash Reserves was funded on 01/25/18 from the sale of Templeton Select Shares Money Market Fund (line 37).

Part VII, line 22, IRA #1, AllianceBernstein Discovery was sold on 07/16/18 to fund the purchase of Flexinsured Account (line 29).

Part VII, line 23, IRA #1, Eaton Vance Dividend Builder was sold on 07/16/18 to fund the purchase of Flexinsured Account (line 29).

Part VII, line 24, IRA #1, Fidelity Advisors New Insights C Fund was sold on 07/16/18 to fund the purchase of Flexinsured Account (line 29).

Part VII, line 25, IRA #1, Franklin Income FDS was sold on 07/16/18 to fund the purchase of Flexinsured Account (line 29).

Part VII, line 26, IRA #1, Ivy Asset Strategy Fund was sold on 07/16/18 to fund the purchase of Flexinsured Account (line 29).

Part VII, line 27, IRA #1, Templeton Global Bond Fund was sold on 07/16/18 to fund the purchase of Flexinsured Account (line 29).

Part VII, line 28, IRA #1, Pershing Prime Reserves Money Market was sold on 07/16/18 to fund the purchase of Flexinsured Account (line 29).

Part VII, line 29, IRA #1, Flexinsured Account was funded on 07/16/18 by the sale of AllianceBernstein Discovery (line 22), Eaton Vance Dividend Builder (line 23), Fidelity Advisors New Insights C Fund (line 24), Franklin Income FDS (line 25), Ivy Asset Strategy Fund (line 26), Templeton Global Bond Fund (line 27), and Pershing Prime Reserves Money Market (line 28).

Part VII, line 31, IRA #2, Templeton Select Shares Money Market Fund was sold on 01/25/18 to fund the additional purchase of Oppenheimer Funds - Cash Reserves (line 3).

Part VII, line 54, Franklin Templeton -Aged Based Growth Asset Allocation 13-16 - MJC was sold on 07/17/18.

Part VII, line 55, Fidelity - AZ Aggressive Growth - KVC was sold on 05/14/18.

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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