

FINANCIAL DISCLOSURE REPORT

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 WENDELL T.	2. Court or Organization U.S. Bankr. Court (AZ)	3. Date of Report 12/31/13
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 ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 11/1/13 to 12/31/13
7. Chambers or Office Address 230 N. 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. Sign on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)☐ NONE (No reportable positions.)POSITIONNAME OF ORGANIZATION/ENTITY

1. SEE ATTACHED

2.

3.

4.

5.

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FINANCIAL
DISCLOSURE OFFICE**II. AGREEMENTS.** (Reporting individual only; see pp. 14-16 of filing instructions.)☒ NONE (No reportable agreements.)DATEPARTIES AND TERMS

1.

2.

3.

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Name of Person Reporting

Redfield & Baum

Date of Report

12/31/13

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> <i>(yours, not spouse's)</i>
1		
2		
3		
4		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(If filer is not required except for honoraria.)*☒ **NONE** *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1	
2	
3	
4	

IV. REIMBURSEMENTS - *transportation, lodging, food, entertainment,**this 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	SEE ATTACHED			
2				
3				
4				
5				

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Name of Person Reporting

REDFIELD T. BAUM

Date of Report

12/31/13

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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Name of Person Reporting

GEORFIELLO T. BAUM

Date of Report

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VII. INVESTMENTS and TRUSTS → income, value, transactions. (Includes those of spouse and dependent children; see pp. 34-40 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 mt.)	(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	SEE ATTACHED								
2									
3									
4									
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6									
7									
8									
9									
10									
11									
12									
13									
14									
15									
16									
17									

1. Income Gain Codes

(See Columns B1 and D4)

A - \$1,000 or less
F - \$50,001 - \$100,000
I - \$15,001 to less
N - \$250,001 - \$500,000
P1 - \$25,000,001 - \$50,000,000
Q - Appraisal
U - Book Value

B - \$4,001 - \$2,500
G - \$100,001 - \$1,000,000
K - \$15,001 - \$50,000
O - \$500,001 - \$1,000,000
R - Cost (Real Estate Only)
V - Other

C - \$2,501 - \$5,000
H1 - \$1,000,001 - \$5,000,000
L - \$50,001 - \$100,000
P1 - \$1,000,001 - \$5,000,000
P2 - More than \$50,000,000
S - Assessed
W - Estimated

D - \$5,001 - \$15,000
H2 - More than \$5,000,000
M - \$100,001 - \$250,000
P2 - \$5,000,001 - \$25,000,000
T - Cash Market

E - \$15,001 - \$50,000

2. Value Method Codes

(See Column C3)

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Name of Person Reporting

REDFIELD T. BAUM

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

n/a

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Name of Person Reporting

RICHARD T. BAUM

Date of Report

12/31/13

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

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY 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

I. POSITIONS

Trustee

Trust #2

Director Arizona State University College of Law
Alumni Association

III. NON-INVESTMENT INCOME

None

IV. REIMBURSEMENT

NCBJ Atlanta, Ga., Oct.22-25; annual conference
(meals, hotel and transportation)

[NCBJ-National Conference of Bankruptcy Judges]

V. GIFTS

None

VII. INVESTMENTS AND TRUSTS--income, value, transactions.

A	B.	C.	D.	
	amt	type	val.	methd
Common Stock				
Amer. Tel & Telg.	D	div	N	T
Berkshire Hathaway	0		K	T
Clorox	A	div	J	T(IRA distribution)
Comerica	A	div	K	T
Conoco Phillips	B	div	L	T
Cognizant	0		J	T
Comcast Corp. A	A	div	J	T
Citigroup	A	div	J	T
Insured Bank Program	A	div	K	T
Kinder Morgan	A	div	J	T
Express Scripts Holdings	A	Div	J	T
Exxon Mobil	F	div	O	T
Frontier Comm	A	div	J	T
Gap	A	div	J	T
Gartner Group	0		J	T
General Electric	E	div	O	T
Hewlett Packard	A	div	J	T

Hospira	A	div	J	T
Johnson & Johnson	C	div	L	T
LSI	O		J	T
Merck	B	div	L	T
Pfizer	B	div	K	T
Phillips 66	B	div	K	T
Royal Dutch	D	div	M	T
S.W. Gas	A	div	J	T
Southwest Airlines	A	div	J	T
Three M	A	div	J	T
Verigy Ltd	O		J	T
Verizon	C	div	L	T
Vodafone Group	B	div	K	T
Windstream	A	div	J	T
Zweig Total Return	A	div	J	T

Bank Accounts(Checking)

JPMorgan Chase Bank	A	int	K	T
Phoenix, Az.				

Individual Retirement Accounts

Stifel Nicklaus

Insured Bank Program	A	div	K	T
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(IRA common stock):

ATT	A	div	J	T
Abbott	A	div	J	T
Abbvie	A	div	J	T (spin off Abbott)
Alcatellucent	O		J	T
Becton Dickinson	A	div	J	T
Bemis Co	A	div	J	T
Berkshire Hathaway	O		M	T
Bristol Meyers Squibb	A	div	J	T
Coke	A	div	K	T
Emerson Electric	A	div	J	T
Express Scripts Hold.	A	Div	J	T
Diebold	A	div	K	T
Hewlett Packard	A	div	K	T
Intel	A	div	J	T
J.W.Smucker	A	div	J	T
Johnson & Johnson	A	div	J	T
Merck	A	div	J	T

Proctor & Gamble	A	div	K	T
Pfizer	A	div	J	T
Sanofi Aventis	A	div	J	T
UPS	A	div	J	T

(IRA Mutual Fund):

American Cap Fund	A	div	K	T
American Mutual Fund	A	div	K	T
CapitalWorldFund	A	div	K	T
EuroPacificFund	A	div	K	T
GrowthFund	A	div	K	T
Invest.Co.AmericanFund	A	div	K	T
NewPerspect.Fund	A	div	K	T
SmallCapWorldFund	A	div	K	T
Wash.MutualInvest.Fund	A	div	K	T

Assets trusts:

Trust #2

Comerica stock	C	div	L	T
Stifel Nicklaus[Insured Bank Program}	A	div	J	T

Transactions

A. Stocks Sold [all sales of entire stock unless noted by (P)]

	date	value	gain
Alcatel Lucent	11/12/13	J	A {inadvertently omitted prior year}
BankNYMellon	10/18/13	L	F
BristolMeyers Squib	10/18/13	L	F
Century Link	11/21/13	J	A
Comcast	10/18/13	J	A (P)
Conoco Phillips	10/18/13	J	D (P)
DunnBradstreet	10/18/13	J	C
EastmanChemical	10/18/13	J	C
Moodys	10/18/13	K	E
Phillips 66	10/18/13	K	D (P)
Sempra	10/18/13	K	D
Schlumberger	10/18/13	L	F

Travelers	10/18/13	K	D
ZimmerHoldings	10/18/13	J	C