

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 REDFIELD T		2. Court or Organization U.S. Bankruptcy Court AZ	3. Date of Report 12/31/11
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 ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 1/1/11 to 12/31/11
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.)

POSITION	NAME OF ORGANIZATION/ENTITY
1. SEE ATTACHED	U.S. BANKRUPTCY COURT
2.	
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE	PARTIES AND TERMS
1.	
2.	
3.	

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Name of Person Reporting

Redfield T. Baum

Date of Report

12/31/11

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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1.

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. SEE ATTACHED

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.)*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

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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)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(1) Amount Code 1 (A-F)	(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. SEE ATTACHED									
2.									
3.									
4.									
5.									
6.									
7.									
8.									
9.									
10.									
11.									
12.									
13.									
14.									
15.									
16.									
17.									

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P2 = \$5,000,001 - \$50,000,000

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P3 = \$5,000,001 - \$50,000,000

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

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

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Name of Person Reporting

Rebecca T. Baum

Date of Report

10/1/10

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

n/a

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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

Redfield T Baum

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

Redfield T. Baum

December 31, 2011

I. POSITIONS

Trustee Trust #2

Director Arizona State University College of Law
Alumni Association

III. NON-INVESTMENT INCOME

None

IV. REIMBURSEMENT

ABI Las Vegas, Nev., Sept. 7-10, Southwest Regional
Bankruptcy Program-(Meals, hotel and
transportation)

NCBJ Desert Springs, Ca. April 3-5, mid-year Board
meeting (meals, hotel and transportation)

Tampa, Fla., Oct.11-15; annual conference
(meals, hotel and transportation)

[NCBJ-National Conference of Bankruptcy Judges; ABI-American
Bankruptcy Institute]

V. GIFTS

None

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

A	B.	C.	D.
Common Stock	amt	type	val. mthd
Amer. Tel & Telg.	D	div	N T
Bank of New York	B	div	L T
Berkshire Hathaway	0		K T
Bristol Meyers Squibb	B	div	L T
Comerica	A	div	K T
Conoco Phillips	B	div	K T
Cognizant	0		J T
Comcast Corp. A	A	div	J T
Citigroup	0		J T

Insured Bank Program	A	div	K	T
Dun Bradstreet	A	div	J	T
Eastman Chemical Co	A	div	J	T
El Paso Energy Corp	A	div	J	T
Exxon Mobil	D	div	O	T
Frontier Comm	A	div	J	T
Gap	A	div	J	T
Gartner Group	O		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
Medco	O		J	T
Merck	B	div	K	T
Moodys(S)	A	div	J	T
Pfizer	B	div	K	T
CenturyLink[fka Quest]	A	div	J	T
Royal Dutch	D	div	M	T
Schlumberger	A	div	L	T
Sempra Energy(S)	A	div	J	T
S.W. Gas	A	div	J	T
Southwest Airlines(S)	A	div	J	T
Three M	A	div	J	T
Travelers	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
Zimmer Holdings	A	div	J	T
Zweig Total Return	A	div	J	T

Bank Accounts(Checking)

JPMorgan Chase Bank	A	int	J	T
Phoenix, Az.[name change same account]				

Individual Retirement Accounts

Stifel Nicklaus

Insured Bank Program	A	div	L	T
(IRA common stock):				
ATT	A	div	J	T

Abbott Lab	A	div	J	T
AlcatelLucent	0		J	T
Becton Dickinson	A	div	J	T
Bemis Co	A	div	J	T
Berkshire Hathaway	0		M	T
Bristol Meyers Squibb	A	div	J	T
Coke	A	div	J	T
Emerson Electric	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
Medco	0		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	m	T
Stifel Nicklaus[Insured Bank Program}	A	div	J	T

Transactions

A. Stocks & Mutual Fund Sold

	date	value	gain
Templeton World	10/28	L	E
MassMutualPart.	10/28	J	A
IncPrime Rate Trust	10/28	J	A

B. Stocks & Mutual Fund Purchased

[IRA]

AmericanCapFund	10/28	K
AmericanMutualFund	10/28	K
CapitalWorldFund	10/28	K
EuroPacificFund	10/28	K
GrowthFund	10/28/	K
InvestCo.American	10/28	K
NewPerspect.Fund	10/28	K
SmallCapWorldFud	10/28	K
Wash.MutualInvestFund	10/28	K