

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) Ballinger, Jr., Eddward P.	2. Court or Organization Bankruptcy Court - Arizona	3. Date of Report 05/07/2019
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 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.		

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.	Trustee	Trust #1
2.		
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.		

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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. 2018	Arizona Elected Officials Retirement Plan	\$96,180.00
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	Self-employed (jewelry designer)
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.				
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.)*

	<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.			
2.			
3.			
4.			
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. Trust #1 (H)									
2. Meryll Lynch Asset Mang. Bank Account (cash)	C	Interest	L	T					
3. SCHWAB BANK DEPOSIT ACCTS (cash)	A	Interest	N	T	Open	07/30/18	O		
4. DFA FIVE YEAR GLBL FIXED INC PORT I (DFGBX)	C	Dividend	L	T	Buy	08/14/18	L		
5.					Buy (add'l)	11/09/18	K		
6. DFA SHORT TERM GOVT PORT I (DFFGX)	A	Dividend			Buy	08/14/18	J		
7.					Buy (add'l)	11/09/18	J		
8.					Sold	12/18/18	K		
9. VANGUARD INTERM TERM TAX EX A (VWIUX)	A	Dividend	L	T	Buy	08/14/18	L		
10.					Buy (add'l)	11/09/18	K		
11. VANGUARD LTD TERM TAX EX A (VMLUX)	A	Dividend	L	T	Buy	08/14/18	L		
12.					Buy (add'l)	11/09/18	K		
13. VANGUARD SHORT TERM TAX EX A (VWSUX)	A	Dividend	L	T	Buy	08/14/18	L		
14.					Buy (add'l)	11/09/18	K		
15. DFA EMERGING MKTS CORE EQ PORT I (DFCEX)	A	Dividend	K	T	Buy	08/14/18	K		
16.					Buy (add'l)	11/09/18	J		
17. DFA GLOBAL REAL ESTATE SEC PORT (DFGEX)	B	Dividend	K	T	Buy	08/14/18	K		

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 \$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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18.					Buy (add'l)	11/09/18	J		
19. DFA INTL SMALL CAP VALUE PORT I (DISVX)	A	Dividend	J	T	Buy	08/14/18	J		
20.					Buy (add'l)	11/09/18	J		
21. DFA INTL SMALL CO PORT I (DFISX)	B	Dividend			Buy	08/14/18	K		
22.					Buy (add'l)	11/09/18	J		
23.					Sold	12/19/18	K		
24. DFA LARGE CAP INTL PORT I (DFALX)	A	Dividend			Buy	08/14/18	K		
25.					Buy (add'l)	11/09/18	K		
26.					Sold	12/19/18	K		
27. DFA TAX MANAGED INTL VAL PORT (DTMIX)	A	Dividend	K	T	Buy	08/14/18	J		
28.					Buy (add'l)	11/09/18	J		
29. DFA TAX MANAGED US MARKET VAL PORT (DTMMX)	B	Dividend	K	T	Buy	08/14/18	K		
30.					Buy (add'l)	11/09/18	J		
31. DFA TAX MGD US TARGETED VAL PORT I (DTMVX)		None	K	T	Buy	12/19/18	K		
32. DFA TAX-MNG US EQUITY PORT (DTMEX)	A	Dividend			Buy	08/14/18	L		
33.					Buy (add'l)	11/09/18	K		
34.					Sold	12/19/18	K		

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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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35. DFA TAX-MNG US SMLCAP PORT (DFTSX)	B	Dividend			Buy	08/14/18	K		
36.					Buy (add'l)	11/09/18	K		
37.					Sold	12/19/18	K		
38. DFA US LARGE CO PORT (DFUSX)		None	L	T	Buy	12/19/18	L		
39. DFA US SMALL CAP VALUE PORT I (DFSVX)	B	Dividend			Buy	08/14/18	J		
40.					Buy (add'l)	11/09/18	J		
41.					Sold	12/19/18	K		
42. DFA US SMALL CAP PORT (DFSTX)		None	K	T	Buy	12/19/18	K		
43. VANGUARD DEVELOPED MKTS INDEX ADM (VTMGX)	A	Dividend	K	T	Buy	12/19/18	K		
44. VANGUARD FTSE ALL WORLD EX US SM CAP INDEX FD I (VFSVX)	A	Dividend	K	T	Buy	12/19/18	K		
45. IRA #1 (H)									
46. Schwab Bank Deposit Account (cash) (X)	A	Interest	K	T					
47. DFA Short Term Govt Port I (DFFGX)	A	Dividend			Buy	08/15/18	K		
48.					Sold	12/18/18	K		
49. IShares TR Core MSCI EAF (IEFA)	A	Dividend			Sold	08/14/18	J		
50. IShares Russell 1000 Growth (IWF)	A	Dividend			Sold	08/14/18	J	A	
51. IShares Russell 1000 Value (IWD)	A	Dividend			Sold	08/14/18	J	A	

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52. IShares US Treasury Bond (GOVT)	A	Dividend			Sold	08/14/18	J		
53. Vanguard Intermediate Term (VCIT)	A	Dividend			Sold	08/14/18	J		
54. TCW Total Return Bond (TGLMX)	A	Dividend			Sold	08/14/18	J		
55. Blackrock Equity Dividend Fund Instl (MADVX)	A	Dividend			Sold	08/14/18	J	A	
56. Glenmede Small Cap (GTSCX)	A	Dividend			Sold	08/14/18	J	A	
57. MFS Value Fd Cl I (MEIIX)	A	Dividend			Sold	08/14/18	J	A	
58. The Oakmark Int'l Fund (OAKIX)		None			Sold	08/14/18	J	A	
59. Oppenheimer International Growth Fund Cl Y (OIGYX)		None			Sold	08/14/18	J	A	
60. BROKERAGE #1 (H)									
61. SCHWAB BANK DEPOSIT ACCT (cash) (X)	A	Interest	K	T					

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

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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/ Eddward P. Ballinger, Jr.

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
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Washington, D.C. 20544