

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2019**

*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 02/12/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address 230 N. 1st Avenue, Suite 603 Phoenix, Arizona 85003		
IMPORTANT NOTES: <i>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>		

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. 2019	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.	American Bankruptcy Institute	04/10/2019 to 04/14/2019	Washington, D.C.	Speaker at Annual Spring Meeting	Transportation, lodging and meals.
2.	California Bankruptcy Forum	05/16/2019 to 05/19/2019	Rancho Mirage, CA	Speaker at 31st Annual California Bankruptcy Forum Insolvency Conference	Transportation, lodging and meals.
3.	American Bankruptcy Institute	09/05/2019 to 09/07/2019	Las Vegas, NV	Speaker at Southwest Bankruptcy Conference	Transportation, lodging and meals.
4.	American Bankruptcy Institute	10/06/2019 to 10/08/2019	Washington, D.C.	ABI Board Responsibilities (Executive Search - Initial Interviews)	Transportation, lodging and meals.

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5.	American Bankruptcy Institute	10/27/2019 to 10/28/2019	Washington, D.C.	ABI Board Responsibilities (Executive Search - Final Interviews)	Transportation, lodging and meals.
6.	National Conference of Bankruptcy Judges	10/29/2019 to 11/02/2019	Washington, D.C.	Speaker at 2019 Annual Conference	Transportation and lodging.
7.	National Conference of Bankruptcy Judges	11/11/2019 to 11/13/2019	Indianapolis, IN	2021 Conference Site Visit	Transportation, lodging and meals.
8.	American Bankruptcy Institute	12/05/2019 to 12/07/2019	Ranchos Palos Verdes, CA	Speaker at Winter Leadership Conference	Transportation, lodging and meals.

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V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

	SOURCE	DESCRIPTION	VALUE
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.)

	CREDITOR	DESCRIPTION	VALUE CODE
1.	University of Southern California	College Tuition	K
2.	Santa Clara University	College Tuition	K
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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	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	Sold (part)	09/30/19	L		
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	E	Int./Div.	L	T					
7. --Oppenheimer Funds-Capital Income Fund	E	Int./Div.	N	T					
8. --Oppenheimer Funds-Global Fund	D	Int./Div.	K	T					
9. --Global Opportunities Fund	A	Int./Div.	K	T	Sold (part)	09/04/19	L		
10. --Discovery Mid Cap Growth Fund	E	Int./Div.	L	T					
11. --Main Street Fund	E	Int./Div.	M	T					
12. --Total Return Bond Fund R	B	Int./Div.	K	T					
13. 401K #2									
14. --Vanguard Federal Money Market Fund	B	Int./Div.	K	T					
15. --Voya Intermediate Bond Fund - R6	E	Int./Div.	M	T					
16. --DFA Inflation Protected Securities Portfolio Inst	D	Int./Div.	L	T					
17. --Vanguard STAR-Inv	F	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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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. --Vanguard Value Index Fund - Admiral	E	Int./Div.	L	T					
19. Allianz--Bonus Dex Annuity; 3% Fixed	A	Int./Div.	K	T					
20. Allianz--Accumulator Bonus Maxx Annuity; 3% Fixed	B	Int./Div.	K	T					
21. IRA #1									
22. --Flexinsured Account	A	Int./Div.	M	T					
23. IRA #4									
24. --Vanguard - WellingtonAdmiral Fund	E	Int./Div.	M	T					
25. --Vanguard - Windsor II Admiral Fund	E	Int./Div.	M	T					
26. IRA #5									
27. --Vanguard-Wellington Admiral Fund	E	Int./Div.	M	T					
28. --Vanguard - Windsor II Admiral Fund	E	Int./Div.	L	T					
29. Athene -- Retirement Annuity; 2% Fixed	A	None	K	T					
30. JP Morgan Chase Bank - savings and checkings accounts	A	Interest	L	T					
31. Janus Fund -	A	Int./Div.	L	T	Sold (part)	12/31/19	L		
32. Vanguard - 500 Index Fund - MJC		None			Sold	01/11/19	K		
33. Vanguard 529 Plan - AMC									
34. --Mid-Cap Index	D	Int./Div.	K	T					

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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. --Small-Cap Index	D	Int./Div.	L	T					
36. --Total International Stock Index	C	Int./Div.	K	T					
37. --Value Index	D	Int./Div.	K	T					
38. Vanguard 529 Plan - MJC									
39. --Aggress Growth	A	Int./Div.	M	T					
40. --Small-Cap Index	A	Int./Div.	M	T					
41. --Total International Stock Index	D	Int./Div.	K	T					
42. American Funds									
43. --Growth Fund of America 529C-KVC	B	Int./Div.	L	T					
44. --Growth Fund of America 529C - AMC	B	Int./Div.	L	T					
45. Fidelity -- AZ Aggressive Growth - AMC		None			Sold	04/08/19	K		
46. IRA #6									
47. Apple Inc, 2% Fixed	A	Int./Div.	K	T	Buy	10/18/19	K		
48. Deere John Cap Corp Med Term, 1.95% Fixed	A	Int./Div.	K	T	Buy	10/18/19	K		
49. Gilead Sciences Inc, 2.5% Fixed	A	Int./Div.	K	T	Buy	10/18/19	K		
50. Peco Energy Co, 1.7% Fixed	A	Int./Div.	K	T	Buy	10/18/19	K		
51. UnitedHealth Group Inc, 2.375% Fixed	A	Int./Div.	K	T	Buy	10/18/19	K		

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

Part VII, 401K #1, lines 2-12, Oppenheimer Funds became part of Invesco on 05/25/19.

Part VII, line 3, 401K #1, Oppenheimer Funds-Cash Reserves sold \$100,000 on 09/30/2019 to fund the purchase of Apple Inc (\$20,000) (line 47), Deere John Cap Corp Med Term (\$20,000) (line 48), Gilead Sciences Inc (\$20,000) (line 49), Peco Energy Co (\$20,000) (line 50), and UnitedHealth Group Inc (\$20,000) (line 51).

Part VII, line 9, 401K #1, Oppenheimer Funds--Global Opportunities Fund transferred \$100,000 to Oppenheimer Funds-Cash Reserves (line 3) on 09/04/19.

Part VII, line 31, Janus Fund, a portion was sold on 01/11/2019.

Part VII, line 32, Vanguard-500 Index Fund - MJC was sold on January 11, 2019.

Part VII, line 45, Fidelity -- AZ Aggressive Growth - AMC was sold on 04/08/19.

Part VII, line 47, IRA #6, Apple Inc was funded on 10/18/19 from Oppenheimer Funds-Cash Reserves (line 3).

Part VII, line 48, IRA #6, Deere John Cap Corp MEd Term was funded on 10/18/19 from Oppenheimer Funds-Cash Reserves (line 3).

Part VII, line 49, IRA #6, Gilead Sciences Inc was funded on 10/18/19 from Oppenheimer Funds-Cash Reserves (line 3).

Part VII, line 50, IRA #6, Peco Energy Co was funded on 10/18/18 from Oppenheimer Funds-Cash Reserves (line 3).

Part VII, line 51, IRA #6, UnitedHealth Group Inc was funded on 10/18/18 from Oppenheimer Funds-Cash Reserves (line 3).

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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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