

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) Baker, Kristine G.	2. Court or Organization Eastern District of Arkansas	3. Date of Report 10/22/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active Article III 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 United States District Court - Eastern District of Arkansas 500 West Capitol Avenue, Room D 469 Little Rock, Arkansas 72201		
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. Member	Arbor Enterprises, LLC
2. Member	Wasserliebend, LLC
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.		
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. 12/31/2019	MWSGW (Ordinary business income)
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.)

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. Chase #1	Credit card	J
2. Chase #2	Credit card	J
3. Am. Express	Credit card	J
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. Brokerage Acct. #1: (H)									
2. Am. Funds Int'l Growth & Income Fund	B	Dividend	L	T					
3. Am. Funds Europac. Fund	C	Dividend	M	T	Buy (add'l)	02/14/19	J		
4.					Buy (add'l)	03/14/19	J		
5.					Buy (add'l)	04/15/19	J		
6.					Buy (add'l)	05/15/19	J		
7.					Buy (add'l)	06/11/19	J		
8.					Buy (add'l)	07/17/19	J		
9.					Buy (add'l)	08/13/19	J		
10.					Buy (add'l)	09/11/19	J		
11.					Buy (add'l)	10/16/19	J		
12.					Buy (add'l)	11/13/19	J		
13.					Buy (add'l)	12/13/19	J		
14. Am. Funds Growth Fund of Am.	E	Dividend	N	T					
15. Am. Funds New World Fund	D	Dividend	M	T					
16. Am. Funds Smallcap World Fund	D	Dividend	M	T					
17. Am. Funds Washington Mut. Fund	E	Dividend	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.)

☐ 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. Am. Funds Global Balanced Fund	C	Dividend	M	T					
19. Brokerage Acct. #3: (H)									
20. Am. Funds Growth Fund of Am.	B	Dividend	K	T					
21. Am. Funds Int'l Growth & Income Fund	A	Dividend	J	T					
22. Invesco Constellation Fund	C	Dividend	K	T					
23. Am. Funds Europac. Fund	A	Dividend	K	T					
24. Am. Funds New Economy Fund	C	Dividend	K	T					
25. Am. Funds Small Cap World Fund	B	Dividend	K	T					
26. Stephens, Inc., Money Market Fund (X)	A	Dividend	J	T					
27. Brokerage Acct. #5: (H)									
28. Am. Funds Europac. Fund	A	Dividend	K	T					
29. Am. Funds New Economy Fund	B	Dividend	K	T					
30. Stephens, Inc. Money Market Fund (X)	A	Dividend	J	T					
31. Brokerage Acct. #6: (H)									
32. Am. Funds Europac. Fund	A	Dividend	K	T					
33. Am. Funds New Economy Fund	B	Dividend	K	T					
34. Stephens, Inc., Money Market Fund (X)	A	Dividend	J	T					

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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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)
35. Brokerage Acct. #7: (H)									
36. Vanguard Conservative Growth Portfolio		None	N	T					
37. Brokerage Acct. #8: (H)									
38. American Funds VA 529 U.S. Govt. Money Market FD CL A M/M	C	Dividend	M	T					
39. Brokerage Acct. #9: (H)									
40. Vanguard Conservative Growth Portfolio		None	N	T	Distributed (part)	07/12/19	J		
41.					Buy (add'l)	11/19/19	J		
42. Brokerage Acct. #10: (H)									
43. American Funds CF24-529A	D	Dividend	M	T	Buy (add'l)	09/09/19	J		
44. Central Bank Cash Account	A	Interest	K	T					
45. Simmons Bank Cash Account	A	Interest	K	T					
46. Membership Interest in Arbor Enterprises, LLC: (H)									
47. Central Bank Cash Account	A	Interest	J	T					
48. Arbor Brokerage Acct. #1: (H)									
49. Am. Funds Int'l Growth Fund of Am.	A	Dividend	K	T					
50. Am. Funds Europac. Fund	A	Distribution	J	T	Buy (add'l)	02/08/19	J		
51. Am. Funds Growth Fund of Am.	D	Dividend	L	T	Sold (part)	02/14/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$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 P4 =More than \$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
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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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				
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52. Am. Funds New World Fund	A	Dividend	J	T					
53. Am. Funds Smallcap World Fund	A	Dividend	K	T					
54. Am. Funds Washington Mut. Fund	C	Dividend	K	T					
55. Raymond James Money Market Fund (X)	A	Interest	J	T					
56. Arbor Brokerage Acct. #2: (H)									
57. Am. Funds Fundamental Investors Fund	C	Dividend	K	T					
58. Am. Funds Growth Fund of Am.	D	Dividend	L	T					
59. Am. Funds Europac. Fund	B	Dividend	K	T	Buy (add'l)	02/16/19	K		
60. American Beacon Stephens Mid Cap Growth Fund	A	Dividend	K	T					
61. American Beacon Stephens Small Cap Growth Fund	B	Dividend	J	T					
62. Am. Funds New World Fund	A	Dividend	J	T					
63. Stephens, Inc., Money Market Fund (X)	A	Dividend	J	T					
64. Membership Interest in Wasserliebend, LLC: (H)									
65. Developed parcel in [REDACTED]		None	M	W					
66. Undeveloped parcel 1 in [REDACTED]		None	J	W					
67. Undeveloped parcel 2 in [REDACTED]		None	J	W					
68. Undeveloped parcel 3 in [REDACTED]		None	J	W					

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69. Undeveloped parcel 4 in [REDACTED]		None	J	W					
70. Simmons First National Bank Cash Account		None	J	T					
71. Membership interest in Mitchell Williams	A	Interest	L	U					
72. Membership interest in [REDACTED] LLC [REDACTED]	B	Dividend	M	W					
73. Brokerage Acct. #11: (H)									
74. Am. Funds Global Balanced Fund	A	Dividend	K	T					
75. Am. Funds Europac. Fund	B	Dividend	L	T					
76. Am. Funds Fundamental Investors Fund	B	Dividend	K	T					
77. Am. Funds Growth Fund of Am.	D	Dividend	M	T					
78. Am. Funds Int'l Growth & Income Fund	A	Dividend	K	T					
79. Am. Funds Smallcap World Fund	A	Dividend	K	T					
80. Am. Funds Washington Mutual Fund	C	Dividend	L	T					
81. Brokerage Acct. #12: (H)									
82. Am. Funds Int'l Growth & Income Fund	A	Dividend	K	T					
83. Am. Funds Europac. Fund	B	Dividend	L	T					
84. Am. Funds Growth Fund of Am.	D	Dividend	L	T					
85. Am. Funds Smallcap World Fund	B	Dividend	K	T					

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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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86. Am. Funds Washington Mut. Fund	D	Dividend	L	T					
87. Raymond James Money Market Fund (X)	A	Interest	J	T					
88. Other Bank Accts.: (H)									
89. Other Bank Acct. - Simmons #1 Cash Account		None	J	T					
90. Other Bank Acct. - Simmons #2 Cash Account		None	J	T					
91. Other Bank Acct. - Simmons #3 Cash Account		None	J	T					
92. Other Bank Acct. - Simmons #4 Cash Account		None	J	T					
93. Brokerage Acct. #13: (H)									
94. Vanguard 500 Index Fund Investor Class	A	Dividend	J	T	Buy (add'l)	04/16/19	J		
95. Stephens, Inc., Money Market Fund (X)	A	Dividend	J	T					
96. Brokerage Acct. #14: (H)									
97. Vanguard 500 Index Fund Investor Class	A	Dividend	J	T					
98. Stephens, Inc., Money Market Fund (X)	A	Dividend	J	T					
99. Brokerage Acct. #15: (H)									
100. Index Funds S&P 500 Equal Weight	A	Dividend	J	T					
101. IShares Core MSCI Emerging ETF	A	Dividend	J	T					

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

Line 48: This Arbor Brokerage Account #1 has assets held by Arbor Enterprises, LLC, of which the filer is a member.

Line 56: This Arbor Brokerage Account #2 has assets held by Arbor Enterprises, LLC, of which the filer is a member.

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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/ **Kristine G. Baker**

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