

FINANCIAL DISCLOSURE REPORT FINAL FILING

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) Haines, Randolph J.	2. Court or Organization UNITED STATES BANKRUPTCY COURT	3. Date of Report 03/17/2014
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 01/01/2013 to 03/16/2014
7. Chambers or Office Address 230 North First Avenue Suite 101 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.	Adjunct Faculty	Sandra Day O'Connor College of Law (fka Arizona State University College of Law) (terminated eff. Dec. 2013)
2.	President	
3.	Director	
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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2013	Sandra Day O'Connor College of Law (teaching)	\$3,000.00
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.)*

DATE	SOURCE 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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. Norton Bankruptcy Institute	Feb. 22 - 24, 2013	Park City, Utah	Speaking at conference	Transportation, meals, and lodging
2. Norton Bankruptcy Institute	March 20 - 22, 2013	Las Vegas, Nevada	Speaking at conference	Transportation, meals and lodging
3. National Association of Consumer Bankruptcy Attorneys	April 26, 2013	San Diego, California	Speaking at conference	Transportation
4. Norton Bankruptcy Institute	June 27 - July 1, 2013	Jackson Hole, Wyoming	Speaking at conference	Transportation, meals and lodging
5. Norton Bankruptcy Institute	Feb. 21-23, 2014	Park City, Utah	Speaking at conference	Transportation, meals and lodging

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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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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. --IRA #1	F	Distribution	N						
2. SPDR Gold Tr Gold Shares ETF - GLD		None			Sold	02/27/13	J		
3. --					Sold (part)	02/20/13	J		
4. --					Sold (part)	01/15/13	K		
5. Pimco FDS Real Est Real Return Strat FD - PETAX (Y)									
6. Powershares Pharmaceuticals Port - PJP (Y)									
7. SPDR Dow Jones REIT EFT - RWR (Y)									
8. Rydex/S&P FDS High Yield - SIHAX (Y)									
9. Touchstone FDS High Yield CL A - THYAX (Y)									
10. DWS Global Inflation C - TIPAX (Y)									
11. USAA Mut FD Inc High Yield OPPS - USHYX (Y)									
12. Vanguard Info Tech Index - VGT (Y)									
13. AMEX SPDR Utilities Select Index - XLU (Y)									
14. SPDR S&P Retail ETF - XRT (Y)									
15. Morgan Stanley Dean Witter Range ACRUL - 61745EW23 (Y)									
16. Consumer Staples Select Sec - XLP (Y)									
17. iShares Barclays 20+ Yr Tre - TLT (Y)									

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 = \$250,001 - \$500,000,000	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. iShares Barclays TIPS Bond - TIP (Y)									
19. iShares JPMorgan USD Emergi - EMB (Y)									
20. Mainstay Fds High Yield Cor - MHCAX (Y)									
21. Mainstay Marketfield Fund - MFLDX.	A	Dividend	K	T	Sold (part)	11/04/13	K	D	
22. --				T	Buy (add'l)	03/15/13	J		
23. Nicholas High Income FD - NNHIX (Y)									
24. Permanent Perm Portfolio - PRPFX (Y)									
25. PIMCO Fds Pac Invnt Mgmt Ser - PASAX	A	Dividend			Sold	02/11/13	L	B	
26. Pioneer High Income Municip - PIMAX	A	Dividend			Sold	01/29/13	K	A	
27. Powershares DB Commodity In - DBC (Y)									
28. Powershares QQQ Nasdaq 100 - QQQ (Y)									
29. Sierra Core Retirement Fund - SIRRX (Y)									
30. Spdr S&P 500 ETF TR - SPY (Y)									
31. Babson Capital Global Short Duration High Yield Fund - BGH	D	Dividend	K	T					
32. JPMorgan Intrepid Capital - ICMBX		None			Sold	01/17/13	L	B	
33. Pimco Income Fund - PIMIX	B	Dividend			Sold	08/21/13	L		
34. Pimco Stocksplus AR Short S - PSSAX		None			Sold	09/10/13	K		

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000	R = Cost (Real Estate Only)	P4 = More than \$50,000,000	S = Assessment	T = Cash Market
(See Column C2)	Q = Appraisal	V = Other	W = Estimated		
	U = Book Value				

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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) 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)

35. --					Sold (part)	09/05/13	J		
36. --					Buy (add'l)	08/28/13	K		
37. --					Sold (part)	07/09/13	K		
38. --					Buy (add'l)	06/24/13	K		
39. --					Sold (part)	01/11/13	K		
40. Pimco Stocksplus AR Short Str - PSSDX		None			Sold	01/17/13	K		
41. Angel Oak Multi-Strategy - ANGLX	A	Dividend			Sold	03/15/13	K		
42. --					Buy	02/14/13	K		
43. Calvert High Yield Bond - CYBAX	A	Dividend			Sold	03/15/13	K	A	
44. --					Buy	01/17/13	K		
45. Gold & Special Minerals Fund - OPGSX		None			Sold	09/17/13	K		
46. --					Buy (add'l)	09/05/13	K		
47. --					Buy	08/27/13	J		
48. Hennessy Focus Fund Inv CL - HFCSX		None			Sold	10/28/13	K	B	
49. --					Sold (part)	10/25/13	J		
50. --					Buy	07/23/13	K		
51. Invesco Global Real Estate - ASRAX	A	Dividend			Sold	05/16/13	K	B	

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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 \$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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52. --					Buy (add'l)	03/15/13	J		
53. --					Buy	01/22/13	K		
54. Neuberger Berman Real Estate - NBRFX	A	Dividend			Sold	06/24/13	K		
55. --					Buy	05/17/13	K		
56. Nuveen Preferred Securities - NPSAX	A	Dividend			Sold	03/15/13	J		
57. --					Buy	02/21/13	J		
58. Ontrack Core Fund-Open End - OTRFX	A	Dividend			Sold	01/08/14	K		
59. --					Sold (part)	07/22/13	K		
60. --					Buy (add'l)	02/12/13	K		
61. --					Buy	02/04/13	K		
62. Pimco Income Fund - PONAX	A	Dividend			Sold	08/19/13	J		
63. --					Buy	03/15/13	J		
64. Pimco Int'l Stocksplus AR ST - PIPAX	A	Dividend			Sold	10/17/13	K	C	
65. --					Buy (add'l)	09/10/13	K		
66. --					Sold (part)	03/27/13	L		
67. --					Buy (add'l)	03/15/13	J		
68. --					Sold (part)	03/07/13	J		

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69. --					Buy (add'l)	01/22/13	K		
70. --					Buy	01/11/13	K		
71. Pimco Stocksplus Absolute R - PTOAX	A	Dividend			Sold	08/28/13	K		
72. --					Sold (part)	06/24/13	K		
73. --					Buy	03/27/13	L		
74. The Weitz Funds Partners VA - WPVLX		None	L	T	Buy (add'l)	01/08/14	K		
75. --					Sold (part)	10/17/13	K	C	
76. --					Buy (add'l)	07/10/13	L		
77. --					Buy (add'l)	03/15/13	K		
78. --					Buy	03/07/13	J		
79. Blackrock Fds High Yield Bond - BHYAX	B	Dividend	L	T	Buy (add'l)	11/04/13	K		
80. --				T	Buy	09/27/13	K		
81. American Funds New Economy F - ANFFX	B	Dividend	K	T	Buy (add'l)	01/08/14	K		
82. --					Buy (add'l)	11/04/13	J		
83. --					Buy	09/11/13	K		
84. Scotia Dynamic US Growth I - DWUGX	D	Dividend	L	T	Open	11/1/13	L		
85. --					Merged (with line 84)	11/01/13	L		

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86. --					Buy (add'l)	10/29/13	K		
87. --					Buy (add'l)	10/25/13	J		
88. --					Buy	10/18/13	K		
89. Henderson Funds Euro Focus Fd Cl A - HFEAX	A	Dividend	K	T	Buy	10/18/13	K		
90. --IRA 2			K	T					
91. Calvert FD High Yield BD - CYBAX	A	Dividend			Sold	03/15/13	J	A	
92. --					Buy	01/22/13	J		
93. Rydex/Security Income FD Hight Yield - SIHAX (Y)									
94. Touchstone Invt TR - THYAX (Y)									
95. DWS Global Inflation Fund C - TIPAX (Y)									
96. Mainstay Fds High Yield Cor - MHCAX (Y)									
97. Nicholas High Income FD Inc - NNHIX (Y)									
98. Permanent Perm Portfolio - PRPFX - (Y)									
99. Pioneer High Income Municip - PIMAX	A	Dividend			Sold	01/29/13	J	A	
100. Sierra Core Retirement Fund - SIRRX (Y)									
101. JPMorgan Intrepid Capital - ICMBX		None			Sold	01/17/13	J	A	
102. Marketfield Fund - MFLDX	A	Dividend			Sold	03/07/13	J	A	

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103. Pimco All Asset A - PASAX	A	Dividend			Sold	02/11/13	J	A	
104. Pimco Income Fund - PIMIX	A	Dividend			Sold	08/21/13	J		
105. Pimco Stocksplus Tr Short Strately D - PSSDX		None			Sold	01/17/13	J		
106. Blackrock Fds High Yield Bond A - BHYAX	A	Dividend	J	T	Buy	09/27/13	J		
107. Scotia Dynamic US Growth I - DWUGX	A	Dividend	J	T	Open	11/01/13	J		
108. Dynamic US Growth Fund Class I - DWUGX		None			Merged (with line 107)	10/18/13	J		
109. Nuveen Preferred Securities A - NPSAX	A	Dividend			Sold	03/15/13	J	A	
110. --					Buy	02/21/13	J		
111. Ontrack Core Fund - OTRFX	A	Dividend			Sold	01/08/14	J	A	
112. --					Buy	02/04/13	J		
113. Pimco FDS Income Fund A - PONAX	A	Dividend			Sold	08/19/13	J		
114. --					Buy	03/15/13	J		
115. Gold & Special Minerals Fund - OPGSX		None			Sold	09/17/13	J		
116. --					Buy	08/27/13	J		
117. the Weitz Funds Partners VA - WPVLX		None	J	T	Buy (add'l)	01/08/14	J		
118. --				T	Sold (part)	10/17/13	J	A	
119. --				T	Buy	03/07/13	J		

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)
120. Wells Fargo Bank, NA	A	Int./Div.	J	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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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/ **Randolph J. Haines**

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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Washington, D.C. 20544