

AO 10 Rev. 1/2011		FINANCIAL DISCLOSURE REPORT NOMINATION FILING		Report Required by the Ethics in Government Act of 1978 (3 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 11/2/2011	
4. Title (Article III judges indicate judge or secular status; magistrate judges indicate full- or part-time) District Court Judge		5a. Report Type (check appropriate type) ☒ Nomination, Date 11/2/2011 ☐ Initial ☐ Annual ☐ Final		5b. ☐ Amended Report	
6. Reporting Period 1/1/2010 to 10/27/2011		7. Chambers or Office Address 111 Center Street, Suite 1900 Little Rock, Arkansas 72201			
8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____					
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. 9-11 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION	NAME OF ORGANIZATION/ENTITY
1. Partner	Quatlebaum, Grooms, Tull & Burrow PLLC
2. Member	Arbor Enterprises, LLC
3. Member	Wasserliebend, LLC
4. Board Member	Presbyterian Village, Inc.
5. Board Member	Dress for Success Little Rock

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

☒ NONE (No reportable agreements.)

DATE	PARTIES AND TERMS
1.	
2.	
3.	

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. 2009	Quattlebaum, Grooms, Tull & Burrow PLLC Ordinary business income	\$298,100.00
2. 2010	Quattlebaum, Grooms, Tull & Burrow PLLC Ordinary business income	\$569,315.00
3. 2011 (YTD)	Quattlebaum, Grooms, Tull & Burrow PLLC Ordinary business income	\$205,000.00
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. 2010	Mitchell, Williams, Selig, Gates & Woodyard Ordinary business income
2. 2011 (YTD)	Mitchell, Williams, Selig, Gates & Woodyard Ordinary business income
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. EXEMPT				
2.				
3.				
4.				
5.				

Name of Person Reporting

Baker, Kristine G.

Date of Report

11/2/2011

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 25-31 of filing instructions.)*

☐ NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
--	---------------	--------------------	--------------

- | | | | |
|----|--------|--|--|
| 1. | EXEMPT | | |
| 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>
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- | | | | |
|----|--|--|--|
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

☐ NONE (No reportable income, assets, or transactions.)

1. Income Gain Codes: (See Columns B1 and B4)	A = \$1,000 or less F = \$30,001 - \$100,000	B = \$1,001 - \$1,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and C3)	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 = Before Unit \$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	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Include those of spouse and dependent children; see pp. 34-59 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-J)	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-J)	Identity of buyer/seller (if private transaction)
18. - Am. Funds Growth Fund of Am.		None	J	T	Exempt				
19. - Am. Funds International Growth & Income Fund		None	J	T	Exempt				
20. - Invesco Constellation Fund		None	K	T	Exempt				
21. ROTH Account #2									
22. - Am. Funds International Growth Fund	A	Dividend	J	T	Exempt				
23. - Am. Funds Europacific Fund	A	Dividend	J	T	Exempt				
24. - Am. Funds Fundamental Investors Fund		None	J	T	Exempt				
25. - Am. Funds Growth Fund of Am.	A	Dividend	J	T	Exempt				
26. - Am. Funds Global Balanced Fund		None	J	T	Exempt				
27. IRA Account #1									
28. - Am. Funds Global Balanced Fund		None	J	T	Exempt				
29. IRA Account #2									
30. - Am. Funds Global Balanced Fund		None	J	T	Exempt				
31. 529 Account #1									
32. - Vanguard Aggressive Age-Based Growth Portfolio		None	M	T	Exempt				
33. 529 Account #2									
34. - Am. Funds International Growth Fund	A	Dividend	K	T	Exempt				

1. Income Gain Codes: (See Columns D1 and D4)
A = \$1,000 or less
F = \$50,001 - \$100,000
I = \$15,000 or less
N = \$250,001 - \$500,000
P1 = \$25,000,001 - \$50,000,000
Q = Appraisal
U = Book Value
B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000
R = Cost (Real Estate Only)
V = Other
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
S = Assessment
W = Estimated
D = \$5,001 - \$15,000
I12 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000
T = Cash Market

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.)

Description of Assets (including trust assets) Place "(X)" after each asset except 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/yyyy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35. - Am. Funds Capital World Fund	A	Dividend	K	T	Exempt				
36. - Am. Funds Europacific Fund	A	Dividend	J	T	Exempt				
37. - Am. Funds Growth Fund	A	Dividend	J	T	Exempt				
38. - Am. Funds New World Fund	A	Dividend	J	T	Exempt				
39. - Am. Funds Smallcap World Fund	A	Dividend	J	T	Exempt				
40. - Am. Funds Washington Mutual Fund	A	Dividend	J	T	Exempt				
41. - Am. Funds Global Balanced Fund		None	J	T	Exempt				
42. 529 Account #3									
43. - Vanguard Aggressive Age-Based Aggressive Growth Portfolio		None	L	T	Exempt				
44. 529 Account #4									
45. - Am. Funds Capital World Growth & Income	A	Dividend	K	T	Exempt				
46. - Am. Funds Growth Fund of Am.	A	Dividend	K	T	Exempt				
47. - Am. Funds New World Fund	A	Dividend	K	T	Exempt				
48. Centennial Bank (ckg. acct.)	A	Interest	K	T	Exempt				
49. Delta Trust & Bank (ckg. acct.)	A	Interest	L	T	Exempt				
50. Iberia Bank (savs. acct.)	A	Interest	J	T	Exempt				
51. Interest in Arbor Enterprises, LLC	D	Int./Div.	N	T	Exempt				

1. Income Gain Codes
(See Columns B) and (D4)

2. Value Codes
(See Columns C) and (D3)

3. Value Method Codes
(See Column C3)

A = \$1,000 or less
F = \$15,001 - \$100,000
J = \$15,000 or less
N = \$250,001 - \$500,000
Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000
R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P = \$1,000,001 - \$5,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
I = More than \$5,000,000
M = \$100,001 - \$250,000
P = \$5,000,001 - \$25,000,000
T = Cash Market

E = \$15,001 - \$50,000
J2 = More than \$5,000,000
N = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

VII. INVESTMENTS and TRUSTS *→ Income, sales, transactions (includes those of spouse and dependent children; see pp. 34-36 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-W)	(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-W)	(5) Identity of buyer/seller (if private transaction)
52. Interest in Wasserliebend, LLC (Purchases in 2011; \$116,500)		None	M	U					
53. Membership Interest in Quattlebaum Greens Tull & Burrow PLLC		None	M	U	Exempt				
54. Membership Interest in Mitchell, Williams		None	L	U	Exempt				
55. New York Life; Whole Life Policy No. 1		None	K	T	Exempt				
56. New York Life; Whole Life Policy No. 2		None	K	T	Exempt				
57. U.S. Bank, NA (svgs. acct.)	A	Interest			Exempt				

1. Income Gain Codes
(See Columns (1) and (4))

2. Value Codes
(See Column (3) and (5))

3. Value Method Codes
(See Column (2))

A = \$1,000 or less
F = \$50,001 - \$100,000
J = \$15,000 or less
N = \$250,001 - \$500,000
PJ = \$25,000,001 - \$50,000,000
Q = Appraised
U = Bank Value

B = \$1,001 - \$1,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000
R = Cost (Real Estate Only)
V = Other

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
S = Assessed
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$1,000,001 - \$25,000,000
T = Court Market

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

Name of Person Reporting	Date of Report
Baker, Kristine G.	11/2/2011

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

Name of Person Reporting	Date of Report
Baker, Kristine G.	11/2/2011

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 Kristine G. Baker

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY 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

FINANCIAL STATEMENT

NET WORTH

Provide a complete, current financial net worth statement which itemizes in detail all assets (including bank accounts, real estate, securities, trusts, investments, and other financial holdings) all liabilities (including debts, mortgages, loans, and other financial obligations) of yourself, your spouse, and other immediate members of your household.

ASSETS				LIABILITIES			
Cash on hand and in banks		115	420	Notes payable to banks-secured			
U.S. Government securities				Notes payable to banks-unsecured			
Listed securities - see schedule	1	055	307	Notes payable to relatives			
Unlisted securities - see schedule		683	319	Notes payable to others			
Accounts and notes receivable:				Accounts and bills due		11	394
Due from relatives and friends				Unpaid income tax			
Due from others				Other unpaid income and interest			
Doubtful				Real estate mortgages payable - personal residence		259	664
Real estate owned - personal residence		750	000	Chattel mortgages and other liens payable			
Real estate mortgages receivable				Other debts-itemize:			
Autos and other personal property		72	000				
Cash value-life insurance		35	570				
Other assets itemize:							
				Total liabilities		271	058
				Net Worth	2	440	558
Total Assets	2	711	616	Total liabilities and net worth	2	711	616
CONTINGENT LIABILITIES				GENERAL INFORMATION			
As endorser, cosigner or guarantor		74	035	Are any assets pledged? (Add schedule)	No		
On leases or contracts				Are you defendant in any suits or legal actions?	No		
Legal Claims				Have you ever taken bankruptcy?	No		
Provision for Federal Income Tax							
Other special debt							