

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2020**

*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 United States Bankruptcy Court - District of Arizona	3. Date of Report 05/07/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge (FT)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address 230 N. 1st Avenue Phoenix, AZ, 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.	Trustee	Trust #1 (reportable assets are listed in Part VII)
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Ballinger, Jr., Eddward P.

Date of Report

05/07/2021

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. 2020	Arizona Elected Officials Retirement Plan	\$89,900.00
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. 2020	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.				

Name of Person Reporting	Date of Report
Ballinger, Jr., Eddward P.	05/07/2021

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.			

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. Individual Assets (H)									
2. Schwab Bank (X)		None	K	T					
3. Account #1 (H)									
4. DFA INVESTMENT GRADE PORT INSTL (DFAPX)	A	Dividend	J	T					
5. DFA GLBL REAL ESTATE SEC PORT INST (DFGEX)	A	Dividend	J	T					
6. Account #2 (H)									
7. DFA FIVE YEAR GLBL FIXED INC PORT I (DFGBX)		None			Sold	09/29/20	L		
8. DFA GLBL CORE PLUS (DGCFX)	B	Dividend	M	T	Buy (add'l)	04/08/20	J		
9.					Buy (add'l)	04/21/20	K		
10.					Buy (add'l)	07/14/20	K		
11.					Sold (part)	09/29/20	K		
12.					Buy (add'l)	12/17/20	J		
13. DFA INTERMEDIATE-TERM MU (DFTIX)	A	Dividend	J	T	Buy	10/05/20	J		
14. VANGUARD INTERM TERM TAX EX A (VWIUX)	C	Dividend	M	T	Buy (add'l)	04/21/20	K		
15.					Buy (add'l)	07/14/20	L		
16.					Sold (part)	09/29/20	L		
17.					Buy (add'l)	11/17/20	J		

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

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
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
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
T =Cash Market

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

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)
18. VANGUARD LTD TERM TAX EX A (VMLUX)	A	Dividend			Sold (part)	03/13/20	L	A	
19.					Sold	09/29/20	K	B	
20. VANGUARD SHORT TERM TAX EX A (VWSUX)	B	Dividend	M	T	Sold (part)	04/21/20	K	A	
21.					Buy (add'l)	07/01/20	J		
22.					Buy (add'l)	07/14/20	K		
23.					Sold (part)	09/29/20	K		
24.					Buy (add'l)	12/07/20	J		
25. DFA EMERGING MKTS CORE EQ PORT I (DFCEX)	A	Dividend	K	T	Buy (add'l)	03/13/20	J		
26.					Sold (part)	07/14/20	K		
27.					Sold (part)	09/29/20	J		
28. DFA GLOBAL REAL ESTATE SEC PORT (DFGEX)	A	Dividend	J	T	Buy (add'l)	03/13/20	J		
29.					Buy (add'l)	04/21/20	J		
30.					Sold (part)	07/14/20	J		
31.					Sold (part)	09/29/20	J		
32. DFA INTL SMALL CAP VALUE PORT I (DISVX)	A	Dividend	J	T	Buy (add'l)	03/13/20	J		
33.					Sold (part)	07/14/20	J		
34.					Sold (part)	09/29/20	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	

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. DFA INTL SMALL CO PORT (DFISX)	A	Dividend	K	T	Buy (add'l)	03/13/20	J		
36.					Sold (part)	09/29/20	J		
37. DFA INTERNATIONAL HIGH PROFITABILITY PORTFOLIO INST (DIHRX)	A	Dividend	J	T	Buy (add'l)	03/13/20	K		
38.					Sold (part)	04/21/20	J		
39.					Sold (part)	07/14/20	J	B	
40.					Sold (part)	09/29/20	J		
41. DFA LARGE CAP INTL PORT (DFALX)	A	Dividend	K	T	Sold (part)	09/29/20	J		
42. DFA TAX MANAGED INTL VAL PORT (DTMIX)	A	Dividend	J	T	Sold (part)	07/14/20	J		
43.					Sold (part)	09/29/20	J		
44. DFA TAX MANAGED US EQTY (DTMEX)	A	Dividend	K	T	Sold (part)	09/29/20	J		
45. DFA TAX MANAGED US MARKET VAL PORT (DTMMX)	A	Dividend	K	T	Buy (add'l)	03/13/20	J		
46.					Sold (part)	04/21/20	J		
47.					Sold (part)	07/14/20	J		
48.					Sold (part)	09/29/20	J		
49. DFA TAX MGD US SMALL CAP PORT INST (DFTSX)	A	Dividend	K	T	Buy (add'l)	03/13/20	K		
50.					Sold (part)	09/29/20	J		

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

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
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
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
T =Cash Market

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

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)
51.					Sold (part)	12/07/20	J	A	
52. DFA TAX MGD US TARGETED VAL PORT I (DTMVX)	A	Dividend			Sold (part)	07/14/20	J		
53.					Sold	09/29/20	J		
54. DFA US HIGH RELATIVE PROFITABILITY PORT INST (DURPX)	A	Dividend	K	T	Buy (add'l)	03/13/20	K		
55.					Sold (part)	04/21/20	J		
56.					Sold (part)	07/14/20	K	B	
57.					Sold (part)	09/29/20	K		
58. DFA US LARGE CO PORT (DFUSX)	A	Dividend			Sold (part)	03/13/20	K		
59.					Sold (part)	07/14/20	K	C	
60.					Sold	09/29/20	J	B	
61. DFA US SMALL CAP PORT (DFSTX)	A	Dividend			Sold (part)	07/14/20	K		
62.					Sold	09/29/20	J	A	
63. DFA US SMALL CAP VALUE (DFSVX)	A	Dividend	K	T	Buy (add'l)	03/13/20	J		
64.					Sold (part)	09/29/20	J		
65.					Sold (part)	11/17/20	J		
66. VANGUARD DEVELOPED MKTS INDEX ADM (VTMGX)	A	Dividend			Sold (part)	03/13/20	J		
67.					Sold (part)	07/14/20	J	A	

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

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

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

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

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)
68.					Sold	09/29/20	J		
69. VANGUARD FTSE ALL WORLD EX US SM CAP FD AD (VFSAX)	A	Dividend			Sold (part)	07/14/20	J	A	
70.					Sold	09/29/20	J	A	

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

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

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Ballinger, Jr., Eddward P.

Date of Report

05/07/2021

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.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Ballinger, Jr., Eddward P.

Date of Report

05/07/2021

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
One Columbus Circle, N.E.
Washington, D.C. 20544