

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Baum, Redfield T.	2. Court or Organization U.S. Bankruptcy Court (AZ)	3. Date of Report 01/03/2019
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 01/01/2017 to 12/31/2017
7. Chambers or Office Address 230 North First Ave. 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. Trustee Trust #2	
2. Director	Arizona State University College of Law Alumni Association
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE 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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

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.)*

<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.		

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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. ATT	E	Dividend	N	T					
2. Agilent	A	Dividend	J	T	Sold	11/22/17	J	A	
3. Abbott	A	Dividend	J	T	Sold	11/22/17	J	A	
4. Abbvie	A	Dividend	J	T	Sold	11/22/17	J	A	
5. American Cap Fund	A	Dividend	K	T					
6. American Mutual Fund	A	Dividend	K	T	Buy (add'l)	11/27/17	J	A	
7.									
8. Berkshire Hathaway		None	O	T					
9. Becton Dickinson	A	Dividend	K	T	Sold	11/22/17	K	E	
10. Bemis	A	Dividend	J	T	Sold	11/22/17	J	A	
11. Bristol Meyers Squibb	A	Dividend	J	T	Sold	11/22/17	J	A	
12. Clorox	A	Dividend	K	T					
13. Comerica	B	Dividend	M	T					
14. Conoco Phillips	A	Dividend	K	T					
15. Cognizant		None	K	T					
16. Comcast	A	Dividend	L	T					
17. Citigroup	A	Dividend	K	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	
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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☐ 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. Coke	A	Dividend	K	T	Sold	11/22/17	K	D	
19. CapitalWorld Fund	A	Dividend	K	T	Buy (add'l)	11/27/17	J		
20. Emerson Electric	A	Dividend	J	T	Sold	11/22/17	J	A	
21. Express Scripts Holding	A	Dividend	J	T					
22. Fundamental Investors	A	Dividend	J	T	Buy		J		
23. EuroPacific Fund	A	Dividend	K	T	Buy (add'l)	11/27/17	J		
24. Frontier Comm.	A	Dividend	J	T	Sold (part)	7/10/17	J	A	
25. ExxonMobil	E	Dividend	O	T					
26. General Electric	E	Dividend	O	T					
27. Gap	A	Dividend	J	T					
28. Gartner		None	J	T					
29. GrowthFund of America	A	Dividend	K	T					
30. MicroFocusIntl PLC	A	Dividend	J	T	Spinoff (from line 60)	9/1/17	J		
31. Hospira	A	Dividend	J	T	Sold	11/22/17	J	B	
32. Intel	A	Dividend	J	T	Sold	11/22/17	J	D	
33. Stifel Nicolaus Insured Bank Program	A	Dividend	K	T					
34. Invest.Co.Amer.Fund	A	Dividend	K	T	Buy (add'l)	11/27/17	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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35. Johnson & Johnson	C	Dividend	M	T	Sold (part)	11/22/17	J	D	
36. J.W.Smucker	A	Dividend	K	T	Sold (part)	11/22/17	J	A	
37. Keysight Tech.	A	Dividend	J	T	Sold	11/22/17	J	B	
38. Merck	B	Dividend	L	T	Sold (part)	11/22/17	J		
39. NewPerspectFund	A	Dividend	K	T	Buy (add'l)	11/27/17	J		
40. Pfizer	B	Dividend	L	T	Sold (part)	11/22/17	J	A	
41. Phillips 66	A	Dividend	K	T					
42. Royal Dutch	D	Dividend	M	T					
43. Proctor Gamble	B	Dividend	K	T	Sold	11/22/17	K	E	
44. S.W.Gas	A	Dividend	J	T					
45. SW Airlines	A	Dividend	J	T					
46. Sanofi Aventis	A	Dividend	J	T	Sold	11/22/17	J	C	
47. SmallCapWorldFund	A	Dividend	K	T	Buy (add'l)	11/27/17	J		
48. Three M Co.	A	Dividend	K	T					
49. Wash.MutualInvest Fund	A	Dividend	K	T	Buy (add'l)	11/27/17	J		
50. UPS	A	Dividend	J	T	Sold	11/22/17	J	C	
51. International Growth & Income	B	Dividend	L	T	Buy (add'l)	11/27/17	J		

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52. Verizon	D	Dividend	M	T					
53. VodafoneGroup	A	Dividend	K	T					
54. Windstream	A	Dividend	J	T					
55. Virtus Global Dividend & Investment Fund	A	Dividend	J	T	Sold (part)	6/30/17	J	B	
56. Commercial Sales & Leasing X		None	J	T	Sold	11/22/17	J	A	
57. Kinder Morgan	A	Dividend	J	T					
58. JP Morgan Chase Bank Account	A	Interest	K	T					
59. HP Inc	A	Dividend	J	T			J		
60. Hewlett Packard Enterprises spin off	A	Dividend	J	T			J		
61. Kansas Southern	A	Dividend	J	T					
62. CSX	A	Dividend	J	T	Spinoff (from line 60)	4/7/17	J		
63. DXC Technology Company (Spinoff from Hewlett Packard Enterprises)	A	Dividend	J	T					

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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/ **Redfield T. Baum**

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