

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) MOSIER, R. KIMBALL	2. Court or Organization U.S.BANKRUPTCY COURT, DISTRICT OF UTAH	3. Date of Report 05/14/2015
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 01/01/2014 to 12/31/2014
7. Chambers or Office Address UNITED STATES BANKRUPTCY COURT 350 SOUTH MAIN STREET, ROOM 365 SALT LAKE CITY, UT 84101		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

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.

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. American Bankruptcy Institute

01/22/14 - 01/24/14

Denver, CO

Seminar Speaker

573.05

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.	Zions Bank	Credit Card/overdraft	J
2.	Bank of America	Credit Card	K
3.	American Express	Credit Card	K
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 FIDELITY ROLLOVER #1	A	Int./Div.	J	T					
2. IRA ROLLOVER FIDELITY #3	A	Int./Div.	J	T					
3. -Fidelity Cash Reserves(Y)					Distributed (part)	1/2/2013	K	E	Client Distribution
4.					Distributed (part)	1/11/13	J	C	Client Distribution
5.					Distributed (part)	10/30/13	J	B	Client Distribution
6.					Distributed (part)	11/25/13	J	C	Client Distribution
7.					Distributed (part)	12/20/13	J	B	Client Distribution
8. FIDELITY (ROTH) #4	A	Int./Div.	J	T					
9. -Fidelity Cash Reserves									
10. -Fidelity Cash Fund									
11. -Steelpath A Sel 40 (Y)									
12. -Doubleline N. Bond(Y)									
13. -Wasatch Global Opportunities(Y)									
14. -Grandeur Peak Gbl Oppty									
15. -IVA A Worldwide(Y)									
16. -Nuveen A Preferred Securities(Y)									
17. -iShares S&P 500 Growth Index									

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 I (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. -iShasres S&P MidCap 400 Growth Index									
19. -Shares Dow Jones Select Dividend Index									
20. -John Hancock A. Global Opportunity(Y)									
21. -John Hancock A. High Yield (Y)									
22. -Lord Abbett A Value Opportunities									
23. -Lord Abbett A Short Duration, Inc.									
24. -Loomis Sayles Bond Retail									
25. -Fidelity Adv. I New Insights(Y)									
26. -First Eagle A Gold Fund(Y)									
27. -First Eagle Global									
28. -Templeton A Global Bond(Y)									
29. -Oppenheimer A Developing Markets									
30. -Yacktman Fund(Y)									
31. -Putnam A Equity Spectrum									
32. -Wasatch Emerging Mkts Small Cap									
33. -Fidelity Select Technology(Y)									
34. -JP Morgan A Highbridge Dynamic Commodity Strait (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 = \$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. -Oakmark, Intl I					Buy	12/18/14	J		
36. -AMG Managers Yackman Focused Svc.					Buy	12/26/14	J		
37. -Rivernorth Doubleline Strategic Income					Buy	01/30/14	J		
38. -Oppenheimer Senior Floating Rate A					Buy	01/30/14	J		
39. -Wasatch Frontier Emerging Small Countries					Buy	12/29/14	J		
40. State Farm Insurance	A	Int./Div.	J	T					

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

Part VII. Investments and Trusts

The Additional Information listed below is for transactions that occurred during the year 2013. These transactions were inadvertently left off the 2013 Financial Disclosure Report. I am requesting that this Additional Information be considered as an Amendment to my Financial Disclosure Report for 2013.

Lines 2-7 - IRA Fidelity Rollover #3 - There were 5 Client Distributions made from this account during the year 2013 that were inadvertently left off the 2013 Annual Report.

Line 11 - Steelpath Sel. 40 - This unit was sold in 2013. The sale of the unit was under \$1,000, but should not have been listed on the 2014 Annual Report.

Line 12 - Doubleline N. (Bond) - This unit was sold in 2013. The sale of the unit was under \$1,000, but should not have been listed on the 2014 Annual Report.

Line 13 - Wasatch Global Opportunities - This unit was sold in 2013. The sale of the unit was under \$1,000, but should not have been listed on the 2014 Annual Report.

Line 15 - IVA A Worldwide - This unit was sold in 2013. The sale of the unit was under \$1,000, but should not have been listed on the 2014 Annual Report.

Line 16 - Nuveen A Preferred Securities - This unit was sold in 2013. The sale of the unit was under \$1,000, but should not have been listed on the 2014 Annual Report.

Line 20 - John Hancock A. Global Opportunities - This unit was sold in 2013. The sale of the unit was under \$1,000, but should not have been listed on the 2014 Annual Report.

Line 21 - John Hancock A. High Yield - This unit was sold in 2013. The sale of the unit was under \$1,000, but should not have been listed on the 2014 Annual Report.

Line 25 - Fidelity Adv. I New Insights - This unit was sold in 2013. The sale of the unit was under \$1,000, but should not have been listed on the 2014 Annual Report.

Line 26 - First Eagle A Gold Fund - This unit was sold in 2013. The sale of the unit was under \$1,000, but should not have been listed on the 2014 Annual Report.

Line 28 - Templeton A Global Bond - This unit was sold in 2013. The sale of the unit was under \$1,000, but should not have been listed on the 2014 Annual Report.

Line 30 - Yacktman Fund - This unit was sold in 2013. The sale of the unit was under \$1,000, but should not have been listed on the 2014 Annual Report.

Line 33 - Fidelity Select Technology - This unit was sold in 2013. The sale of the unit was under \$1,000, but should not have been listed on the 2014 Annual Report.

Line 34 - JP Morgan A Highbridge Dynamic Commodity Strait - This unit was sold in 2013. The sale of the unit was under \$1,000, but should not have been listed on the 2014 Annual 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/ R. KIMBALL MOSIER**

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
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Washington, D.C. 20544