

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 09/20/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. BANKRUPTCY CHIEF JUDGE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 1/1/2016 to 12/31/2016
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 7

Name of Person Reporting

MOSIER, R. KIMBALL

Date of Report

09/20/2017

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	1/21/16-1/22/16	Denver, CO	Seminar Speaker	370.00
2. Federal Utah Bar Association	5/12/16-5/14/16	St. George UT	Seminar Speaker	473.08
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting

MOSIER, R. KIMBALL

Date of Report

09/20/2017

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.	Citibank	Credit Card	K
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting

MOSIER, R. KIMBALL

Date of Report

09/20/2017

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 (Y)									
2. IRA ROLLOVER FIDELITY #3 (Y)									
3. FIDELITY (ROTH) #4	A	Int./Div.	J	T					
4. -Fidelity Cash Reserves	A	Int./Div.	J	T					
5. -Fidelity Cash Fund	A	Int./Div.	J	T					
6. -Grandeur Peak Gbl Oppty	A	Int./Div.	J	T					
7. -iShares S&P 500 Growth Index	A	Int./Div.	J	T					
8. -iShares S&P MidCap 400 Growth Index	A	Int./Div.	J	T					
9. -iShares Select Dividend Index(X)	A	Int./Div.	J	T					
10. -Lord Abbett A Short Duration, Inc.	A	Int./Div.	J	T					
11. -Loomis Sayles Bond Retail	A	Int./Div.	J	T					
12. -First Eagle Global	A	Int./Div.	J	T					
13. -Oppenheimer A Developing Markets	A	Distribution			Sold	9/30/16	J	B	
14. -Putnam A Equity Spectrum	A	Int./Div.	J	T					
15. -Wasatch Emerging Mkts Small Cap	A	Distribution			Sold	9/30/16	J	B	
16. -Oakmark, Intl I	B	Distribution			Sold	9/30/16	J	B	
17. -AMG Managers Yacktman Focused Svc.	B	Distribution			Sold	12/16/16	J	B	

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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 7

Name of Person Reporting

MOSIER, R. KIMBALL

Date of Report

09/20/2017

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. -Rivernorth Doubleline Strategic Income	A	Int./Div.	J	T					
19. -Oppenheimer Senior Floating Rate A	A	Distribution			Sold	9/30/16	J	B	
20. -Wasatch Frontier Emerging Small Countries	A	Distribution			Sold	9/30/16	J	B	
21. State Farm Insurance Whole Life Policy (see explanation on VIII)	D	Distribution			Expired	09/30/16	J	D	

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 7

Name of Person Reporting

MOSIER, R. KIMBALL

Date of Report

09/20/2017

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

Lines No. 1 and 2 Both had an unreportable value (under \$1,000) in 2016 and should not have been listed.

Line No. 21 State Farm Insurance was a whole life policy that lapsed in September 2016 and should have been reported to show value received after the policy lapsed.

Line No. 9 Name was changed in 2016 from iShares Dow Jones Select Dividend to iShares Select Dividend as reflected on Line No. 9

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

MOSIER, R. KIMBALL

Date of Report

09/20/2017

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