

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) Collins, Daniel P.	2. Court or Organization Bankruptcy Court Arizona	3. Date of Report 05/01/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Chief Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 230 N. 1st Avenue, Suite 603 Phoenix, Arizona 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. Board Member	University of Arizona Law School Board of Visitors
2. Board of Directors	American Bankruptcy Institute
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2016	May, Potenza, Baran & Gillespie, P.C. - receivables payout	\$13,040.00
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. 2016	Mountain View Family Physicians, PLLC - K-1 income from medical practice
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.	American Bankruptcy Institute	04/14/16 to 04/17/16	Washington, DC	Speaker at 2016 Annual Spring Meeting	Transportation, meals and lodging
2.	American Bankruptcy Institute	09/08/16 to 09/10/16	Las Vegas, NV	Speaker at 24th Annual Southwest Bankruptcy Conference	Transportation, meals, and lodging
3.	National Conference of Bankruptcy Judges	10/25/16 to 10/30/16	San Francisco, CA	Speaker at 2016 Annual Conference	Transportation and lodging
4.	American Bankruptcy Institute	12/01/16 to 12/03/16	Rancho Palos Verdes, CA	Speaker at 2016 Winter Leadership Conference	Transportation, meals and lodging
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.	University of Southern California	College Tuition	K
2.	Loyola Marymount University	College Tuition	K
3.	University of Southern California	College Tuition	K
4.	Brophy College Preparatory	High School Tuition	K
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. Mountain View Family Physicians, PLLC -- Medical Practice		None	J	W					
2. 401K #1									
3. -- Oppenheimer Funds-Cash Reserves	A	Int./Div.	K	T					
4. -- Oppenheimer Funds - Value Fund		None			Sold	05/18/16	K		
5. -- Oppenheimer Funds-Rising Dividends Fund		None	K	T	Sold (part)	05/18/16	L		
6. --Oppenheimer Funds-Discovery Fund	C	Int./Div.	L	T					
7. --Oppenheimer Funds-Small and MidCap Value Fund		None	L	T	Sold (part)	01/08/16	K		
8. --Oppenheimer Funds-International Diversified Fund	A	Int./Div.	L	T					
9. --Oppenheimer Funds-Global Strategic Income Fund		None			Sold	01/08/16	K		
10. --Oppenheimer Funds-Real Estate Fund	B	Int./Div.	K	T					
11. --Oppenheimer Funds-Capital Income Fund	F	Int./Div.	M	T	Buy (add'l)	01/08/16	K		
12. --Oppenheimer Funds-Equity Income Fund		None			Sold	01/08/16	K		
13. --Oppenheimer Funds - Global Fund		None	K	T					
14. --Global Opportunities Fund	F	Int./Div.	L	T	Buy	01/08/16	K		
15. --Discovery Mid Cap Growth Fund	C	Int./Div.	K	T	Buy	01/08/16	K		
16. --Main Street Fund	D	Int./Div.	L	T	Buy	05/18/16	L		
17. --Main Street Small Cap Fund	D	Int./Div.	L	T	Buy	05/18/16	K		

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	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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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. 401K #2									
19. --Schwab Investor Money Fund		None	J	T					
20. --Income and Growth ETF Fund 35		None			Sold	02/19/15	J		
21. --Manning & Napier Pro-Blend Cnsv Term 5	E	Int./Div.	N	T					
22. --Vanguard Total Bond Market Index Inv		None	J	T					
23. Allianz--Bonus Dex Annuity	A	Int./Div.	K	T					
24. Allianz--Accumulator Bonus Maxx Annuity	B	Int./Div.	K	T					
25. IRA #1									
26. -- AllianceBernstein Discovery	C	Int./Div.	J	T					
27. -- Eaton Vance Dividend Builder	B	Int./Div.	J	T					
28. -- Fidelity Advisors New Insights C Fund	A	Int./Div.	J	T					
29. -- Franklin Income FDS	B	Int./Div.	J	T					
30. -- Ivy Asset Strategy Fund		None	K	T					
31. -- Templeton Global Bond Fund	A	Int./Div.	K	T					
32. --Pershing Prime Reserves Money Market		None	J	T					
33. IRA #2									
34. -- Fidelity Advisors New Insights C Fund	A	Int./Div.	K	T					

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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☐ 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)

35. -- Templeton Select Shares Money Market Fund		None	J	T					
36. IRA #3 (SEP IRA)									
37. -- Franklin Income Class C Fund		None			Closed	09/02/15	L		
38. -- Jennison Natural Resources Fund		None			Closed	09/02/15	K		
39. IRA #4									
40. -- Vanguard - WellingtonAdmiral Fund	D	Int./Div.	L	T					
41. -- Vanguard - Windsor II Admiral Fund	E	Int./Div.	M	T					
42. IRA #5									
43. -- Vanguard-WellingtonAdmiral Fund	D	Int./Div.	L	T					
44. -- Vanugard - Windsor II Admiral Fund	E	Int./Div.	M	T					
45. Athene -- Retirement Annuity		None	K	T					
46. JP Morgan Chase Bank - savings and checking accounts	F	Interest	M	T					
47. Janus Fund -		None	M	T					
48. Vanguard - 500 Index Fund - CMC		None			Closed	03/16/16	J		
49. Vanguard - 500 Index Fund - MJC	B	Int./Div.	K	T					
50. Vanguard 529 Plan - AMC									
51. -- Mid-Cap Index	C	Int./Div.	K	T					

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	
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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				
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52. -- Small-Cap Index	D	Int./Div.	K	T					
53. -- Total International Stock Index	A	Int./Div.	K	T					
54. -- Value Index	C	Int./Div.	K	T					
55. Vanguard 529 Plan - MJC									
56. -- Aggress Growth	D	Int./Div.	L	T					
57. -- Small-Cap Index	D	Int./Div.	L	T					
58. -- Total International Stock Index	B	Int./Div.	K	T					
59. American Funds									
60. -- Growth Fund of America 529C-KVC	C	Int./Div.	L	T					
61. --Growth Fund of America 529C - AMC	C	Int./Div.	L	T					
62. Merrill Lynch-MILM Equity Portfolio S Fund - MJC	C	Int./Div.	K	T					
63. Franklin Templeton-Aged Based Growth Asset Allocation 13-16 - MJC	C	Int./Div.	K	T					
64. Arizona Bank & Trust - checking acct		None			Closed	04/11/16	M		
65. Arizona Bank & Trust - savings acct		None			Closed	01/08/16	K		
66. May Potenza Baran & Gillespie, P.C. Health Savings Account		None			Closed	12/31/16	J		
67. Fidelity -- AZ Aggressive Growth - KVC	B	Int./Div.	K	T					
68. Fidelity -- AZ Aggressive Growth - AMC	B	Int./Div.	K	T					

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
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69. Vanguard - 500 Index Fund - AMC		None			Closed	03/16/16	K		

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

Part VII, line 4, Oppenheimer Funds - Value Fund: on 1/8/16, Value Fund sold a portion to Capital Income (line 11) and on 5/18/16, Value Fund sold the remainder balance to a new fund - Main Street Small Cap Fund (line 17).

Part VII, line 5, Oppenheimer Funds - Rising Dividends Fund: on 5/18/16, Rising Dividends sold a portion to a new fund - Main Street Fund (line 16).

Part VII, line 7, Oppenheimer Funds - Small and MidCap Value Fund: on 1/8/16, Small and MidCap Value Fund sold a portion to a new fund - Global Opportunities Fund (line 14).

Part VII, line 9, Oppenheimer Funds - Global Strategic Income Fund: on 1/8/16 Global Strategic Income Fund sold to a new fund - Global Opportunities Fund (line 14).

Part VII, line 12, Oppenheimer Funds - Equity Income Fund: on 1/8/16 Equity Income Fund sold to a new fund Discovery Mid Cap Growth Fund (line 15).

Part VII, line 14, Oppenheimer Funds - Global Opportunities Fund: funded on 1/8/16 by Small and MidCap Value Fund (line 7) and Global Strategic Income Fund (line 9).

Part VII, line 15, Oppenheimer Funds - Discovery Mid Cap Growth Fund: funded on 1/8/16 by Equity Income Fund (line 12).

Part VII, line 16, Oppenheimer Funds - Main Street Fund: funded on 5/18/16 by Rising Dividends Fund (line 5).

Part VII, line 17, Oppenheimer Funds - Main Street Small Cap Fund: funded on 5/18/16 by Value Fund (line 4).

Part VII, line 20, 401K #2 - Income and Growth ETF Fund 35: This fund was sold on 2/19/15 to fund Manning & Napier Pro-Blend Cnsv Term 5 and Vanguard Total Bond Market Index Inv. The sale and purchase were previously report on the 10/13/16 amended 2015 report but not reflected in Part VII. See response to letter of inquiry at Doc No. 29, page 9.

Part VII, lines 36-38, IRA #3 (SEP IRA): The information for these funds was incorrectly reported on the 10/13/16 amended 2015 report (see response to letter of inquiry at Doc No. 29, page 5-6, lines 33-35). Frank Income Class C Fund and Jennison Natural Resources Fund were closed on 09/02/15.

Part VII, lines 59-61, American Funds were previously reported in the aggregate amount in the 10/13/16 amended 2015 report (see response to letter of inquiry at Doc No. 29, page 7, line 64). Lines 59-61 now represent the value of each individual fund within American Funds.

Part VII, lines 64-65, Arizona Bank & Trust were previously reported in the aggregate amount in the 10/13/16 amended 2015 report (see response to letter of inquiry at Doc No. 29, page 7, line 68). Lines 64-65 now represent the value of each individual account. These accounts were closed in 2016.

Part VII, lines 67-68, Fidelity - AZ Aggressive Growth funds were previously reported in the aggregate amount in the 10/13/16 amended 2015 report (see response to letter of inquiry at Doc No. 29, page 8, line 70). Lines 67-68 now represent the value of each individual fund within Fidelity.

Part VII, line 69, Vanugard - 500 Index Fund - AMC: This fund was inadvertently omitted from previous reports. The fund has been closed.

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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/ **Daniel P. Collins**

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