

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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) Bolton, Susan R.	2. Court or Organization U.S. District Court, Arizona	3. Date of Report 04/29/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address 401 W. Washington St., SPC 50 Suite 522 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.	Secretary	Organizational Diagnostics LLC (100% owned company)
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.	1989	Arizona Elected Officials Retirement Plan (pension plan from prior employment as a state court judge)
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. 2012	Arizona Elected Officials Retirement Plan	\$58,820.00
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. 2012	Organizational Diagnostics, L.L.C. - earnings
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.				

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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.	Sonoma National Bank, CA	Mortgage on one-half interest in office condominium (Pt. VII line 12)	K
2.	Merrill Lynch Single Premium Life	Cash value loan	L
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. IBM common stock	B	Dividend	M	T					
2. FIA Card Services	A	Interest	L	T					
3. Bank of America	A	Interest	L	T					
4. Merrill Lynch Single Premium Life-Insurance		None	K	T					
5. Philadelphia Life Insurance Company-Insurance		None	K	T					
6. U.S. Savings Bonds		None	O	T					
7. Virtus Balanced Fund	A	Dividend	K	T					
8. MLF Retirement Plus-Annuity		None	M	T					
9. Transamerica Landmark Annuity		None	L	T					
10. Allianz Franklin-Annuity		None	K	T					
11. Nelson II Freeway Limited Partnership					Sold	12/18/12	J	A	
12. Office condo-1/2 Int-Phx,AZ ('94 60,000-'04 30,000)	D	Rent	M	R					
13. Merrill Lynch Basic Retirement Plan-Profit Sharing	D	Dividend & I	O	T					
14. --JPMorgan Chase CD									
15. --Discover Bank CD									
16. --Key Bank CD									
17. --GE Cap Retail Bank CD									

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 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. --Goldman Sachs Bank CD					Buy	10/18/12	L		
19. --US Treasury Note					Redeemed	8/15/12	M		
20. --US Treasury Inflation Notes (2 remain, 1 redeemed)					Redeemed (part)	07/15/12	K		
21. --Citibank CD					Redeemed	4/16/12	K		
22. --American Express Cent. Bank CD									
23. --Capital One CD					Redeemed	4/16/12	K		
24. --Capital One Bank CD					Redeemed	10/9/12	K		
25. --Goldman Sachs Bank CD					Buy	5/24/12	L		
26. --Sallie Mae Bank CD					Buy	10/18/12	L		
27. --GE Capital Bank CD					Buy	12/12/12	L		
28. Merrill Lynch Basic Retirement Plan-Money Purchase	D	Dividend & I	N	T					
29. --Capital One Bank CD					Redeemed	1/10/12	J		
30. --GE Capital Financial CD					Redeemed	01/23/12	K		
31. --Discover Bank CD					Redeemed	03/09/12	J		
32. --BMW Bank CD					Redeemed	06/18/12	K		
33. --CIT Bank CD					Redeemed	06/18/12	K		
34. --Discover Bank CD					Redeemed	12/3/12	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 \$5,000,000	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 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. --JP Morgan Chase CD					Redeemed	10/31/12	J		
36. --Discover Bank CD					Redeemed	12/3/12	J		
37. --American Ex Centurian CD									
38. --Motorola Mobility					Sold	5/22/12	J	A	
39. --Motorola Solutions									
40. --GE CAP Retail Bank					Buy	05/24/12	L		
41. --GE CAP Retail Bank					Buy	5/24/12	L		
42. --Discover Bank					Buy	10/24/12	K		
43. --Citibank CD					Redeemed	4/16/12	K		
44. --US Treasury Inflation Note					Redeemed	07/15/12	K		
45. --Vodafone common stock									
46. --Capital One CD					Redeemed	4/16/12	K		
47. --Blackrock Global									
48. --BMW Bank					Buy	10/18/12	L		
49. --GE Capital Bank					Buy	10/24/12	K		
50. --GE Capital Bank					Buy	10/26/12	J		
51. --GE Capital Bank					Buy	10/24/12	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
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 \$5,000,000	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				
	(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)
52. Merrill Lynch IRA ()	D	Dividend & I	N	T					
53. --CIT Bank CD									
54. --BMW Bank CD									
55. --Sallie Mae Bank CD									
56. --CIT Bank CD									
57. --GE Capital Financial CD									
58. --GE Capital Financial CD									
59. --Goldman Sachs Bank CD					Buy	05/25/12	K		
60. --US Treasury Inflation Note									
61. --FIA Card Services NA									
62. --US Treasury zero coupon bonds (1 remains, 1 redeemed)					Redeemed (part)	11/15/12	L		
63. --Pepsico common stock									
64. --Yum Brands common stock									
65. --Wal-Mart common stock									
66. --Oppenheimer Income Trust mutual fund									
67. --Capital One CD					Redeemed	10/09/12	K		
68. --Capital One Bank CD					Redeemed	4/16/12	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
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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69. FidelityEquityDividend (fka Fidelity Equity) Income Fund	A	Dividend	K	T					
70. Fidelity Magellan mutual fund	A	Dividend	K	T					
71. Fidelity Value mutual fund	A	Dividend	K	T					
72. Fidelity Asset Manager mutual fund	A	Dividend	K	T					
73. Fidelity Puritan mutual fund	A	Dividend	K	T					
74. Janus Balanced mutual fund	A	Dividend	J	T					
75. Vanguard Growth Index Fund	A	Dividend	J	T					
76. Vanguard 500 Index Fund	A	Dividend	K	T					
77. Vanguard Prime Cap Fund	A	Dividend	J	T					
78. Vanguard Life Strategy Growth Fund	A	Dividend	J	T					
79. Vanguard IRA	A	Dividend & I	J	T					
80. --Total Stock Market Index Fund									
81. --Growth Index Fund									
82. Vanguard IRA	A	Dividend	J	T					
83. --Total Stock Market Fund									
84. Gilbert AZ Public Facility Muni Bond					Redeemed	07/02/12	K		
85. Illinois DFA zero coupon Muni Bond		None	L	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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86. ☐ ☐ Oroville, CA (1972, \$5,000)		None	J	R					
87. Arizona Elected Officials Retirement Plan	F	pension	M	T					
88. Arizona State Retirement System		None	N	T					
89. Keyport Keyannuity		None	M	T					
90. Keyport Keyannuity		None	L	T					
91. Merrill Lynch IRA ☐	D	Dividend & I	N	T					
92. --JPMorgan Chase CD									
93. --BMO Harris Bank CD									
94. --Capital One CD									
95. --Sallie Mae Bank CD									
96. --Goldman Sachs Bank CD									
97. --Discover Bank CD					Buy	5/21/12	L		
98. --US Treasury Inflation Note									
99. --FIA Card Services NA									
100. --US Treasury zero coupon bonds (1 remains, 1 redeemed)					Redeemed (part)	11/15/12	L		
101. --Huntington National Bank CD									
102. --Pepsico common stock									

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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103. --Yum Brands common stock									
104. --Oppenheimer Income Trust mutual fund									
105. --Capital One CD					Redeemed	04/16/12	K		
106. Mid-First Bank CD (2)	A	Interest	L	T					
107. U.S. Savings Bonds		None	K	T					
108. U.S. Savings Bonds		None	K	T					
109. US Savings Bonds		None	K	T					
110. Bank of America Dep Account Preferred	A	Interest	L	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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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/ Susan R. Bolton

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