

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) Bolton, Susan R.	2. Court or Organization U.S. District Court, Arizona	3. Date of Report 05/2/2017
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 01/01/2016 to 12/31/2016
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. Managing Member	Building K LLC
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 14

Name of Person Reporting

Bolton, Susan R.

Date of Report

05/2/2017

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. 2016	Arizona Elected Officials Retirement Plan	\$68,340.48
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.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 14

Name of Person Reporting

Bolton, Susan R.

Date of Report

05/2/2017

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.	Merrill Lynch Single Premium Life	Cash value loan	K
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 14

Name of Person Reporting

Bolton, Susan R.

Date of Report

05/2/2017

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. IBM common stock	D	Dividend	M	T					
2. Bank of America	A	Interest	M	T					
3. Merrill Lynch Single Premium Life-Insurance		None	J	T					
4. U.S. Savings Bonds		None	O	T					
5. Virtus Strategic fkaVirtus Balanced Fund	A	Dividend	K	T					
6. ML Retirement Plus-Annuity(variable)		None	M	T					
7. --AB GLBL THMTC GR PRT			K	T					
8. --Blackrock High Yield			K	T					
9. --BLK Basic Value VI			K	T					
10. --BLK GLobal Alloc VI			L	T					
11. --BLK Value Opport VI			J	T					
12. --Invesco VI Core Eqty			L	T					
13. Transamerica Landmark Annuity (variable)		None	L	T					
14. --TA Jennison Growth			K	T					
15. --TA Aegon High Yield Bond			J	T					
16. --Fidelity-VIP Contrafund Portfolio			J	T					
17. --Fidelity-VIP Mid Cap Portfolio			J	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 14

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18. --TA Asset Allocation - Moderate			J	T					
19. --AB Growth and Income Portfolio			J	T					
20. Allianz Franklin-Annuity (variable)		None	L	T					
21. --AZL Oppenheimer Discovery Fund					Sold	10/28/16	J		
22. --AZL Small Cap Index			J	T	Buy	10/28/16	J		
23. --AZL MFS Mid Cap Value Fund					Sold	10/28/16	J		
24. --AZL Mid Cap Index			J	T	Buy	10/28/16	J		
25. --Templeton Growth VIP Fund			J	T					
26. --AZL JPM Intl Opportunities					Sold	10/21/16	J		
27. --AZL International Index			J	T	Buy	10/21/16	J		
28. --AZL INV Growth & Income					Sold	10/28/16	J		
29. --AZL Russell 1000 Index			J	T	Buy	10/28/16	J		
30. --AZL T.Rowe Price Capital App			J	T					
31. --BlackRock Global Allocation			J	T					
32. --Franklin Income VIP Fund			J	T					
33. Office condo-1/2 Int-Phx,AZ ('94 60,000-'04 30,000)		None	M	R					
34. Fidelity Equity Dividend Income Fund	A	Dividend	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	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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FINANCIAL DISCLOSURE REPORT

Page 6 of 14

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Bolton, Susan R.

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	(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. Fidelity Magellan mutual fund	B	Dividend	K	T					
36. Fidelity Value mutual fund	A	Dividend	K	T					
37. Fidelity Asset Manager mutual fund	A	Dividend	K	T					
38. Fidelity Puritan mutual fund	A	Dividend	K	T					
39. Janus Balanced mutual fund	A	Dividend	K	T					
40. Vanguard IRA (H)									
41. --Total Stock Mrt Index Adm fka Total Stock Mrt Index Fd-see part VIII	A	Int./Div.				12/22/16	J		
42. --Growth Index Fund	A	Int./Div.	J	T					
43. Illinois DFA zero coupon Muni Bond		None	L	T					
44. Arizona Elected Officials Retirement Plan	F	pension	M	T					
45. Keyport Keyannuity (fixed rate)		None	M	T					
46. Keyport Keyannuity (fixed rate)		None	L	T					
47. IRA #1 (H)									
48. --Total Stock Mrt Index Adm fka Total Stock Mkt Index Fd-see part VIII		None	J	T		12/22/16	J		
49. --BMO Harris Bank CD	A	Interest	M	T	Buy	02/03/16	M		
50. --CIT Bank CD	A	Interest	L	T	Buy	06/06/16	L		
51. --Wells Fargo Bank CD	A	Interest	L	T	Buy	04/12/16	L		

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FINANCIAL DISCLOSURE REPORT

Page 7 of 14

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52. --Wells Fargo Bank CD	A	Interest	L	T	Buy	04/20/16	M		
53. --Medallion Bank CD	A	Interest	L	T	Buy	05/04/16	L		
54. --Comenity Bank CD	A	Interest	L	T	Buy	06/06/16	L		
55. --Enerbank USA CD	A	Interest	L	T	Buy	07/18/16	L		
56. --Medallion Bank CD	A	Interest	K	T	Buy	09/21/16	K		
57. --Capital One CD	A	Interest	M	T	Buy	10/17/16	M		
58. --Bank of Baroda CD	A	Interest			Redeemed	02/29/16	M		
59. --First Niagra Bank CD	A	Interest			Redeemed	05/31/16	L		
60. --Hapoalim Bank CD	A	Interest			Redeemed	06/03/16	M		
61. --Santander Bank CD	A	Interest			Redeemed	06/22/16	L		
62. --Comenity Bank CD	A	Interest	L	T					
63. --Capital One Bank CD	C	Interest	M	T					
64. --American Express Centurian CD	C	Interest	M	T					
65. --Capital One CD	A	Interest	K	T					
66. --Ally Bank CD	A	Interest	L	T					
67. --Ally Bank CD	A	Interest	L	T					
68. --Compass Bank CD	B	Interest	M	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 14

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Bolton, Susan R.

Date of Report

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69. --GE Capital Bank CD	A	Interest			Redeemed	04/18/16	M		
70. --Discover Bank CD	A	Interest			Redeemed	04/22/16	M		
71. --Ally Bank CD	A	Interest			Redeemed	05/06/16	L		
72. --State Bank India CD	B	Interest			Redeemed	10/17/16	L		
73. --Goldman Sachs Bank CD	A	Interest	L	T					
74. --Verizon Communications	B	Dividend	L	T					
75. --Discover Bank CD	A	Interest			Redeemed	05/31/16	L		
76. --Bank of America NA	A	Interest	J	T					
77. --Pepsico common stock	B	Dividend	L	T					
78. --Yum Brands common stock	A	Dividend	K	T					
79. --Yum China Holdings, Inc		None	J	T	Spinoff (from line 78)	11/04/16	J		
80. --Oppenheimer Income Trust mutual fund	A	Dividend	J	T					
81. --Goldman Sachs Bank CD	A	Interest	K	T					
82. --Sallie Mae Bank CD	B	Interest	L	T					
83. --Motorola Solutions	A	Dividend	J	T					
84. --Discover Bank CD	A	Interest			Redeemed	09/21/16	K		
85. --Vodafone common stock	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 9 of 14

Name of Person Reporting

Bolton, Susan R.

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05/2/2017

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86. --Blackrock Global Mutual Fund	B	Dividend	M	T					
87. --GE Capital Bank CD	A	Interest			Redeemed	02/29/16	L		
88. --GE Capital Bank CD	A	Interest			Redeemed	10/14/16	K		
89. --GE Capital Bank CD	A	Interest			Redeemed	10/17/16	J		
90. --GE Capital Bank CD	A	Interest			Redeemed	12/29/16	K		
91. --Goldman Sachs Bank CD	A	Interest	L	T					
92. --Wal-Mart common stock	A	Dividend	K	T					
93. U.S. Savings Bonds		None	K	T					
94. U.S. Savings Bonds		None	K	T					
95. US Savings Bonds		None	K	T					
96. Bank of America Dep Account Preferred	A	Interest	L	T					
97. IRA #2 (H)									
98. --Blackrock GLB	A	Dividend	J	T	Sold (part)	12/09/16	J		
99. --Davis Global	A	Dividend	M	T					
100. --Direxon Index	A	Dividend	K	T					
101. --JPMorgan Global	A	Dividend	L	T					
102. --Morgan Stanley Bank	A	Interest	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 10 of 14

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103. First Trust NASDAQ	A	Dividend			Sold	05/09/16	K		
104. IShares Global Tech	A	Dividend	K	T					
105. Powershares BuyBack Achvrs	A	Dividend	K	T					
106. Vanguard Value	B	Dividend	K	T					
107. Vanguard Growth	B	Dividend	K	T					
108. Vanguard FTSE Allworld	A	Dividend	K	T					
109. Allianz Annuity (fixed rate)	E	Distribution	L	T					
110. American General Annuity (fixed rate)	D	Distribution	K	T					
111. IShares Core S&P Small	A	Dividend	K	T					
112. IShares 1-3 year	A	Dividend	M	T					
113. SPDR S&P mid-cap 400	A	Dividend	K	T					
114. SPDR S&P 500	A	Dividend	K	T					
115. Vanguard FTSE Emerging	B	Dividend	K	T					
116. Vanguard Dividend - (see part VIII)	A	Dividend	K	T					
117. Vanguard FTSE Developed	A	Dividend			Sold	05/09/16	K		
118. First TR NASQ100	A	Dividend	K	T					
119. Guggenheim S&P 500	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 11 of 14

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	(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)
120. iShares Core S&P small	A	Dividend	L	T					
121. iShares Russell mid-cap	A	Dividend	J	T					
122. iShares MSCI EAFE	A	Dividend	J	T					
123. iShares Global Tech	A	Dividend	K	T					
124. iShares 1-3 year	A	Dividend	L	T					
125. iShares MSCI Emerging	A	Dividend	J	T					
126. iShares Russell 2000	A	Dividend	J	T					
127. Powershares BuyBack	A	Dividend	K	T					
128. SPDR S&P mid-cap 400	A	Dividend	J	T					
129. SPDR S&P 500	A	Dividend	K	T					
130. Vanguard Value	B	Dividend	L	T					
131. Vanguard Growth	A	Dividend	L	T					
132. Vanguard FTSE Emerging	A	Dividend	K	T					
133. Vanguard Dividend	B	Dividend	L	T					
134. Vanguard FTSE All World	A	Dividend	K	T					
135. Vanguard FTSE Developed	A	Dividend	J	T					
136. PowerShares QQQ Trust	A	Dividend	K	T	Buy	05/04/16	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
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 12 of 14

Name of Person Reporting

Bolton, Susan R.

Date of Report

05/2/2017

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)
137. PowerShares S&P 500	B	Dividend	K	T	Buy	05/04/16	K		
138. Beal Bank CD	A	Interest	M	T	Buy	04/27/16	M		
139. Bank of China CD	A	Interest	M	T	Buy	08/03/16	M		
140. ZB NA CD	A	Interest	M	T	Buy	11/30/16	M		
141. Ally Bank CD	A	Interest	M	T	Buy	12/12/16	M		

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 13 of 14

Name of Person Reporting	Date of Report
Bolton, Susan R.	05/2/2017

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

Part VII, line 116: This fund was acquired on October 30, 2014 and inadvertently omitted from my prior reports.

Part VII lines 41 & 48: The fund was transfered from Vanguard IRA to IRA #1

Part VII: I cannot specifically list the amount of income earned during the reporting period for my annuities because none of the annuity companies provided detailed income information to me.

FINANCIAL DISCLOSURE REPORT

Page 14 of 14

Name of Person Reporting

Bolton, Susan R.

Date of Report

05/2/2017

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/ 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
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