

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 06/29/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
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.)

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. 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. 2017	Arizona Elected Officials Retirement Plan	\$69,636.30
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.	
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.	Merrill Lynch Single Premium Life	Cash value loan	K
2.			
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	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	D	Interest	O	T	Redeemed (part)	05/19/17	K		
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. --BR ADV US TTL MKTV, fka 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			L	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 H ~\$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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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 Small Cap Index			J	T					
22. --AZL Mid Cap Index			J	T					
23. --Templeton Growth VIP Fund			J	T					
24. --AZL International Index			J	T					
25. --AZL Russell 1000 Index			J	T					
26. --AZL T.Rowe Price Capital App			J	T					
27. --BlackRock Global Allocation			J	T					
28. --Franklin Income VIP Fund			J	T					
29. Office condo-1/2 Int-Phx,AZ ('94 60,000-'04 30,000)		None			Sold	03/02/17	M		CBI Global, LLC
30. Fidelity Equity Dividend Income Fund	A	Dividend	K	T					
31. Fidelity Magellan mutual fund	B	Dividend	L	T					
32. Fidelity Value mutual fund	B	Dividend	K	T					
33. Fidelity Asset Manager mutual fund	A	Dividend	K	T					
34. Fidelity Puritan mutual fund	A	Dividend	K	T					

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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. Janus Balanced mutual fund	A	Dividend	K	T					
36. Vanguard IRA (H)									
37. --Growth Index Fund - see part VIII	A	Int./Div.				05/25/17	J		
38. Illinois DFA zero coupon Muni Bond		None	L	T					
39. Arizona Elected Officials Retirement Plan	F	pension	M	T					
40. Keyport Keyannuity (fixed rate)		None	M	T					
41. Keyport Keyannuity (fixed rate)		None	L	T					
42. IRA #1 (H)									
43. --Vanguard Growth Index Fund - see part VIII	A		J	T		05/25/17			
44. --Total Stock Mrt Index Adm fka Total Stock Mkt Index Fd		None	J	T					
45. --BMO Harris Bank CD	A	Interest			Redeemed	02/03/17	M		
46. --CIT Bank CD	A	Interest			Redeemed	06/21/17	L		
47. --Wells Fargo Bank CD	A	Interest			Redeemed	12/20/17	L		
48. --Wells Fargo Bank CD	B	Interest	M	T					
49. --Medallion Bank CD	B	Interest	L	T					
50. --Comenity Bank CD	B	Interest	L	T					
51. --Enerbank USA CD	A	Interest	L	T					

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52. --Medallion Bank CD	A	Interest	K	T					
53. --Capital One CD	B	Interest	M	T					
54. --Comenity Bank CD	A	Interest			Redeemed	02/21/17	L		
55. --Capital One Bank CD	C	Interest			Redeemed	08/21/17	M		
56. --American Express Centurian CD	C	Interest			Redeemed	10/30/17	M		
57. --Capital One CD	A	Interest			Redeemed	10/30/17	K		
58. --Ally Bank CD	A	Interest	L	T					
59. --Ally Bank CD - see part VIII	B	Interest	M	T					
60. --Compass Bank CD	B	Interest	M	T					
61. --Ally Bank CD	A	Interest			Redeemed	11/13/17	L		
62. --Key Bank CD	A	Interest	K	T	Buy	06/05/17	K		
63. --BMW BK North America CD	B	Interest	M	T	Buy	02/22/17	M		
64. --Sallie Mae BK CD	B	Interest	M	T	Buy	01/04/17	M		
65. --Discover Bank CD	B	Interest	M	T	Buy	02/03/17	M		
66. --American Express Bank CD	B	Interest	L	T	Buy	05/05/17	L		
67. --Goldman Sachs Bank CD	A	Interest			Redeemed	05/05/17	L		
68. --Verizon Communications	B	Dividend	L	T					

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69. --Bank of America NA	A	Interest	J	T					
70. --Pepsico common stock	B	Dividend	L	T					
71. --Yum Brands common stock	A	Dividend	K	T					
72. --Yum China Holdings, Inc	A	Dividend	J	T					
73. --Oppenheimer Income Trust mutual fund	A	Dividend	J	T					
74. --Goldman Sachs Bank CD	A	Interest			Redeemed	05/30/17	K		
75. --Sallie Mae Bank CD	B	Interest			Redeemed	10/24/17	L		
76. --Motorola Solutions	A	Dividend	J	T					
77. --Vodafone common stock	A	Dividend	J	T					
78. --Blackrock Global Mutual Fund	B	Dividend	M	T					
79. --Goldman Sachs Bank CD	A	Interest			Redeemed	12/14/17	L		
80. --Wal-Mart common stock	A	Dividend	K	T					
81. U.S. Savings Bonds		None	K	T					
82. U.S. Savings Bonds		None	K	T					
83. US Savings Bonds		None	K	T					
84. Bank of America Dep Account Preferred	A	Interest	L	T					
85. IRA #2 (H)									

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86. --Blackrock GLB	A	Dividend	J	T					
87. --Davis Global	A	Dividend	M	T					
88. --Direxon Index	A	Dividend			Sold	10/27/17	K		
89. --JPMorgan Global	A	Dividend	L	T					
90. --Morgan Stanley Bank	A	Interest	J	T					
91. IShares Global Tech	A	Dividend	K	T					
92. Powershares BuyBack Achvrs	A	Dividend	K	T					
93. Vanguard Value	B	Dividend	K	T					
94. Vanguard Growth	A	Dividend	K	T					
95. Vanguard FTSE Allworld	A	Dividend	K	T					
96. Allianz Annuity (fixed rate)	E	Distribution	K	T					
97. American General Annuity (fixed rate)	D	Distribution	J	T					
98. IShares Core S&P Small	A	Dividend	K	T					
99. IShares 1-3 year	A	Dividend	M	T					
100. SPDR S&P mid-cap 400	A	Dividend	K	T					
101. SPDR S&P 500	A	Dividend	K	T					
102. Vanguard FTSE Emerging	A	Dividend	K	T					

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103. Vanguard Dividend	A	Dividend	K	T					
104. First TR NASQ100	A	Dividend	M	T					
105. Guggenheim S&P 500	A	Dividend	K	T					
106. iShares Core S&P small	A	Dividend	L	T					
107. iShares Russell mid-cap	A	Dividend	J	T					
108. iShares MSCI EAFE	A	Dividend	J	T					
109. iShares Global Tech	A	Dividend	K	T					
110. iShares 1-3 year	B	Dividend	M	T					
111. iShares MSCI Emerging	A	Dividend	J	T					
112. iShares Russell 2000	A	Dividend	J	T					
113. Powershares BuyBack	A	Dividend	K	T					
114. SPDR S&P mid-cap 400	A	Dividend	K	T					
115. SPDR S&P 500	B	Dividend	L	T					
116. Vanguard Value	B	Dividend	L	T					
117. Vanguard Growth	A	Dividend	L	T					
118. Vanguard FTSE Emerging	A	Dividend	K	T					
119. Vanguard Dividend	B	Dividend	L	T					

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120. Vanguard FTSE All World	A	Dividend	K	T					
121. Vanguard FTSE Developed	B	Dividend	J	T					
122. PowerShares QQQ Trust	A	Dividend	K	T					
123. PowerShares S&P 500	A	Dividend	K	T					
124. Beal Bank CD	A	Interest			Redeemed	02/08/17	M		
125. Bank of China CD	A	Interest			Redeemed	05/10/17	M		
126. ZB NA CD	A	Interest			Redeemed	09/17/17	M		
127. Ally Bank CD	A	Interest	M	T					
128. Bank of China CD	A	Interest	M	T	Buy	05/25/17	M		
129. BMW Bank CD	A	Interest	M	T	Buy	02/16/17	M		
130. Capital One Bank CD	A	Interest	M	T	Buy	11/03/17	M		
131. Comerity Bank CD	A	Interest	M	T	Buy	05/10/17	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

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Name of Person Reporting

Bolton, Susan R.

Date of Report

06/29/2018

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

Part VII, lines 37 and 43: The fund was transferred from Vanguard IRA to IRA #1.

Part VII, line 59: this CD was inadvertently omitted from the 2016 report. It was acquired on 6/6/16 at value code M.

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

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Name of Person Reporting

Bolton, Susan R.

Date of Report

06/29/2018

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
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Washington, D.C. 20544