

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 04/19/2019
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 01/01/2018 to 12/31/2018
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. 2018	Arizona Elected Officials Retirement Plan	\$70,583.16
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. University of Iowa	May 10-12, 2018	Iowa City, IA	Law School Commencement Speech	airfare, lodging and meals
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.	Sam Anderson	Two nights hotel and meals to officiate at wedding.	\$1,000.00
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	J
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	C	Dividend			Sold	10/31/18	M		
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			Sold	10/31/18	K		
6. ML Retirement Plus-Annuity(variable)(H)									
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 MKT VI			J	T					
12. --Invesco VI Core Eqty			K	T					
13. Transamerica Landmark Annuity (variable) (H)									
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:	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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	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)(H)									
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. Fidelity Equity Dividend Income Fund	A	Dividend			Sold	09/05/18	L	D	
30. Fidelity Magellan mutual fund	A	Dividend			Sold	09/05/18	K	D	
31. Fidelity Value mutual fund		None			Sold	09/05/18	K	D	
32. Fidelity Asset Manager mutual fund	A	Dividend			Sold	09/05/18	K	B	
33. Fidelity Puritan mutual fund	A	Dividend			Sold	09/05/18	K	D	
34. Janus Balanced mutual fund	A	Dividend			Sold	09/05/18	K	C	

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35. Illinois DFA zero coupon Muni Bond		None			Sold	10/31/18	L		
36. Arizona Elected Officials Retirement Plan	F	pension	M	T					
37. Keyport Keyannuity (fixed rate)			M	T					
38. Keyport Keyannuity (fixed rate)			L	T					
39. IRA #1 (H)									
40. --Vanguard Growth Index Fund	A	Dividend	J	T					
41. --Total Stock Mrt Index Adm	A	Dividend	J	T					
42. --Wells Fargo Bank CD	B	Interest			Redeemed	05/04/18	M		
43. --Medallion Bank CD	B	Interest			Redeemed	05/18/18	L		
44. --Comenity Bank CD	B	Interest			Redeemed	06/15/18	L		
45. --Enerbank USA CD	A	Interest			Redeemed	07/30/18	L		
46. --Medallion Bank CD	A	Interest			Redeemed	10/01/18	K		
47. --Capital One CD	B	Interest			Redeemed	06/26/18	M		
48. --Ally Bank CD	A	Interest			Redeemed	05/21/18	K		
49. --Ally Bank CD	B	Interest			Redeemed	06/11/18	M		
50. --Compass Bank CD	B	Interest			Redeemed	06/11/18	M		
51. --Key Bank CD	A	Interest	K	T					

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52. --BMW BK North America CD	B	Interest	M	T					
53. --Sallie Mae BK CD	B	Interest	M	T					
54. --Discover Bank CD	B	Interest	M	T					
55. --American Express Bank CD	B	Interest	L	T					
56. --Verizon Communications	B	Dividend	L	T					
57. --Bank of America NA	C	Interest	O	T					
58. --Pepsico common stock	B	Dividend	L	T					
59. --Yum Brands common stock	A	Dividend	K	T					
60. --Yum China Holdings, Inc	A	Dividend	J	T					
61. --Oppenheimer Income Trust mutual fund	A	Dividend	J	T					
62. --Motorola Solutions	A	Dividend	J	T					
63. --Vodafone common stock	A	Dividend	J	T					
64. --Blackrock Global Mutual Fund	A	Dividend	M	T					
65. --Wal-Mart common stock	A	Dividend	K	T					
66. --Invesco QQQ	A	Dividend	L	T	Buy	02/05/18	L		
67. --iShares Russell 1000	B	Dividend	L	T	Buy	02/05/18	L		
68. --iShares Russell Midcap	A	Dividend	L	T	Buy	02/05/18	L		

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69. --iShares S&P Smallcap 500	A	Dividend	L	T	Buy	02/05/18	L		
70. --iShares Edge MSCI	B	Dividend	M	T	Buy	02/05/18	L		
71. --iShares Inc Core MSCI	B	Dividend	K	T	Buy	02/05/18	K		
72. --Vanguard Small Cap Value	A	Dividend	K	T	Buy	02/05/18	K		
73. --Vanguard Value ETF	C	Dividend	M	T	Buy	02/05/18	M		
74. --Vanguard Dividend	B	Dividend	M	T	Buy	02/05/18	M		
75. --Vanguard Mid-Cap Val Idx	B	Dividend	L	T	Buy	02/05/18	L		
76. --Vanguard FTSE Developed	C	Dividend	L	T	Buy	02/05/18	L		
77. U.S. Savings Bonds		None	K	T					
78. U.S. Savings Bonds		None	K	T					
79. US Savings Bonds		None	K	T					
80. Bank of America Dep Account Preferred	C	Interest	O	T					
81. IRA #2 (H)									
82. --Blackrock GLB	A	Dividend	J	T					
83. --Davis Global	D	Dividend	M	T	Sold (part)	02/12/18	J	A	
84. --JPMorgan Global	B	Dividend	L	T					
85. --Morgan Stanley Bank	A	Interest	J	T					

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86. IShares Global Tech	A	Dividend	K	T					
87. Invesco Buy Back fka Powershares BuyBack Achvrs	A	Dividend	K	T					
88. Vanguard Value	B	Dividend	K	T					
89. Vanguard Growth	A	Dividend	K	T					
90. Vanguard FTSE Allworld	A	Dividend	K	T					
91. Allianz Annuity (fixed rate)	E	Distribution	K	T					
92. American General Annuity (fixed rate)	B	Distribution			Distributed	01/25/18	J		
93. IShares Core S&P Small	A	Dividend	K	T					
94. IShares 1-3 year	B	Dividend	M	T					
95. SPDR S&P mid-cap 400	A	Dividend	K	T					
96. SPDR S&P 500	A	Dividend	K	T					
97. Vanguard FTSE Emerging	A	Dividend	K	T					
98. Vanguard Dividend	A	Dividend	K	T					
99. First TR NASQ100	A	Dividend	L	T					
100. Invesco S&P 500 Equal fka Guggenheim S&P 500	A	Dividend	K	T					
101. IShares Core S&P small	A	Dividend	L	T					
102. IShares Russell mid-cap	A	Dividend	J	T					

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103. iShares MSCI EAFE	A	Dividend	J	T					
104. iShares Global Tech	A	Dividend	K	T					
105. iShares 1-3 year	B	Dividend	M	T					
106. iShares MSCI Emerging	A	Dividend	J	T					
107. iShares Russell 2000	A	Dividend	J	T					
108. Invesco Buy Back fka Powershares BuyBack	A	Dividend	K	T					
109. SPDR S&P mid-cap 400	A	Dividend	K	T					
110. SPDR S&P 500	B	Dividend	L	T					
111. Vanguard Value	B	Dividend	L	T					
112. Vanguard Growth	B	Dividend	L	T					
113. Vanguard FTSE Emerging	A	Dividend	K	T					
114. Vanguard Dividend	B	Dividend	L	T					
115. Vanguard FTSE All World	B	Dividend	K	T					
116. Vanguard FTSE Developed	B	Dividend	K	T					
117. Invesco QQQ Trust fka PowerShares QQQ Trust	A	Dividend	K	T					
118. Invesco S&P 500 Quality fka PowerShares S&P 500	A	Dividend	K	T					
119. Ally Bank CD	A	Interest			Sold	10/31/18	M		

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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)
120. Bank of China CD	A	Interest			Sold	06/07/18	L		
121. BMW Bank CD	A	Interest			Sold	10/31/18	M		
122. Capital One Bank CD	A	Interest			Sold	10/31/18	M		
123. Comenity Bank CD	A	Interest			Sold	11/06/18	M		
124. Wells Fargo CD	A	Interest			Buy	06/06/18	L		
125.					Sold	10/31/18	L		
126. Vanguard Total Stock Market	A	Dividend			Buy	02/02/18	L		
127.					Sold	10/31/18	L		
128. iShares Russell Midcap	A	Dividend			Buy	02/02/18	K		
129.					Sold	10/31/18	K		
130. Vanguard Small Cap	A	Dividend			Buy	02/02/18	K		
131.					Sold	10/31/18	K		
132. Vanguard FTSE Dev.	A	Dividend			Buy	02/21/18	K		
133.					Sold	10/31/18	J		
134. Invesco QQQ	A	Dividend			Buy	02/02/18	K		
135.					Sold	10/31/18	K	A	
136. iShares Inc Core MSCI	A	Dividend			Buy	02/02/18	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	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Bolton, Susan R.

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04/19/2019

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.					Sold	10/31/18	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 \$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	Date of Report
Bolton, Susan R.	04/19/2019

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

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.

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Name of Person Reporting

Bolton, Susan R.

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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
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