

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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) Bade, Bridget S.	2. Court or Organization Ninth Circuit Court of Appeals	3. Date of Report 4/29/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Court Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address Sandra Day O'Connor U.S. Courthouse 401 W. Washington Street, Suite 612 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Co-Trustee	Trust #1 (revocable trust)
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.	
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.		
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. 2019	Self-Employed Attorney
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. Institute of Judicial Administration	07/15/19-07/19/19	NYU School of Law	New Appellate Judges Seminar 2019	NYU Law School facilities and faculty
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.	Federal Bar Association - Phoenix Chapter	2019 FBA Service Award - Package of yoga classes	\$200.00
2.	Federal Bar Association - Phoenix Chapter	2019 FBA Service Award - Donation to Grow Haiti's Children, a 501(c)(3) organization	\$500.00
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.			
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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. (H) ACCOUNTS									
2. Arizona Central Credit Union	A	Int./Div.	L	T					
3. (H) ROTH IRA #1 - BAIRD									
4. ACSYX - Invesco Cocomstock Fund		None			Sold	03/25/19	J	A	
5. MQLFX - MFS Limited Maturity Fund	A	Dividend			Sold	03/25/19	J		
6. IVV - iShares Core S&P 500 ETF	A	Dividend	J	T	Buy	04/02/19	J		
7. (H) ROTH IRA #2 - BAIRD									
8. NYVCX - Davis NY Venture Fund		None			Sold	03/25/19	J		
9. MQLFX - MFS Limited Maturity Fund	A	Dividend			Sold	03/25/19	J		
10. IVV - iShares Core S&P 500 ETF	A	Dividend	J	T	Buy	04/02/19	J		
11. (H) COVERDELL ESA - BAIRD									
12. NYVCX - Davis NY Venture Fund		None			Sold	03/25/19	K		
13. IVV - iShares Core S&P 500 ETF	A	Dividend	K	T	Buy	04/02/19	K		
14. (H) ROLLOVER IRA #1 - BAIRD									
15. Baird Money Market	A	Interest	J	T					
16. C common stock (X)	A	Dividend			Sold	03/25/19	J		
17. CI common stock	A	Dividend			Sold	03/25/19	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000 R =Cost (Real Estate Only) V =Other	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000 S =Assessment W =Estimated	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000 T =Cash Market	E =\$15,001 - \$50,000
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NONE (No reportable income, assets, or transactions.)

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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)
18. GE common stock	A	Dividend			Sold	03/25/19	J		
19. HD common stock	A	Dividend			Sold	03/25/19	K	D	
20. MRK common stock	A	Dividend			Sold	03/25/19	J	C	
21. MSFT common stock	A	Dividend			Sold	03/25/19	K	E	
22. PG common stock	A	Dividend			Sold	03/25/19	J	C	
23. XEL common stock (2018 report had XCEL as ticker symbol)	A	Dividend	K	T					
24. IVV - iShares Core S&P 500 ETF	B	Dividend	L	T	Buy	03/25/19	L		
25. (H) ROLLOVER IRA #2 - BAIRD									
26. Baird Money Market	A	Interest	J	T					
27. MO common stock	A	Dividend			Sold	03/25/19	J	D	
28. BAC common stock	A	Dividend			Sold	03/25/19	J	B	
29. C common stock	A	Dividend			Sold	03/25/19	J		
30. CSCO common stock	A	Dividend			Sold	03/25/19	K	D	
31. COP common stock	A	Dividend			Sold	03/25/19	K	D	
32. GE common stock	A	Dividend			Sold	03/25/19	J		
33. INTC common stock	A	Dividend			Sold	03/25/19	J	D	
34. JPM common stock	A	Dividend			Sold	03/25/19	J	D	

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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35. JNJ common stock	A	Dividend			Sold	03/25/19	K	D	
36. KHC common stock	A	Dividend			Sold	03/25/19	J	A	
37. MRK common stock	A	Dividend			Sold	03/25/19	J	C	
38. MSFT common stock	A	Dividend			Sold	03/25/19	J	D	
39. MDLZ common stock		None			Sold	03/25/19	J	C	
40. PM common stock	A	Dividend			Sold	03/25/19	K	D	
41. PFE common stock	A	Dividend			Sold	03/25/19	J	B	
42. PSX common stock	A	Dividend			Sold	03/25/19	J	D	
43. DBO - Invesco DB Multi Sector Commodity Trust Oil Fund		None			Sold	03/25/19	J		
44. XEL common stock (2018 report had XCEL as ticker symbol)	A	Dividend	K	T					
45. BSPAX - iShares S&P 500 Index Fund	A	Dividend	K	T					
46. IVV - iShares Core S&P 500 ETF	C	Dividend	M	T	Buy	03/25/19	M		
47. (H) ROLLOVER IRA #3 - BEACON POINTE									
48. FDIC Insured Deposit Account - Cash	A	Interest	J	T					
49. IWB - iShares Russell 1000 ETF	B	Int./Div.	L	T	Buy (add'l)	03/26/19	K		
50. CHDVX - Cullen Value High Dividend Equity Fund	A	Int./Div.			Sold	03/26/19	K	C	
51. SGIIX - First Eagle Global Fund		None			Sold	03/26/19	K	E	

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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52. SDRIX - Swan Defined Risk Fund		None			Sold	03/26/19	K	C	
53. GE common stock	A	Dividend			Sold	03/26/19	J		
54. GS common stock	A	Dividend			Sold	03/26/19	J	C	
55. BSIIX - BlackRock Strategic Income Opps Instl Fund	A	Int./Div.			Sold	03/26/19	K		
56. HAVLX - Harbor Large Cap Value Fund		None			Sold	03/26/19	K		
57. SHY - iShares 1-3 Year Treasury Bond ETF	A	Int./Div.	L	T	Buy	03/26/19	L		
58. IWF - iShares Russell 1000 Growth ETF	A	Int./Div.	L	T	Buy	03/26/19	L		
59. (H) TRUST #1 - BEACON POINTE									
60. FDIC Insured Deposit Account - Cash	A	Interest	J	T					
61. SGIIX - First Eagle Global Fund		None			Sold	03/26/19	K	B	
62. SDRIX - Swan Defined Risk Fund		None			Sold	03/26/19	K	B	
63. DHSCX - Diamond Hill Small Cap Fund		None			Sold	03/26/19	J		
64. BAC common stock	A	Dividend			Sold	03/26/19	J	D	
65. HILVX - Harbor Large Cap Value Fund		None			Sold	03/26/19	J		
66. IEFA - iShares Core MSCI EAFE ETF		None			Sold	03/26/19	K	B	
67. DVY - iShares Select Dividend ETF	A	Int./Div.	J	T	Buy	06/07/19	J		
68.					Buy (add'l)	09/03/19	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
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69. IWF - iShares Russell 1000 Growth ETF	A	Int./Div.	K	T	Buy	03/26/19	K		
70. IJR - iShares Core S&P Small Cap ETF		None	L	T	Buy	03/26/19	L		
71.					Buy (add'l)	10/09/19	J		
72. (H) ROLLOVER IRA #4 - BEACON POINTE									
73. FDIC Insured Deposit Account - Cash	A	Interest	J	T					
74. GS common stock	A	Dividend			Sold	03/26/19	J	C	
75. DHSIX - Diamond Hill Small Cap Fund		None			Sold	03/26/19	K	A	
76. BSIIX - BlackRock Strategic Income Opps Instl Fund	A	Int./Div.			Sold	03/26/19	L	E	
77. FPACX - FPA Crescent Fund		None			Sold	03/26/19	J	B	
78. SDRIX - Lights Swan Defined Risk Fund		None			Sold	03/26/19	K	B	
79. ODVYX - Oppenheimer Developing Markets Fund		None			Sold	03/26/19	K	D	
80. CHDVX - Cullen High Dividend Equity Fund	A	Int./Div.			Sold	03/26/19	K		
81. SGENX - First Eagle Global Fund		None			Sold	03/26/19	J		
82. DVY - iShares Select Dividend ETF	D	Int./Div.	N	T	Buy	03/26/19	M		
83. SHY - iShares 1-3 Year Treasury Bond ETF	A	Int./Div.	K	T	Buy	03/26/19	K		
84.					Buy (add'l)	09/03/19	J		
85. IWB - iShares Russell 1000 ETF	C	Int./Div.	M	T	Buy	03/26/19	M		

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86. (H) ROLLOVER IRA #5 - BEACON POINTE - SARATOGA (moved to Rollover #4)									
87. FDIC Insured Deposit Account	A	Interest			Closed	03/26/19	J		
88. TISXX - Federated US Treasury Cash Reserves Fund	A	Interest			Redeemed	03/26/19	L		
89. AAPL common stock	A	Dividend			Sold	03/26/19	J	D	
90. ACN common stock		None			Sold	03/26/19	J	C	
91. BDX common stock	A	Dividend			Sold	03/26/19	J	C	
92. BRK B common stock	A	Dividend			Buy (add'l)	03/08/19	J		
93.					Sold	03/26/19	J	C	
94. BIIB common stock		None			Sold	03/26/19	J	A	
95. CHRW common stock	A	Dividend			Sold	03/26/19	J	B	
96. CTSH common stock		None			Sold	03/26/19	J	B	
97. CSCO common stock	A	Dividend			Sold	03/26/19	J	C	
98. KO common stock	A	Dividend			Sold	03/26/19	J	B	
99. IBM common stock	A	Dividend			Sold	03/26/19	J		
100. JNJ common stock	A	Dividend			Sold	03/26/19	J	C	
101. MDT common stock	A	Dividend			Sold	03/26/19	J	B	

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102. MSFT common stock	A	Dividend			Sold (part)	03/15/19	J	C	
103.					Sold	03/26/19	J	C	
104. NKE common stock	A	Dividend			Sold	03/26/19	J	D	
105. NVO common stock	A	Dividend			Sold	03/26/19	J	B	
106. OMC common stock	A	Dividend			Sold	01/09/19	J	A	
107. ORCL common stock	A	Dividend			Sold	03/26/19	J	C	
108. PEP common stock	A	Dividend			Sold	03/26/19	J	B	
109. PII common stock	A	Dividend			Sold	03/26/19	J		
110. PG common stock	A	Dividend			Sold	03/26/19	J	B	
111. RBGLY common stock		None			Sold	03/26/19	J	A	
112. SBUX common stock	A	Dividend			Sold	03/26/19	J	B	
113. UTX common stock	A	Dividend			Sold	03/26/19	J	B	
114. VAR common stock		None			Sold	03/26/19	J	C	
115. WMT common stock	A	Dividend			Sold	03/26/19	J	C	
116. DIS common stock		None			Buy (add'l)	02/12/19	J		
117.					Sold	03/26/19	J	A	
118. (H) LIFE INSURANCE POLICIES									

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		

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
119. Northwestern Mutual Whole Life	A	Dividend	J	T					
120. Northwestern Mutual Adjustable CompLife	A	Dividend	J	T					
121. Northwestern Muutal Adjustable CompLife	A	Dividend	J	T					
122. Northwestern Mutual Whole Life	A	Dividend	J	T					
123. Northwestern Mutual 65 Life	A	Dividend	J	T					
124. (H) OFFICE CONDO									
125. TBM2 Investments LLC - office condo in Tempe, AZ	F	Rent	O	W					
126. (H) TBM2 PROMISSORY NOTE									
127. Promissory Note from TBM2 Investments LLC	D	Interest	N	T					
128.									
129.									
130.									
131.									
132.									

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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Name of Person Reporting

Bade, Bridget S.

Date of Report

4/29/2020

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

Part I. Positions. The judge is the co-trustee of a revocable trust for the benefit of the judge, [REDACTED]. The assets held in the name of the revocable trust are the judge's personal residence, the interests in TBM2 Investments LLC, and the account listed in Part VII, lines 59-71. The residence does not have to be reported in Part VII, and the assets of TBM2 Investments LLC are reported in Part VII, lines 124-25.

Part V. The Federal Bar Association made a contribution to a 501(c)(3) organization in the judge's name in connection with the presentation of the FBA's 2019 Service Award. All tax reporting of the contribution by the 501(c)(3) organization was directed to the FBA. The judge received no financial benefit from such gift.

Part VII. After confirmation, the judge liquidated holdings in most individual securities that could give rise to conflicts. Most investments are now in iShares ETFs.

Part VII. Office condo. The membership interests in TBM2 Investments LLC are owned equally by the judge [REDACTED] through their revocable trust. The judge's [REDACTED] is the manager of the LLC.

Part VII. TBM2 Promissory Note. The loan to TBM2 Investments LLC was made on March 31, 2014 in connection with the LLC's purchase of the office condo. TBM2 Investments LLC makes loan payments, consisting of principal and interest, to the judge [REDACTED]. As noted above, TBM2 Investments is owned equally by the judge [REDACTED] through their revocable trust.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Bade, Bridget S.

Date of Report

4/29/2020

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/ **Bridget S. Bade**

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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