

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) Humetewa, Diane J.	2. Court or Organization U.S. District Court, Arizona	3. Date of Report 04/09/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2018 to 12/31/2018
	5b. ☒ Amended Report	
7. Chambers or Office Address U.S. District Court for the District of Arizona Sandra Day O'Connor U.S. Courthouse 401 W. Washington, St. Suite 625 SPC 81 Phoenix, Arizona 85003-2161		
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. _____	_____
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. _____	_____
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.	
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. Univ. Montana School of Law	October 4-5, 2018	Missoula, Montana	Speaker at annual seminar	transportation, meals and lodging
3. U.S.Dept. of Justice, Office for Victims of Crime	December 7, 2018	Palm Springs, CA	Panel speaker	transportation and per diem
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.	Arizona State University Sandra Day O'Connor College of Law	2018 O'Connor Justice Prize Dinner (for me and spouse at 250.00 ea.)	\$500.00
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.			
2.			
3.			
4.			
5.			

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. Deutsche Enhanced Commodity Strategy Fnd Inst. Class	A	Dividend			Sold	05/18/18	K		
2. General Money Market Fund Class B-Dreyfus Corp.	A	Interest	J	T					
3. Oakmark Intern'l Small Cap Fund (OAKLX)	A	Dividend			Sold	05/18/18	K		
4. PIMCO Commodities Plus Strategy Fund Class P	A	Dividend	J	T					
5. PIMCO Income Fund P	B	Dividend	J	T	Buy (add'l)	01/22/18	J		
6. New World Fund Class F-2	A	Dividend			Sold	05/18/18	K		
7. Bank of America	A	Interest	K	T					
8. First Federal Credit Union	A	Interest	K	T					
9. Northwest Mutual Whole Life Insur.	C	Dividend	M	T					
10. Fidelity Adv. Total Bond	A	Dividend			Sold	05/18/18	L		
11. FMI International Fund	A	Dividend			Sold	05/18/18	K		
12. I Shares MISCI EuroZone ETF	A	Dividend			Sold	10/30/18	K		
13. IShares Core S&P Mid Cap ETF	A	Dividend	K	T					
14. IShares Core S&P 500 ETF	B	Dividend	N	T					
15. Schwab Strategie Intern'l Equity ETF(VWO)	B	Dividend	M	T	Sold	05/18/18	M		
16. Vanguard Intern'l Equity ETF	A	Dividend	K	T					
17. Vanguard Total Bond Market ETF	B	Dividend	M	T					

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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18. Cohen & Steers Real Estate Securities Fund Class I(CSDIX)	A	Dividend	K	T					
19. American Beacon Inter'l Equity Fund Class Y	A	Dividend			Buy	05/17/18	J		
20.					Buy (add'l)	05/18/18	J		
21.					Sold (part)	06/25/18	J	E	
22.					Sold (part)	07/02/18	J	C	
23.					Sold	07/10/18	J	E	
24. Clearbridge Intern'l Small Cap Fund Class I	A	Dividend			Buy	05/17/18	J		
25.					Buy (add'l)	05/18/18	J		
26.					Sold	07/02/18	J	A	
27. Columbia Small Cap Value Fund Class A	A	Dividend	J	T	Buy	06/25/18	J		
28.					Buy (add'l)	07/02/18	J		
29. Columbia Small Cap Index Fund Inst2 Class	A	Dividend	J	T	Buy	12/21/18	J		
30. Dodge & Cox Income Fund	A	Dividend	J	T	Buy	05/17/18	J		
31.					Buy (add'l)	05/21/18	J		
32.					Sold (part)	06/26/18	J		
33.					Sold (part)	07/02/18	J		
34.					Sold	07/10/18	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	

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35. Dreyfus Intern'l Bond Fund Class I	A	Dividend	J	T	Buy	05/17/18	J		
36.					Buy (add'l)	05/18/18	J		
37.					Sold (part)	07/02/18	J		
38.					Sold (part)	07/10/18	J		
39.					Sold	12/21/18	J		
40. EV Short Duration Inflation Protect. Income Fund Class I	A	Dividend			Buy	06/26/18	J		
41.					Buy (add'l)	07/03/18	J		
42.					Buy (add'l)	07/10/18	J		
43.					Sold (part)	11/30/18	J		
44.					Sold (part)	12/14/18	J		
45.					Sold	12/21/18	J		
46. Federated Mid Cap Index Fund Class IS	A	Dividend	J	T	Buy	12/21/18	J		
47. Fidelity Advisor Floating Rate High Income Fund Class I	A	Dividend			Buy	05/18/18	J		
48.					Sold (part)	06/25/18	J		
49.					Sold	07/10/18	J		
50. Fidelity Advisor Total Em. Markets Fund Class I	C	Dividend	J	T	Buy	07/02/18	J		
51.					Buy (add'l)	07/10/18	J		

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52.					Buy (add'l)	11/14/18	J		
53.					Buy (add'l)	11/30/18	J		
54.					Buy (add'l)	12/14/18	J		
55. Gateway Fund Class Y	A	Dividend	J	T	Buy	05/18/18	J		
56.					Sold (part)	07/02/18	J		
57.					Sold (part)	07/10/18	J		
58.					Sold (part)	10/30/18	J		
59. Goldman Sachs ETF Tractivebeta Int'l Equity	A	Dividend	J	T	Buy	06/26/18	J		
60.					Buy (add'l)	07/10/18	J		
61.					Buy (add'l)	11/30/18	J		
62. Hartford Core Equity Fund Class A	A	Dividend	J	T	Buy	06/25/18	J		
63.					Buy (add'l)	07/02/18	J		
64.					Buy (add'l)	01/10/18	J		
65. Hartford Schroders U.S. Small Cap Fund Class I	A	Dividend	J	T	Buy	06/25/18	J		
66.					Buy (add'l)	07/02/18	J		
67.					Sold (part)	11/30/18	J		
68. Invesco QQQ TR	A	Dividend	J	T	Buy	10/30/18	J		

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	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)
69. IShares TR Core Divid Growth ETF	B	Dividend	J	T	Buy	06/26/18	J		
70.					Buy (add'l)	07/02/18	J		
71.					Sold (part)	11/30/18	J		
72. IShares TR MSCI Eafevalue ETF	B	Dividend	J	T	Buy	05/18/18	J		
73.					Sold	07/02/18	J		
74. IShares TR Russell 1000Value ETF	A	Dividend	J	T	Buy	05/18/18	J		
75.					Sold (part)	07/02/18	J		
76.					Sold (part)	07/10/18	J		
77. JP Morgan Hedged Equity Fund Class I	A	Dividend	J	T	Buy	11/30/18	J		
78.					Buy (add'l)	12/14/18	J		
79. Matthews Pacific Tiger Fund Invest. Class	A	Dividend	J	T	Buy	11/14/18	J		
80. MFS Total Return Bond Fund Class I	B	Dividend	J	T	Buy	06/25/18	J		
81.					Buy (add'l)	07/10/18	J		
82.					Sold (part)	11/30/18	J		
83.					Sold (part)	12/14/18	J		
84. MFS Value Fund Class I	A	Dividend	J	T	Buy	05/18/18	J		
85.					Sold (part)	06/25/18	J		

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86.					Sold (part)	07/02/18	J		
87.					Sold (part)	07/10/18	J		
88. MSIF Inter'l Advantage Fund Class I (Y)	A	Dividend	J	T	Buy	11/30/18	J		
89. Northwest Bond Index Fund	A	Dividend	J	T	Buy	05/18/18	J		
90.					Sold (part)	07/02/18	J		
91.					Sold	07/10/18	J		
92. PIMCO Income Fund Class 1-2	B	Dividend	M	T	Sold (part)	05/18/18	L		
93.					Sold (part)	07/02/10	J		
94.					Sold (part)	07/10/18	J		
95. PIMCO Low Duration Fund Class 1-2	A	Dividend	J	T	Buy	05/18/18	J		
96.					Sold (part)	07/02/18	J		
97.					Sold	07/10/18	J		
98. Pioneer Floating Rate Fund	A	Dividend	J	T	Buy	06/25/18	J		
99.					Buy (add'l)	07/03/18	J		
100.					Buy (add'l)	07/10/18	J		
101.					Sold (part)	12/21/18	J		
102. Prudential Jennison Mid-Cap Growth Fund Inc. Class Z (Y)	A	Dividend	J	T	Buy	05/18/18	J		

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103. Prudential Short-Term Corp. Bond Fund, Inc. Class Z	A	Dividend	J	T	Buy	05/18/18	J		
104. Putnum Short Duration Inc. Fund Class Y	A	Dividend	J	T	Buy	06/25/18	J		
105.					Buy (add'l)	07/02/18	J		
106.					Buy (add'l)	07/10/18	J		
107.					Sold (part)	11/30/18	J		
108.					Sold (part)	12/21/18	J		
109. SPDR Ser Tr Bloomberg Barclays 1-3 mnth T Bill ETF New	A	Dividend	J	T	Buy	06/25/18	J		
110.					Buy (add'l)	07/02/18	J		
111.					Buy (add'l)	07/10/18	J		
112.					Sold (part)	11/30/18	J		
113. T Rowe Price Real Estates	A	Dividend	J	T	Buy	05/18/18	J		
114.					Sold	07/10/18	J		
115. Oakmark Select Fund Investors Class	A	Dividend	M	T	Sold (part)	05/17/18	L		
116.					Sold	05/18/18	K		
117. TIAA-CREF Intern'l Equity Index Fund Advisor Class	A	Dividend	J	T	Buy	12/14/18	J		
118. TIAA-CREF Equity Index Fund Advisor Class	A	Dividend	J	T	Buy	12/14/18	J		
119.					Buy (add'l)	12/21/18	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	

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)
120. Tocqueville Int'l Value Fund	A	Dividend	J	T	Buy	07/02/18	J		
121.					Buy (add'l)	07/10/18	J		
122.					Sold (part)	11/30/18	J		
123.					Sold	12/14/18	J		
124. US Dollars Currency (Y)	A	None	J	T	Redeemed	12/24/18	J		
125. Vanguard Inflation Protection Fund Admiral Shares	A	Dividend	J	T	Buy	05/07/18	J		
126.					Buy (add'l)	05/18/18	J		
127.					Sold (part)	07/02/18	J		
128.					Sold	07/10/18	J		
129. Vanguard World FDS Health Careetf	A	Dividend	J	T	Buy	11/30/18	J		
130.					Buy (add'l)	12/14/18	J		
131. Virtus Duff & Phelps Global Real Est. Sec. Fund Class I	B	Dividend	J	T	Buy	11/30/18	J		
132.					Buy (add'l)	12/14/18	J		
133. Wasatch Core Growth Fund	A	Dividend	J	T	Buy	11/07/18	J		
134.					Buy (add'l)	11/30/18	J		

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting	Date of Report
Humetewa, Diane J.	04/09/2020

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

In Part VII, line 124, the name of the financial institution in which my cash account was maintained is Northwest Mutual.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Humetewa, Diane J.

Date of Report

04/09/2020

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/ **Diane J. Humetewa**

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