

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) Humetewa, Diane J.	2. Court or Organization U.S. District Court, Arizona	3. Date of Report 03/04/2022
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	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. _____	_____

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Humetewa, Diane J.

Date of Report

03/04/2022

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	Republic Services
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.	Gonzaga Law School, & Spokane County Bar Assoc	March 1-2, 2019	Spokane, Washington	Speaker at annual seminar	transportation, meals and lodging
2.	Am. Bar Association, Breaking Barriers	May 3, 2019	Washington, D.C.	Panel speaker	transportation and per diem
3.	U.S.Dept. of Justice, Nat'l Trial Advocacy Center	September 26-27, 2019	San Diego, CA	Moot Court Judge	transportation, per diem and lodging
4.	U.S. Sentencing Commission's Judges Seminar	June 26-28, 2019	Chicago, Ill.	Seminar attendee	transportation, per diem and lodging
5.					

Name of Person Reporting	Date of Report
Humetewa, Diane J.	03/04/2022

V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
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.)

CREDITOR	DESCRIPTION	VALUE CODE
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. General Money Market Fund Class BDreyfus Corp.	A	Interest	J	T					
2. PIMCO Commodities Plus Strategy Fund Class P	A	Dividend	J	T					
3. New World Fund Class F-2	A	Dividend			Sold	12/23/19	J		
4. Bank of America cash equivalent	A	Interest	K	T					
5. First Federal Credit Union cash equivalent	A	Interest	K	T					
6. Northwest Mutual Whole Life Insur.	C	Dividend	M	T					
7. IShares Core S&P Mid Cap ETF	A	Dividend	K	T					
8. IShares Core S&P 500ETF	B	Dividend	N	T					
9. Schwab Strategic Intern'l Equity ETF(VWO)		None			Sold	02/07/19	J		
10. Columbia Small Cap Index Fund Inst2 Class	B	Dividend			Sold (part)	02/01/19	J		
11.					Sold	12/17/19	K		
12. EV Short Duration Inflation Protection Income Fund Class I	A	Dividend			Buy	02/07/19	K		
13.					Sold (part)	03/29/19	J		
14.					Sold (part)	06/28/19	J		
15.					Sold	07/26/19	J		
16. Federal Mid Cap Index Fund Class IS	A	Dividend			Sold	02/04/19	J	C	
17. FTEJX Fidelity Advisor Total Emerging Market Class I	A	Dividend	J	T	Sold (part)	08/28/19	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

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)
18. GSIE Goldman Sachs ETF Tractivebeta Int'l Equity	A	Dividend			Buy	02/07/19	J		
19.					Sold	07/26/19	J		
20. Hartford Core Equity Fund Class A	A	Dividend			Buy	02/01/19	J		
21.					Buy (add'l)	07/26/19	J		
22.					Buy (add'l)	08/20/19	J		
23.					Sold	12/30/19	J		
24. Invesco QQQ TR UNIT SER 1	A	Dividend			Sold (part)	03/27/19	J		
25.					Sold	04/30/19	J		
26. ORSYX Invesco Short Term Class Y	A	Dividend	J	T	Buy	08/20/19	J		
27.					Sold (part)	10/23/19	J		
28.					Sold (part)	11/27/19	J		
29. IShares TR Core S&P Mid-Cap ETF	B	Dividend			Sold	02/07/19	J		
30. IVV IShares TR Core S&P 500 ETF	A	Dividend			Sold (part)	07/26/19	J		
31.					Sold	12/20/19	J		
32. JHEQX JP Morgan Hedged	A	Dividend			Buy	04/09/19	J		
33.					Sold	07/26/19	J		
34. MAPTX Mathews Pacific Tiger Fund Invest	A	Dividend	J	T	Buy (add'l)	02/27/19	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

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FINANCIAL DISCLOSURE REPORT

Page 6 of 10

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Date of Report

03/04/2022

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	(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)
35.					Buy (add'l)	07/26/19	J		
36. MRBIX MFS Total Return Bond	A	Dividend	J	T	Sold (part)	01/22/19	J		
37.					Sold (part)	07/26/19	J		
38. MFAIX MSIF Inte'l Advantage Fund Class I	A	Dividend	J	T	Buy	02/04/19	J		
39.					Buy (add'l)	04/11/19	J		
40.					Buy (add'l)	07/26/19	J		
41. FLYRX Pioneer Floating Rate Fund Class Y	A	Dividend			Sold (part)	02/07/19	J		
42.					Sold	07/26/19	J		
43. PSDYX Putnam Short Duration Class Y	A	Dividend	J	T	Buy	02/07/19	J		
44. SPDR SER TR Bloomberg Barclays	A	Dividend	J	T	Buy (add'l)	07/26/19	J		
45.					Buy (add'l)	08/20/19	J		
46. TIAA CREF Inter'l Equity Index Fund Advisor Class	A	Dividend			Sold	02/04/19	J	A	
47. TIAA-CREF Equity Index Fund Advisor Class	A	Dividend			Sold	02/04/19	J		
48. U.S. Dollar Currency Northwest Mutual		None	J	T					
49. VHT Vanguard World FDS Health Care	A	Dividend	J	T	Buy (add'l)	02/07/19	J		
50.					Sold (part)	11/01/19	J		
51. VGISX Virtus Duff & Phelps Global Real Estate Fund Class I	B	Dividend	J	T	Buy (add'l)	02/07/19	J		

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)					

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

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Date of Report

03/04/2022

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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)
52.					Sold (part)	04/09/19	J		
53.					Sold (part)	07/29/19	J		
54. WGXWasatch Core Growth Fund	A	Dividend	J	T	Buy (add'l)	02/07/19	J		
55.					Buy (add'l)	04/09/19	J		
56.					Buy (add'l)	07/26/19	J		
57.					Sold (part)	07/26/19	J	A	
58. SPDR SER TR SPDR Bloomberg Barclays	B	Dividend	J	T	Sold (part)	12/27/19	J		
59. FBTIX Fidelity Advisor Biotech	A	Dividend	K	T	Buy	07/30/19	J		
60.					Buy (add'l)	08/29/19	J		
61. PSDYX Putnam Ultra Short	A	Dividend	J	T					
62. AGG Ishares TR Core U.S. Aggregate BD ETF	A	Dividend	J	T					
63. BCSSX Brown Capital Management Company Fund Inst. Class	A	Dividend	J	T					
64. EFV IShares TR MSCI Eafevalue ETF	A	Dividend	J	T					
65. EILTX EV Tabs 5 to 15 Year Ladder Municipal Bond Fund Class I	A	Dividend	J	T					
66. IBB IShares TR Nasdaq Biotechnology ETF	A	Dividend	J	T					
67. MAMTX Balckrock Strategic Municipal Opportunities Fund Inst. Class	A	Dividend	J	T					
68. MFAIX MSIF International Advantage Fund Class I	A	Dividend	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	
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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. SMDIX Hartford Schroeders U.S. Mid Cap Opportunities Fund Class I	A	Dividend	J	T					
70. TCTHX TIAA-Cref Short Term Bond Fund Advisor Class	A	Dividend	J	T					
71. WGROX Wasatch Core Growth Fund	A	Dividend	J	T					
72.									
73.									
74.									
75.									
76.									
77.									
78.									
79.									
80.									
81.									
82.									
83.									
84.									
85.									

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting	Date of Report
Humetewa, Diane J.	03/04/2022

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

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Humetewa, Diane J.

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03/04/2022

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544