

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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 05/04/2021
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 01/01/2020 to 12/31/2020
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. 2020	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.				
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.)*

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.

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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. (H) ACCOUNTS									
2. Arizona Central Credit Union	A	Int./Div.	L	T					
3. (H) ROTH IRA #1 - BAIRD									
4. IVV - iShares Core S&P 500 ETF	A	Dividend	J	T					
5. (H) ROTH IRA #2 - BAIRD									
6. IVV - iShares Core S&P 500 ETF	A	Dividend	J	T					
7. (H) COVERDELL ESA - BAIRD									
8. IVV - iShares Core S&P 500 ETF	A	Dividend	K	T					
9. (H) ROLLOVER IRA #1 - BAIRD									
10. Baird Money Market	A	Interest	J	T					
11. XEL common stock	B	Dividend	K	T					
12. IVV - iShares Core S&P 500 ETF	B	Dividend	L	T					
13. (H) ROLLOVER IRA #2 - BAIRD									
14. Baird Money Market	A	Interest	J	T					
15. XEL common stock	A	Dividend	K	T					
16. BSPAX - iShares S&P 500 Index Fund	A	Dividend	K	T					
17. IVV - iShares Core S&P 500 ETF	C	Dividend	N	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	
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)
18. (H) ROLLOVER IRA #3 - BEACON POINTE									
19. FDIC Insured Deposit Account - Cash	A	Interest	J	T					
20. IWB - iShares Russell 1000 ETF	B	Int./Div.	L	T					
21. SHY - iShares 1-3 Year Treasury Bond ETF	A	Int./Div.	L	T					
22. IWF - iShares Russell 1000 Growth ETF	A	Int./Div.	M	T					
23. (H) TRUST #1 - BEACON POINTE									
24. FDIC Insured Deposit Account - Cash	A	Interest	M	T					
25. DVY - iShares Select Dividend ETF	A	Int./Div.			Buy (add'l)	05/13/20	J		
26.					Buy (add'l)	09/11/20	J		
27.					Sold	09/18/20	J	A	
28. IWF - iShares Russell 1000 Growth ETF	A	Int./Div.	L	T	Buy (add'l)	12/08/20	L		
29. IJR - iShares Core S&P Small Cap ETF	A	Int./Div.			Buy (add'l)	02/11/20	J		
30.					Sold	09/18/20	L	A	
31. SHY - iShares 1-3 Year Treasury Bond ETF	A	Int./Div.	J	T	Buy	02/11/20	J		
32. (H) ROLLOVER IRA #4 - BEACON POINTE									
33. FDIC Insured Deposit Account - Cash	A	Interest	K	T					
34. DVY - iShares Select Dividend ETF	C	Int./Div.	M	T	Sold (part)	09/18/20	L	A	

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)
35. SHY - iShares 1-3 Year Treasury Bond ETF	A	Int./Div.	K	T					
36. IWB - iShares Russell 1000 ETF	C	Int./Div.	N	T	Sold (part)	09/18/20	L	D	
37.					Buy (add'l)	12/08/20	L		
38. (H) LIFE INSURANCE POLICIES									
39. Northwestern Mutual Whole Life	A	Dividend	J	T					
40. Northwestern Mutual Adjustable CompLife	A	Dividend	J	T					
41. Northwestern Muutal Adjustable CompLife	A	Dividend	J	T					
42. Northwestern Mutual Whole Life	A	Dividend	J	T					
43. Northwestern Mutual 65 Life	A	Dividend	J	T					
44. (H) OFFICE CONDO									
45. TBM2 Investments LLC - office condo in Tempe, AZ	F	Rent	O	W					
46. (H) TBM2 PROMISSORY NOTE									
47. Promissory Note from TBM2 Investments LLC	D	Interest	N	T					
48.									
49.									
50.									
51.									

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

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R =Cost (Real Estate Only)

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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.)

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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)
52.									

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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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 23-31. The residence does not have to be reported in Part VII, and the assets of TBM2 Investments LLC are reported in Part VII, lines 44-45.

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.

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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/ **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
Administrative Office of the United States Courts
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