

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) Bolton, Susan R.	2. Court or Organization U.S. District Court, Arizona	3. Date of Report 04/26/2021
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 01/01/2020 to 12/31/2020
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.	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Bolton, Susan R.

Date of Report

04/26/2021

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. 2020	Arizona Elected Officials Retirement Plan	\$72,715.00
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.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Bolton, Susan R.	04/26/2021

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. Merrill Lynch Single Premium Life	Cash value loan	J
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. Bank of America cash-equivalent	A	Interest	M	T					
2. Merrill Lynch Single Premium Life-Insurance		None	J	T					
3. U.S. Savings Bonds		None	O	T					
4. TA Retirement Plus Annuity(variable)(H)		None							
5. --AB GLBL THMTC GR PRT			L	T					
6. --Blackrock High Yield			L	T					
7. --BLK Basic Value VI			L	T					
8. --BLK GLobal Alloc VI			L	T					
9. --BR ADV US TTL MKT VI			K	T					
10. --Invesco VI Core Eqty			L	T					
11. Transamerica Landmark Annuity (variable) (H)		None							
12. --TA Aegon High Yield Bond			J	T					
13. --Fidelity-VIP Contrafund Portfolio			J	T					
14. --Fidelity-VIP Mid Cap Portfolio			J	T					
15. --TA Morgan Stanley Capital Growth			M	T					
16. --TA Asset Allocation - Moderate			K	T					
17. --AB Growth and Income Portfolio			K	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)
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18. Allianz Franklin-Annuity (variable)(H)		None							
19. --AZL Small Cap Index			J	T					
20. --AZL Mid Cap Index			J	T					
21. --Templeton Growth VIP Fund			J	T					
22. --AZL International Index			J	T					
23. --AZL Russell 1000 Index			J	T					
24. --AZL T.Rowe Price Capital App			J	T					
25. --BlackRock Global Allocation			J	T					
26. --Franklin Income VIP Fund			J	T					
27. Keyport Keyannuity (fixed rate)	D	Interest	N	T					
28. Keyport Keyannuity (fixed rate)	C	Interest	L	T					
29. IShares IBoxx\$ High Yield	C	Interest	L	T	Buy	11/20/20	L		
30. IShares JPMorgan EM Bond	C	Interest	M	T	Buy	11/20/20	M		
31. Schwab U.S. Tips	A	Interest	L	T	Buy	11/20/20	L		
32. Sector SPDR Utilites	B	Dividend	L	T	Buy	11/20/20	L		
33. Vanguard Short-Term	B	Interest	M	T	Buy	11/20/20	M		
34. IShares MBS	B	Dividend	M	T	Buy	11/20/20	M		

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. IShares Core 1-5 Year	B	Dividend	M	T	Buy	11/20/20	M		
36. IRA #1 (H)									
37. --IShares MSCI INTL QUALTY	B	Dividend	L	T	Buy	02/07/20	L		
38. --Sector SPDR Energy	C	Dividend	L	T	Buy	11/20/20	L		
39. --Vanguard World FD SHS	A	Dividend	K	T	Buy	06/26/20	L		
40. --CD Morgan Stanley Bank	B	Interest	M	T	Buy	01/15/20	M		
41. --CD Wells Fargo Natl Bank	B	Interest	M	T	Buy	02/12/20	M		
42. --Invesco S&P ULT Divd Rev	A	Dividend			Sold	02/11/20	L		
43. --Invesco Aerospace	C	Dividend	M	T					
44. --Wisdomtree US Midcap		None			Sold	06/20/20	K		
45. --IShares Edge MSCI MID VOL	B	Dividend	L	T					
46. --Vanguard Growth Index Fund	A	Dividend	J	T					
47. --Total Stock Mrt Index Adm	A	Dividend	J	T					
48. --Berkshire BK CD	C	Interest	M	T					
49. --BMW BK CD	B	Interest	M	T					
50. --Sally Mae BK CD	C	Interest	M	T					
51. --Ally Bank CD	B	Interest	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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Name of Person Reporting

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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)
52. --Morgan Stanley PVT BK CD	C	Interest	M	T					
53. --Goldman Sachs BK CD	A	Interest	K	T					
54. --Goldman Sachs BK CD	B	Interest	L	T					
55. --Sallie Mae BK CD	A	Interest			Redeemed	01/20/20	M		
56. --Discover Bank CD	B	Interest			Redeemed	02/10/20	M		
57. --American Express Bank CD	B	Interest	L	T					
58. --Verizon Communications	C	Dividend	L	T					
59. --Bank of America NA cash-equivalent	A	Interest	K	T					
60. --Pepsico common stock	B	Dividend	L	T					
61. --Yum Brands common stock	A	Dividend	K	T					
62. --Yum China Holdings, Inc	A	Dividend	J	T					
63. --Invesco OPNHMR Global	A	Dividend	J	T					
64. --Motorola Solutions	A	Dividend	J	T					
65. --Vodafone common stock	A	Dividend	J	T					
66. --Blackrock Global Mutual Fund	A	Dividend	M	T					
67. --Wal-Mart common stock	A	Dividend	L	T					
68. --Invesco QQQ	A	Dividend	M	T					

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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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☐ NONE (No reportable income, assets, or transactions.)

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69. --IShares Russell 1000	B	Dividend	M	T					
70. --IShares Russell Midcap	A	Dividend	M	T					
71. --IShares S&P Smallcap 500	A	Dividend	L	T					
72. --IShares Edge MSCI Qual	B	Dividend	M	T					
73. --Vanguard Small Cap Value	A	Dividend	K	T					
74. --Vanguard Value ETF	C	Dividend	M	T					
75. --Vanguard Dividend Appreciation ETF	B	Dividend	M	T					
76. --Vanguard Mid-Cap Val Idx	C	Dividend	M	T					
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 cash-equivalent	C	Interest	M	T					
81. IRA #2 (H)									
82. --Vanguard Total Bond Mkt	A	Dividend	K	T					
83. --Vanguard Total Intl. Bond	A	Dividend	K	T					
84. --Vanguard Total Int Stock	C	Dividend	M	T					
85. --Vanguard TTL STK MKT	B	Dividend	M	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.)

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86. --Invesco Premium US Government MNY?	A	Interest	J	T					
87. --Morgan Stanley Bank cash-equivalent	A	Interest	J	T					
88. IShares Global Tech	A	Dividend	L	T					
89. Invesco Buy Back	A	Dividend	K	T					
90. Vanguard Value	B	Dividend	L	T					
91. Vanguard Growth	A	Dividend	L	T					
92. Vanguard FTSE Allworld	A	Dividend	K	T					
93. Allianz Annuity (fixed rate)	E	Distribution	K	T					
94. IShares Core S&P Small	A	Dividend	K	T					
95. IShares 1-3 year	B	Dividend	M	T					
96. SPDR S&P mid-cap 400	A	Dividend	K	T					
97. SPDR S&P 500	A	Dividend	L	T					
98. Vanguard FTSE Emerging	A	Dividend	K	T					
99. Vanguard Dividend Appreciation ETF	B	Dividend	L	T					
100. First TR NASQ100	A	Dividend	M	T					
101. Invesco S&P 500 Equal	A	Dividend	K	T					
102. IShares Core S&P small	A	Dividend	L	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

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103. IShares Russell mid-cap	A	Dividend	K	T					
104. IShares MSCI EAFE	A	Dividend	J	T					
105. IShares Global Tech	A	Dividend	L	T					
106. IShares 1-3 year	B	Dividend	M	T					
107. IShares MSCI Emerging	A	Dividend	J	T					
108. IShares Russell 2000	A	Dividend	K	T					
109. Invesco Buy Back	A	Dividend	L	T					
110. SPDR S&P mid-cap 400	A	Dividend	L	T					
111. SPDR S&P 500	B	Dividend	L	T					
112. Vanguard Value	B	Dividend	L	T					
113. Vanguard Growth	B	Dividend	M	T					
114. Vanguard FTSE Emerging	A	Dividend	K	T					
115. Vanguard Dividend	B	Dividend	M	T					
116. Vanguard FTSE All World	A	Dividend	K	T					
117. Vanguard FTSE Developed	A	Dividend	K	T					
118. Invesco QQQ Trust	A	Dividend	L	T					
119. Invesco S&P 500 Quality	A	Dividend	K	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

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120. MidFirst Bank CD	C	Interest			Redeemed	08/10/20	M		
121. Marcus by Goldman Sacks CD	A	Interest	L	T	Buy	08/07/20	K		
122. MidFirst Bank MM	A	Interest	M	T	Open	08/10/20	M		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

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(See Column C2)

A =\$1,000 or less

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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

Bolton, Susan R.

Date of Report

04/26/2021

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.

FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

Bolton, Susan R.

Date of Report

04/26/2021

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