

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) 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 01/01/2020 to 12/31/2020
	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. 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.					

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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.		

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. General Money Market Fund Class BDreyfus Corp.	A	Interest	J	T					
2. PLDPX PIMCO Fund Class 1-2	A	Dividend	J	T	Buy	03/26/20	J		
3. New World Fund Class F-2	A	Dividend	J	T					
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)	A	Dividend	K	T					
10. FTEJX Fidelity Advisor Total Emerging Market Class I	A	Dividend	J	T					
11. Hartford Core Equity Fund Class A	A	Dividend	K	T					
12. HWDIXHarfrod Schroders World Bond Cap Class I	A	Dividend	J	T					
13. ORSYX Invesco Short Term Class Y	A	Dividend	J	T					
14. IShares TR Core S&P Mid-Cap ETF	B	Dividend	L	T					
15. IVV IShares TR Core S&P 500 ETF	A	Dividend	J	T					
16. JHEQX JP Morgan Hedged	A	Dividend	J	T					
17. MAPTX Mathews Pacific Tiger Fund Invest	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

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. MRBIX MFS Total Return Bond	B	Dividend	L	T					
19. MFAIX MSIF Inte'l Advantage Fund Class I	A	Dividend	J	T					
20. PSDYX Putnam Short Duration Class Y	A	Dividend	K	T					
21. SPDR SER TR Bloomberg Barclays	A	Dividend	J	T					
22. U.S. Dollar Currency Northwest Mutual	A	Dividend	J	T					
23. VGISX Virtus Duff & Phelps Global Real Estate Fund Class I	A	Dividend	K	T					
24. WGROXWasatch Core Growth Fund	A	Dividend	J	T					
25. SPDR SER TR SPDR Bloomberg Barklays	B	Dividend	L	T					
26. FBTIX Fidelity Advisor Biotech	A	Dividend	K	T					
27. PSDYX Putnam Ultra Short	A	Dividend	K	T					
28. CPODX Morgan Stanley Insight Fund	A	Dividend	J	T	Buy	05/29/20	J		
29. EILTX EV Tabs 5 to 15 Year Ladder Municipal Bond Fund Class I	A	Dividend	J	T	Buy (add'l)	08/25/20	J		
30. HLGFX JPMorgan Limited Duration Bond Fund Class I	A	Dividend	J	T	Buy	12/29/20	J		
31. MATFX Matthews ASIA Innovators Fund Investor Class	A	Dividend	J	T	Buy	10/19/20	J		
32. MLVEX BMO Low Volatility Equity Fund Class I	A	Dividend	J	T	Buy	02/19/20	J		
33.					Buy (add'l)	02/28/20	J		
34.					Buy (add'l)	03/06/20	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

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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)
35.									
36.									
37. ORNYX Invesco Oppenheimer Rochester High Yield Fund Class Y	A	Dividend	J	T	Buy	06/04/20	J		
38.					Buy (add'l)	08/25/20	J		
39. ORNYX Rochester Municipal Opportunities Fund Class Y	A	Dividend	J	T					
40. ORSYX Invesco Short Term Municipal Fund Class Y	A	Dividend	J	T	Buy	03/26/20	J		
41.					Buy (add'l)	06/04/20	J		
42.					Buy (add'l)	08/28/20	J		
43. PICMX Virtus Kar Mid-Cap Growth Fund Class I	A	Dividend	J	T	Buy	05/29/20	J		
44.					Buy (add'l)	06/08/20	J		
45.					Buy (add'l)	08/25/20	J		
46.					Buy (add'l)	11/11/20	J		
47. PLDPX Pimco Low Duration Fund Class 1-2	A	Dividend	J	T	Buy	03/26/20	J		
48.					Buy (add'l)	05/29/20	J		
49.					Buy (add'l)	10/19/20	J		
50.					Buy (add'l)	12/29/20	J		
51. SCCIX Carillon Reams Core Bond Fund Class I	A	Dividend	J	T	Buy	05/29/20	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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	(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.					Buy (add'l)	06/08/20	J		
53.					Buy (add'l)	10/19/20	J		
54.					Buy (add'l)	12/29/20	J		
55. TCTHX TIAA-Cref Short Term Bond Fund Advisor Class	A	Dividend	J	T	Buy	03/26/20	J		
56.					Buy (add'l)	04/06/20	J		
57.					Buy (add'l)	05/29/20	J		
58.					Buy (add'l)	12/29/20	J		
59. WCMEX WCM Focused Emerging Markets FD Institutional Class	A	Dividend	J	T	Buy	05/29/20	J		
60.					Buy (add'l)	06/09/20	J		
61.					Buy (add'l)	12/29/20	J		
62.					Buy (add'l)	12/30/20	J		
63. AGG Ishares TR Core U.S. Aggregate BD ETF	A	Dividend	J	T					
64. BCSSX Brown Capital Management Company Fund Inst. Class	A	Dividend	J	T					
65. EFV Ishares TR MSCI Eafevalue ETF	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. SMDIX Hartford Schroeders U.S. Mid Cap Opportunities 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	
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.)

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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)
69.									
70.									
71.									
72.									
73.									
74.									
75.									
76.									
77.									
78.									
79.									
80.									
81.									
82.									

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

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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/ **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