

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 12/17/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Managing member	Organizational Diagnostics LLC (company)
2.	Trustee	Trust #1
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. 1989	Arizona Elected Officials Retirement Plan (pension plan from prior employment as a state court judge)
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

Bolton, Susan R.

Date of Report

12/17/2014

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. 2013	Arizona Elected Officials Retirement Plan	\$58,820.00
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. 2013	Organizational Diagnostics, L.L.C. - earnings
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.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

Bolton, Susan R.

Date of Report

12/17/2014

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.			
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.	Sonoma National Bank, CA	Mortgage on one-half interest in office condominium (Pt. VII line 12)	J
2.	Merrill Lynch Single Premium Life	Cash value loan	K
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Bolton, Susan R.

Date of Report

12/17/2014

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. IBM common stock	C	Dividend	M	T					
2. FIA Card Services	A	Interest	M	T					
3. Bank of America	A	Interest	L	T					
4. Merrill Lynch Single Premium Life-Insurance		None	J	T					
5. Philadelphia Life Insurance Company-Insurance (see part VIII)					Closed		J		
6. U.S. Savings Bonds		None	O	T					
7. Virtus Balanced Fund	A	Dividend	K	T					
8. ML Retirement Plus-Annuity		None	M	T					
9. Transamerica Landmark Annuity		None	L	T					
10. Allianz Franklin-Annuity		None	K	T					
11. Office condo-1/2 Int-Phx,AZ ('94 60,000-'04 30,000)	D	Rent	M	R					
12. Merrill Lynch Basic Retirement Plan-Profit Sharing (see part VIII)									
13. Merrill Lynch Basic Retirement Plan-Money Purchase(see part VIII)									
14. Merrill Lynch IRA (FGB) (see part VIII)									
15. Fidelity Equity Dividend Income Fund	A	Dividend	K	T					
16. Fidelity Magellan mutual fund	A	Dividend	K	T					
17. Fidelity Value mutual fund	A	Dividend	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 H ~\$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	P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

Name of Person Reporting

Bolton, Susan R.

Date of Report

12/17/2014

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)

18. Fidelity Asset Manager mutual fund	A	Dividend	K	T					
19. Fidelity Puritan mutual fund	A	Dividend	K	T					
20. Janus Balanced mutual fund	A	Dividend	J	T					
21. Vanguard Growth Index Fund	A	Dividend	J	T					
22. Vanguard 500 Index Fund	A	Dividend	K	T					
23. Vanguard Prime Cap Fund	A	Dividend	J	T					
24. Vanguard Life Strategy Growth Fund	A	Dividend	J	T					
25. Vanguard IRA	A	Dividend & I	J	T					
26. --Total Stock Market Index Fund									
27. --Growth Index Fund									
28. Vanguard IRA	A	Dividend	J	T					
29. --Total Stock Market Fund									
30. Illinois DFA zero coupon Muni Bond		None	L	T					
31. Ten acres, Oroville, CA (1972, \$5,000)		None	J	R					
32. Arizona Elected Officials Retirement Plan	F	pension	M	T					
33. Arizona State Retirement System(see part VIII)		None	N	T					
34. Keyport Keyannuity		None	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 11

Name of Person Reporting

Bolton, Susan R.

Date of Report

12/17/2014

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)

35. Keyport Keyannuity		None	L	T					
36. IRA #1 (formerly listed as Merrill Lynch IRA(SRB))	D	Dividend & I	N	T					
37. --JPMorgan Chase CD					Redeemed	01/31/13	K		
38. --BMO Harris Bank CD					Redeemed	02/13/13	J		
39. --Capital One CD					Redeemed	03/27/13	J		
40. --Sallie Mae Bank CD					Redeemed	05/13/13	J		
41. --Goldman Sachs Bank CD									
42. --Discover Bank CD									
43. --US Treasury Inflation Note					Redeemed	04/15/13	L		
44. --FIA Card Services NA									
45. --Bank of America NA(X)									
46. --US Treasury zero coupon bond					Redeemed	11/15/13	L		
47. --Huntington National Bank CD					Redeemed	10/08/13	L		
48. --Pepsico common stock									
49. --Yum Brands common stock									
50. --Oppenheimer Income Trust mutual fund									
51. --JPMorgan Chase CD					Redeemed	01/31/13	K		

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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 11

Name of Person Reporting

Bolton, Susan R.

Date of Report

12/17/2014

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)
52. --Discover Bank CD					Redeemed	04/15/13	J		
53. --Key Bank CD					Redeemed	04/15/13	J		
54. --GE Cap Retail Bank CD									
55. --Goldman Sachs Bank CD									
56. --US Treasury Inflation Notes (1 remains, 1 redeemed)					Redeemed (part)	07/15/13	K		
57. --American Express Cent. Bank CD									
58. --Goldman Sachs Bank CD									
59. --Sallie Mae Bank CD									
60. --American Ex Centurian CD									
61. --Motorola Solutions									
62. --GE CAP Retail Bank CD									
63. --GE CAP Retail Bank CD									
64. --Discover Bank CD									
65. --Vodafone common stock									
66. --Blackrock Global Mutual Fund									
67. --BMW Bank CD									
68. --GE Capital Bank CD									

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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 11

Name of Person Reporting

Bolton, Susan R.

Date of Report

12/17/2014

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)
69. --GE Capital Bank CD									
70. --GE Capital Bank CD									
71. --GE Capital Bank CD									
72. --CIT Bank CD					Redeemed	07/01/13	K		
73. --BMW Bank CD					Redeemed	04/24/13	J		
74. --Sallie Mae Bank CD					Redeemed	05/13/13	J		
75. --CIT Bank CD					Redeemed	03/04/13	J		
76. --GE Capital Bank CD					Redeemed	10/02/13	J		
77. --GE Capital Bank CD									
78. --Goldman Sachs Bank CD									
79. --US Treasury Inflation Note					Redeemed	04/15/13	J		
80. --US Treasury zero coupon bond					Redeemed	11/15/13	L		
81. --Wal-Mart common stock									
82. Mid-First Bank CD	A	Interest			Closed	07/02/13	K		
83. Mid-First Bank CD	A	Interest			Closed	08/12/13	L		
84. U.S. Savings Bonds		None	K	T					
85. U.S. Savings Bonds		None	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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 11

Name of Person Reporting

Bolton, Susan R.

Date of Report

12/17/2014

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)

86. US Savings Bonds		None	K	T					
87. Bank of America Dep Account Preferred	A	Interest	N	T					
88. IRA #2	A	Interest	M	T	Open	09/13/13			
89. --Morgan Stanley Bank									
90. Trust #1 (see part VIII)	B	Interest	P1	T					
91. --AVIVA Life & Annuity #1									
92. --AVIVA Life & Annuity #2									
93. --AVIVA Life & Annuity #3									
94. --Real Estate - Sunnyvale, CA									
95. --Bank of America									
96. --Capital One Bank									
97. --Wells Fargo Bank									
98. --Lincoln Financial Life Insurance									
99. --Allianz Annuity									
100. --California STRS									
101. --Principal Financial Group Annuity									
102. --Sun America Annuity									

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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 11

Name of Person Reporting

Bolton, Susan R.

Date of Report

12/17/2014

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

Part VII, line 5: The surrender of this life insurance policy (closed 7/25/06) was inadvertently omitted.

Part VII, lines 12, 13 and 14: The assets previously reported on these accounts are now held in the account on line 36.

Part VII, line 88: Upon the death [REDACTED] I became the trustee of this trust.

Part VII, line 33: The Arizona State Retirement System is the pension system operated by the State of Arizona not a retirement account over which I have investment control. I am unaware of the investments that are within this multi billion dollar retirement system.

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Bolton, Susan R.

Date of Report

12/17/2014

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