AO 10
Rev. 1/2021

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2022

*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) | 2. Court or Organization | 3. Date of Report |
|---|---|---|
| Humetewa, Diane J. | U.S. District Court, Arizona | 06/27/2023 |
| **4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)** | **5a. Report Type (check appropriate type)** | **6. Reporting Period** |
| Active | ☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☐ Amended Report | 01/01/2022<br>**to**<br>12/31/2022 |
| **7. Chambers or Office Address** | | |
| U.S. District Court for the District of Arizona<br>Sandra Day O'Connor U.S. Courthouse<br>401 W. Washington, St. Suite 625 SPC 81<br>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.)*

| | 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. | | |
| 2. | | |
| 3. | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Humetewa, Diane J.** | 06/27/2023 |

## 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.)*

| | DATE | SOURCE AND TYPE | INCOME (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.)*

| | DATE | SOURCE AND TYPE |
|---|---|---|
| 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.)*

| | SOURCE | DATES | LOCATION | PURPOSE | ITEMS PAID OR PROVIDED |
|---|---|---|---|---|---|
| 1. | | | | | |
| 2. | Bringham Young University College of Law | November 15-16 2022 | Law College Campus, Provo Utah | Guest speaker | round-trip airfare, lodging, transportation costs |
| 3. | | | | | |
| 4. | | | | | |
| 5. | | | | | |

## 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. | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Humetewa, Diane J.** | 06/27/2023 |

## 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 (1) Amount Code 1 (A-H) | B. (2) Type (e.g., div., rent, or int.) | C. Gross value at end of reporting period (1) Value Code 2 (J-P) | C. (2) Value Method Code 3 (Q-W) | D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption) | D. (2) Date mm/dd/yy | D. (3) Value Code 2 (J-P) | D. (4) Gain Code 1 (A-H) | D. (5) Identity of buyer/seller (if private transaction) |
|---|---|---|---|---|---|---|---|---|---|
| 1. Feneral Money Market Fund Class | A | Dividend | J | T | | | | | |
| 2. PLDPX PIMCO Fund Class 1-2 | A | Dividend | J | T | | | | | |
| 3. Bank of America | A | Interest | L | T | | | | | |
| 4. First Federal Credit Union | A | Interest | L | T | | | | | |
| 5. Northwest Mutual Whole Life Insur. | C | Dividend | M | T | | | | | |
| 6. IUSB IShares Core S&P Mid Cap ETF | A | Dividend | J | T | | | | | |
| 7. IVV IShares Core S&P 500ETF | B | Dividend | J | T | Buy (add'l) | 6/8/22 | J | | |
| 8. FTEJX Fidelity Advisor Total Emerging Market Class I | A | Dividend | J | T | | | | | |
| 9. HGIX Hartford Core Equity Fund Class A | A | Dividend | | | Sold | 2/10/22 | J | | |
| 10. HWDIXHarfrod Schroders World Bond Cap Class I | A | Dividend | J | T | | | | | |
| 11. ORSYX Invesco Short Term Class Y | A | Dividend | J | T | | | | | |
| 12. JHEQX JP Morgan Hedged | A | Dividend | J | T | | | | | |
| 13. U.S. Dollar Currency | A | Dividend | J | T | | | | | |
| 14. VGISX Virtus Duff & Phelps Global Real Estate Fund Class I | A | Dividend | | | Sold | 2/2/22 | J | | |
| 15. WGROXWasatch Core Growth Fund | A | Dividend | | | Sold | 6/6/22 | J | | |
| 16. PSDYX Putnam Ultra Short | A | Dividend | | | Sold | 2/2/22 | J | | |
| 17. CPODX Morgan Stanley Insight Fund | A | Dividend | | | Sold | 6/6/22 | J | | |

1. Income Gain Codes: (See Columns B1 and D4) — A =$1,000 or less; B =$1,001 - $2,500; C =$2,501 - $5,000; D =$5,001 - $15,000; E =$15,001 - $50,000; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000
2. Value Codes (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; N =$250,001 - $500,000; O =$500,001 - $1,000,000; P1 =$1,000,001 - $5,000,000; P2 =$5,000,001 - $25,000,000; P3 =$25,000,001 - $50,000,000; P4 =More than $50,000,000
3. Value Method Codes (See Column C2) — Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

| Name of Person Reporting | Date of Report |
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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 (1) Amount Code 1 (A-H) | B. (2) Type (e.g., div., rent, or int.) | C. Gross value at end of reporting period (1) Value Code 2 (J-P) | C. (2) Value Method Code 3 (Q-W) | D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption) | D. (2) Date mm/dd/yy | D. (3) Value Code 2 (J-P) | D. (4) Gain Code 1 (A-H) | D. (5) Identity of buyer/seller (if private transaction) |
|---|---|---|---|---|---|---|---|---|---|
| 18. EILTX Parametric Tabs 5-15 Year Ladder Municipal Bond Fund Class 1 | A | Dividend | | | Sold | 04/19/22 | J | | |
| 19. MATFX Matthews ASIA Innovators Fund Investor Class | A | Dividend | | | Sold | 06/06/22 | J | | |
| 20. ?MLVEX BMO Low Volatility Equity Fund Class I | A | Dividend | | | Sold | 03/11/22 | J | | |
| 21. ORNYX Rochester Municipal Opportunities Fund Class Y | A | Dividend | J | T | | | | | |
| 22. SCCIX Carillon Reams Core Bond Fund Class I | A | Dividend | | | Sold | 06/06/22 | J | | |
| 23. WCMEX WCM Focused Emerging Markets FD Institutional Class | A | Dividend | | | Sold | 06/06/22 | J | | |
| 24. FDRXX Fidelity Government Cash Reserves | A | Dividend | J | T | | | | | |
| 25. DODGX Dodge & cox Stock | A | Dividend | | | Sold | 06/06/22 | J | | |
| 26. DODFX Dodge & Cox Intr'l Stock Fund | A | Dividend | J | T | | | | | |
| 27. MFAIX Morgan Stanely Int'l Advantage Class 1 | A | Dividend | J | T | | | | | |
| 28. PRISX TRowe Price Financial Services | A | Dividend | | | Sold | 03/24/22 | J | | |
| 29. HGIIX Hartford Core Equity Class I | A | Dividend | | | Sold | 02/22/22 | J | | |
| 30. BGSIX Blackrock Tech Opportunities Fund | A | Dividend | | | Sold | 06/03/22 | J | | |
| 31. IEMG IShares Inc Core MSCI Emerging Mkts ETF | A | Dividend | | | Sold | 02/24/22 | J | | |
| 32. BIMBX Blackrock Systems Multi-Strategy Fund | A | Dividend | J | T | Buy | 12/15/22 | J | | |
| 33. MMIIX MFS Municipal High Income Fund Class 1 | A | Dividend | J | T | Buy | 11/10/22 | J | | |
| 34. RAPIX Cohen & Stears Real Asset Fund CL 1 | A | Dividend | J | T | Buy | 11/03/22 | J | | |

| | | | | | |
|---|---|---|---|---|---|
| 1. Income Gain Codes: (See Columns B1 and D4) | A =$1,000 or less | B =$1,001 - $2,500 | C =$2,501 - $5,000 | D =$5,001 - $15,000 | E =$15,001 - $50,000 |
| | F =$50,001 - $100,000 | G =$100,001 - $1,000,000 | H1 =$1,000,001 - $5,000,000 | H2 =More than $5,000,000 | |
| 2. Value Codes (See Columns C1 and D3) | J =$15,000 or less | K =$15,001 - $50,000 | L =$50,001 - $100,000 | M =$100,001 - $250,000 | |
| | N =$250,001 - $500,000 | O =$500,001 - $1,000,000 | P1 =$1,000,001 - $5,000,000 | P2 =$5,000,001 - $25,000,000 | |
| | P3 =$25,000,001 - $50,000,000 | | P4 =More than $50,000,000 | | |
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|---|---|---|---|---|---|---|---|---|---|
| 35. VLUE IShares TRMSCI | A | Dividend | J | T | Buy | 06/08/22 | J | | |
| 36. SCHV Schwab U.S. Large Cap Value ETF | A | Dividend | J | T | Buy | 06/08/22 | J | | |
| 37. SCHG Schwab U.S. Large Cap Growth ETF | A | Dividend | J | T | Buy | 06/08/22 | J | | |
| 38. MMIT INDEXIQ Active ETF IQ Mackay | A | Dividend | J | T | Buy | 08/15/22 | J | | |

| | | | | | |
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| | U =Book Value | V =Other | W =Estimated | | |

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

| Name of Person Reporting | Date of Report |
|---|---|
| **Humetewa, Diane J.** | 06/27/2023 |

## 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
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Washington, D.C. 20544