

United States District Court
District of Arizona
Sandra Day O'Connor United States Courthouse
Phoenix, Arizona 85003

RECEIVED
AUG 25 2004

Chambers of
Robert C. Brownfield
Senior United States District Judge

FINANCIAL
DISCLOSURE OFFICE

Hon. Mary M. Lisi, Chair
Committee on Financial Disclosure
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544

Dear Judge Lisi:

With regard to your letter of July 2, 2004, this letter is intended as a response and amendment to my 2003 Financial Disclosure Report. I list the responses in the order in which you list them in your letter.

As to Part VII, page 1, line 8, this probably could fairly be considered a gift from [REDACTED] but I prefer to include it in Column D. It is a [REDACTED] tenancy interest acquired on October 22, 2003 from [REDACTED] with a code value of K and a gain code of A.

As to Part VII, page 1, line 7, this account was mistakenly included. It should have been listed as a part of number 3 (see instructions page 37, number 2, second bullet).

As to Part VII, page 1, line 2, the sale was to Allen L. and Emily S. Lacy, husband and wife.

As to Part VII, page 1, line 2 and page 2, line 36, the Farmland - McClain County, OK was entirely disposed of on October 1, 2003 as noted in the preceding paragraph. The code value for Column D(3) is N. The Mobile Mini, Inc. in Trust #2 was entirely disposed of and the code value was listed in Column D(3).


As to Part VII, page 1, line 2, Column C(2) the Farmland - McClain County, OK listed the value code as "T" because it was sold for cash. Since there was an appraisal for the buyer's financing purposes, I guess "Q" is as good as anything so I'll use it even though "T" seems more accurate.

July 26, 2004
Page Two

As to Part VII, page 1, line 8, Column C(2), as I have indicated above, the appraisal was obtained by the buyer. We do not have a copy of it (nor were we entitled to one) and we think it was obtained some time in September or October, 2003.

As you requested, two additional copies of this response are attached.

RCB:lp
Enclosures



AO-10

Rev. 1/2004

FINANCIAL DISCLOSURE REPORT

Calendar Year 2003

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

| | | |
|--|---|---|
| 1. Person Reporting (Last name, First name, Middle initial) Broomfield, Robert C | 2. Court or Organization U S District Ct District of AZ | 3. Date of Report 5/3/2004 |
| 4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge - Senior Status | 5. ReportType (check appropriate type) <input type="radio"/> Nomination, Date _____ <input type="radio"/> Initial <input checked="" type="radio"/> Annual <input type="radio"/> Final | 6. Reporting Period 1/1/2003 to 12/31/2003 |
| 7. Chambers or Office Address Sandra Day O'Connor U. S. C'ths 401 W. Washington, SPC 61 Phoenix, AZ 85003-2158 | 8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____ | |

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. Sign on last page.

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)☐ **NONE** - (No reportable positions.)POSITIONNAME OF ORGANIZATION/ENTITY

1. Partner

OCTOGON (ownership of condominium)

2. Co-Trustee

Trust #1

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)☒ **NONE** - (No reportable agreements.)DATEPARTIES AND TERMS

1.

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FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

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5/3/2004

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.)DATESOURCE AND TYPEGROSS INCOME

(yours, not spouse's)

1. 2003

State of Arizona - Arizona Judges Retirement

\$25,041.60

B. Spouse's Non-Investment Income - (If you were married during any portion of the reporting year, please complete this section. (dollar amount not required except for honoraria)☒ **NONE** - (No reportable non-investment income.)DATESOURCE AND TYPE

1.

IV. REIMBURSEMENTS - transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

☒ **NONE** - (No such reportable reimbursements.)SOURCEDESCRIPTION

1.

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V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of instructions.)☒ **NONE** - (No such reportable gifts.)SOURCEDESCRIPTIONVALUE

1.

VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-34 of instructions.)☐ **NONE** - (No reportable liabilities.)CREDITORDESCRIPTIONVALUE CODE

1. Chase Manhattan Mortgage Corp.

Mortgage - Phoenix, Arizona (Part VII, Line 8)

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VII. INVESTMENTS and TRUSTS - income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

| 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, merger, redemption) | If not exempt from disclosure | | | |
| | | | | | | (2) Date: Month - Day | (3) Value Code 2 (J-P) | (4) Gain Code 1 (A- H) | (5) Identity of buyer/seller (if private transaction) |
| <input type="checkbox"/> NONE (No reportable income, assets, or transactions) | | | | | | | | | |
| 1. Farmland - McClain County, OK | C | Rent | N | W | | | | | |
| 2. Farmland - McClain County, OK | | None | N | T | sale | 10/1 | N | G | |
| 3. Wells Fargo Money Market, Phoenix, AZ | A | Interest | N | T | | | | | |
| 4. Pruco Life Variable Appreciable Policy | C | cash valu Inc | K | T | | | | | |
| 5. Mineral Interests - Grady County, OK | | None | J | W | | | | | |
| 6. Mineral Interests - Stephens County, OK | | None | J | W | | | | | |
| 7. Wells Fargo Bank - money market, Phoenix, AZ | A | Interest | J | T | | | | | |
| 8. Investment Property - Phoenix, AZ | A | Rent | L | Q | | | | | |
| 9. I am successor trustee of Trust #2 having following assets: | | | | | | | | | |
| 10. Arizona Business Bank - Cash and two CD's | E | Interest | P1 | T | | | | | |
| 11. Interest in Bell Grande Limited Partnership, Scottsdale, AZ | F | Distribution | O | W | | | | | |
| 12. Interest in Bell Grande II Ltd Partnership, Scottsdale, AZ | G | Distribution | O | W | | | | | |
| 13. Interest in Val Vista & W.F.Rd. Ltd Partnership, Scottsdale, AZ | | None | O | W | | | | | |
| 14. Interest in Suncrest at RMI Ltd Partnership, Phoenix, AZ | B | Distribution | K | W | | | | | |
| 15. House and lot - Phoenix, AZ | | None | O | Q | | | | | |
| 16. Furniture and Furnishings at previously listed asset | | None | J | W | | | | | |
| 17. COBIZ-Colorado Business Bank - common stock | C | Dividend | O | T | | | | | |
| 18. Great Hall Investment Funds | A | Dividend | O | T | | | | | |

| | | | | | |
|-------------------------|--------------------------------|-----------------------------|-------------------------------|-------------------------------|-----------------------|
| 1. Income/Gain Codes: | 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 |
| (See Columns B1 and D4) | 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: | J = \$15,000 or less | K = \$15,001-\$50,000 | L = \$50,001-\$100,000 | M = \$100,001-\$250,000 | |
| (See Columns C1 and D3) | N = \$250,000-\$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 | Q = Appraisal | R = Cost (Real Estate Only) | S = Assessment | T = Cash/Market | |
| (See Column C2) | U = Book Value | V = Other | W = Estimated | | |

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| | (1) | (2) | (1) | (2) | (1) | If not exempt from disclosure | | | |
| | 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, merger, redemption) | (2) Date: Month - Day | (3) Value Code 2 (J-P) | (4) Gain Code 1 (A- H) | (5) Identity of buyer/seller (if private transaction) |
| 19. Autozone, Inc. | | None | | | sale | 11/26 | K | D | |
| 20. Bank One | B | Dividend | L | T | | | | | |
| 21. Closure Medical Corp | | None | | | Sale | 12/9 | L | E | |
| 22. Coca-Cola Company | A | Dividend | J | T | | | | | |
| 23. Colgate Palmolive Co. | A | Dividend | | | Sale | 11/26 | K | D | |
| 24. Dycom Industries, Inc. | | None | K | T | | | | | |
| 25. ETI Expertise Tech Innovation | | None | J | T | | | | | |
| 26. Extended Systems, Inc. | | None | | | Sale | 10/29 | J | | |
| 27. General Electric Co. | A | Dividend | | | Sale | 10/13 | K | D | |
| 28. Global Crossing Ltd | | None | J | T | | | | | |
| 29. Global Light Telecom, Inc. | | None | J | T | | | | | |
| 30. Harley Davidson, Inc. | A | Dividend | | | Sale | 12/3 | K | E | |
| 31. Harrington West FINL Group, Inc. | A | Dividend | | | Sale | 9/24 | J | C | |
| 32. Intel Corp | A | Dividend | | | Sale | 12/9 | K | D | |
| 33. Johnson & Johnson | A | Dividend | | | Sale | 12/3 | K | D | |
| 34. Medtronic, Inc. | A | Dividend | | | Sale | 10/3 | L | E | |
| 35. Microsoft Corporation | A | Dividend | | | Sale | 10/24 | K | E | |
| 36. Mobile Mini, Inc. | | None | L | T | Sale | 12/19 | K | | |

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|---|---|--------------------------------------|---|------------------------------------|--|--------------------------------|---------------------------------|------------------------------------|---|
| | (1) | (2) | (1) | (2) | (1) | If not exempt from disclosure | | | |
| | 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, merger, redemption) | (2) Date: Month - Day | (3) Value Code 2 (J-P) | (4) Gain Code 1 (A- H) | (5) Identity of buyer/seller (if private transaction) |
| 37. Novavax, Inc. | | None | K | T | | | | | |
| 38. ABD Systems Intl, Ltd. | | None | J | T | | | | | |
| 39. Bluestar Battery Sys Intl Corp | | None | J | T | | | | | |
| 40. Highpoint Telecom, Inc. | | None | J | T | | | | | |
| 41. Oppenheimer Gbl Opport-A | | None | K | T | | | | | |
| 42. Oppenheimer Global-A | A | Dividend | K | T | | | | | |
| 43. Putnam Europe Equity-A | | None | | | Sale | 10/30 | J | | |
| 44. Putnam Intl Equity-A | | None | | | Sale | 10/30 | J | | |
| 45. AIM Invesco Tech II | | None | J | T | | | | | |
| 46. AIM Invesco European | A | Dividend | J | T | | | | | |

| | | | | | |
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS

(Indicate part of Report.)

VII. I am the successor trustee of Trust #2 which has substantial assets. I am a beneficiary of a specific, future, yet undistributed bequest with a future year value code of K. With this minor exception, NONE of this property is now or ever will be mine, nor will I ever benefit from these assets, nor will [REDACTED]. All of these stocks and money market funds are managed by a national brokerage house.

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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. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature

Date

May 3, 2004

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544