AO 10
Rev. 1/2015

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2014

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
SCHROEDER, MARY M.	U.S. COURT OF APPEALS - 9TH CIRCUIT	04/29/2015
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**
SENIOR CIRCUIT JUDGE	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2014 **to** 12/31/2014

7. Chambers or Office Address

U.S. COURTHOUSE, SUITE 610
401 W. WASHINGTON, SUITE 610
MAIL SPACE 54
PHOENIX, ARIZONA 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.	COUNCIL MEMBER	AMERICAN LAW INSTITUTE
2.	TRUSTEE	TRUST #1
3.	ADVISORY BOARD MEMBER	LOWELL OBSERVATORY
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.		

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.	2014	MATTHEW BENDER & CO. - BOOK ROYALTY [redacted]
2.	2014	ARIZONA STATE RETIREMENT SYSTEM [redacted]
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.	AMERICAN LAW INSTITUTE	1/15/2014 - 1/18/2014	CHICAGO, IL	SEMINAR	TRANSPORTATION, FOOD, HOTEL
2.	THE UNIVERSITY OF WASHINGTON	2/21/2014 - 2/23/2014	SEATTLE, WA	SPEAKING ENGAGEMENT	TRANSPORTATION, FOOD, HOTEL
3.	THE UNIVERSITY OF ARIZONA	4/17/2014 - 4/18/2014	TUCSON, AZ	MOOT COURT COMPETITION	TRANSPORTATION, FOOD, HOTEL
4.	THE UNIVERSITY OF CHICAGO	4/28/2014 - 4/30/2014	CHICAGO, IL	SPEAKING ENGAGEMENT	TRANSPORTATION, FOOD, HOTEL
5.	AMERICAN LAW INSTITUTE	10/13/2014 - 10/15/2014	NEW YORK, NY	SEMINAR	TRANSPORTATION, FOOD, HOTEL

6.	AMERICAN LAW INSTITUTE	11/12/2014 - 11/14/2014	CHICAGO, IL	SEMINAR	TRANSPORTATION, FOOD, HOTEL

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
SCHROEDER, MARY M.	04/29/2015

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. JP MORGAN CHASE ACCOUNTS	A	Interest	K	T					
2. LINCOLN NAT'L LIFE INSURANCE	A	Interest	J	T					
3. FRANKLIN FUND AZTXFR, INC.	A	Int./Div.	J	T					
4. AZ STATE CREDIT UNION ACCOUNTS	A	Interest	K	T					
5. VALIC ACCOUNTS (H)									
6. - VALIC FIXED PLUS		None			Sold	04/09/14	N		
7. - STRATEGIC BOND		None			Sold	04/09/14	K		
8. DREY MDCAP INDX (NATIONWIDE)	B	Dividend	J	T					
9. TIAA TRADITIONAL (RET. ANN)	E	Interest	O	T					
10. TIAA - CREF (IRA) (H)									
11. - CREF STOCK		None	K	T					
12. - CREF GROWTH		None	K	T					
13. - CREF EQUITY INDEX		None	M	T					
14. -TC GR & INC. - RET	E	Dividend	M	T					
15. -TC MIDCAP GR RET.	E	Dividend	M	T					
16. -TC MIDCAP VAL RET	D	Dividend	M	T					
17. -TIAA REAL ESTATE		None	M	T					

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		

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)
18. - CREF BOND MARKET		None	M	T	Sold (part)	06/02/14	J		
19. - TC HIGHYIELD RET	D	Dividend	L	T	Sold (part)	01/15/14	L		
20.					Sold (part)	06/02/14	J		
21. TIAA - CREF BROKERAGE ACCOUNTS - IRA 2 (H)									
22. - BANK DEPOSITS	A	Interest	J	T					
23. - TLRRX	A	Interest			Buy	02/24/14	K		
24.					Sold	08/25/14	K	A	
25. - DREYFUS GOV PRIME (MONEY MARKET)		None	J	T					
26. - GGUIX	C	Dividend	K	T					
27. - PIMCO EMERGING LOCAL BOND PELBX (formerly PLBDX)	A	Dividend	J	T	Buy (add'l)	01/27/14	J		
28. - TCIEX	A	Dividend	J	T	Sold (part)	01/27/14	J	B	
29. - TILVX	A	Dividend	K	T					
30. - TILIX	A	Dividend	J	T	Sold (part)	01/27/14	J	B	
31. - TBIIX	A	Dividend	K	T					
32. - TIP	A	Dividend	K	T	Sold (part)	01/27/14	J		
33. - IWS	A	Dividend	K	T					
34. - IWR	A	Dividend	J	T					

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

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SCHROEDER, MARY M.	04/29/2015

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. - HYG	B	Dividend	K	T	Buy (add'l)	01/27/14	J		
36. - RWR	A	Dividend	J	T					
37. - BSV	A	Dividend	K	T	Sold (part)	01/27/14	J		
38. - AQMIV AQR MANAGED FUTURES		None	J	T	Buy (add'l)	01/27/14	J		
39.					Buy (add'l)	01/29/14	J		
40. CWC ACCOUNTS #1 (H)									
41. - FIDELITY AZ MUN MYM (FSAXX)	A	Interest	J	T					
42. CWC IRA #1									
43. - CWCFX	A	Dividend	J	T					
44. - CWGDX	A	Dividend	J	T					
45. - FDRXX	A	Interest	J	T					
46. - JAFIX	A	Dividend	J	T					
47. - FATRX	A	Dividend	J	T					
48. CWC IRA #2									
49. - ARVIX		None			Sold	08/15/14	J	B	
50. -AEMSX	A	Dividend	J	T					
51. - YACKX	B	Dividend	K	T	Buy (add'l)	06/04/14	K		

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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52. - CWCFX	A	Dividend	L	T	Buy (add'l)	04/23/14	K		
53.					Sold	12/04/14	J	B	
54. - CWGDX	C	Dividend	L	T	Buy (add'l)	05/01/14	K		
55. - PCBIX	B	Dividend	K	T	Buy (add'l)	06/12/14	J		
56. - HEMZX	A	Dividend	K	T	Buy (add'l)	06/13/14	K		
57.					Sold	12/05/14	J	A	
58. - FEHAX	B	Dividend	K	T	Buy (add'l)	05/01/14	J		
59. - WHIYX	B	Dividend	K	T	Buy (add'l)	06/04/14	J		
60. - JFLEX	B	Dividend	L	T	Buy (add'l)	04/24/14	K		
61. - TGBAX	C	Dividend	L	T	Buy (add'l)	05/02/14	K		
62. - SGENX	B	Dividend	K	T	Buy (add'l)	06/09/14	J		
63.					Buy (add'l)	08/15/14	J		
64. - FDRXX	A	Interest	J	T					
65. - PIMIX	B	Dividend	L	T	Buy (add'l)	04/29/14	K		
66. - TGINX	A	Dividend	K	T	Buy (add'l)	04/28/14	J		
67. - FIJEX	B	Dividend	L	T	Buy (add'l)	04/17/14	L		
68. - HDSIX	A	Dividend	K	T	Buy	08/15/14	K		

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69. CWC ACCOUNTS #2 (H)									
70. - ARVIX		None			Buy (add'l)	01/16/14	J		
71.					Sold	08/15/14	J	A	
72. - AEMSX		None			Sold	04/15/14	J		
73. - YACKX	A	Dividend	K	T	Buy (add'l)	11/14/14	J		
74. - CWCFX	A	Dividend	K	T	Buy (add'l)	01/16/14	J		
75.					Buy (add'l)	05/15/14	J		
76. - CWGDX	C	Dividend	K	T	Buy (add'l)	04/15/14	J		
77. - PEMGX	A	Dividend	K	T	Buy (add'l)	04/15/14	J		
78.					Buy (add'l)	10/06/14	J		
79. - HEMZX	A	Dividend	K	T	Buy (add'l)	04/15/14	J		
80.					Buy (add'l)	10/06/14	J		
81. - SGENX	A	Dividend	J	T	Buy (add'l)	01/15/14	J		
82.					Buy (add'l)	08/15/14	J		
83. - FSAXX	A	Dividend	J	T					
84. - FIJEX	A	Dividend	K	T	Buy (add'l)	09/15/14	J		
85. - JFLEX	A	Dividend	K	T	Buy (add'l)	07/15/14	J		

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

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86. - PONDX	B	Dividend	K	T	Buy (add'l)	06/13/14	J		
87.					Buy (add'l)	12/15/14	J		
88. - TPINX	B	Dividend	K	T	Buy (add'l)	06/13/14	J		
89. - HDPSX	A	Dividend	J	T	Buy	08/18/14	J		

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	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	
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SCHROEDER, MARY M.	04/29/2015

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

PART VII. LINE 21 IS A HEADING TIAA-CRED BROKERAGE ACCOUNS - IRA 2 (H)
Please note that this was formerly Fidelity Brokerage Account #1 from line 27 of the 2013 Disclosure Statement and FidelityBrokerage IRA from line 34 of the 2013 Disclosure Statement

Name of Person Reporting	Date of Report
SCHROEDER, MARY M.	04/29/2015

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/ MARY M. SCHROEDER**

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