



UNITED STATES DISTRICT COURT

District of Arizona

Sandra Day O'Connor U.S. Courthouse, Suite 521
401 W. Washington Street, SPC 48
Phoenix, Arizona 85003-2151

Earl H. Carroll

United States District Judge

Telephone: (602) 322-7530


August 10, 2007

Committee on Financial Disclosure
Administrative Office of the
United States Courts
One Columbus Circle, N.E.,
Washington, D.C. 20544
Attn: Judge Ortrie D. Smith, Chair

RECEIVED
2007 AUG 17 A 10:47
FINANCIAL
DISCLOSURE OFFICE

RE: Your letter of August 2, 2007 - concerning
my 2006 Report

Dear Judge Smith:

Please refer to the following corrections in
response to your questions on page 2 of your letter:

(1) Part VII, page 1, line 6 - change "Putnam
Fund" to "Putnam Growth and Income - Cl-A."

(2) Part VII - page 4, line 3, should read
Windstream - Column D2 - 11/6/06 - Column D-3-J

I trust these changes satisfy your questions.

Sincerely,


Earl H. Carroll

FINANCIAL DISCLOSURE REPORT

FOR CALENDAR YEAR 2006

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) CARROLL, EARL H.		2. Court or Organization DISTRICT COURT - ARIZONA	3. Date of Report 5/10/07
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. DISTRICT COURT JUDGE (SENIOR STATUS)		5a. Report Type (check appropriate type) ____ Nomination, Date _____ ____ Initial ☒ Annual ____ Final	6. Reporting Period 1/1/2006 to 12/31/2006
7. Chambers or Office Address 401 W. WASHINGTON ST. STE. 521 SPC 48 PHOENIX, AZ 85003-2151		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 Instructions.)

POSITION

NAME OF ORGANIZATION/ENTITY



NONE (No reportable positions.)

1

2

3

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of Instructions.)

DATE

PARTIES AND TERMS



NONE (No reportable agreements.)

1

2

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of Instructions.)

DATE

SOURCE AND TYPE

INCOME

A. Filer's Non-Investment Income



NONE (No reportable non-investment income.)

1

\$

2

\$

3

\$

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.)

1

2

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FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

CARROLL, EARL H.

Date of Report

5/10/07**IV. REIMBURSEMENTS** -- transportation, lodging, food, entertainment.*(Includes those to spouse and dependent children. See pp. 25-27 of Instructions.)*SOURCEDESCRIPTION**NONE** (No such reportable reimbursements.)

1

2

3

4

5

6

7

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

1

\$

2

\$

3

\$

4

\$

VI. LIABILITIES. *(Includes those of spouse and dependent children. See pp. 32-33 of Instructions.)*CREDITORDESCRIPTIONVALUE CODE***NONE** (No reportable liabilities.)

1

2

3

4

5

*Value Codes:

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=\$50,000,001 or more

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Date of Report

CARROLL, EARL H.

5/10/07

VII. Page 1 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 34-60 of Instructions.)

A. Description of Assets (including trust assets) <i>Place "(X)" after each asset exempt from prior disclosure</i>	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amt. Code1 (A-H)	Type (e.g., div., rent or int.)	Value Code2 (J-P)	Value Method Code3 (Q-W)	Type (e.g., buy, sell, merger, redemption)	(2) Date: Month- Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions.)									
1 AETNA INC. NEW	A	D	K	+					
2 BANK OF AMERICA	A	I	K	+					
3 J.P. MORGAN CHASE BANK	A	I	K	+					
4 COMDAS BANK	A	I	J	+	CLOSED ACCOUNT 11/1/06				
5 AMERIPRISE	A	D	M	+					
6 PUTNAM FUND	B	D	M	+					
7 ANHEUSER BUSCH COS.	D	D	N	+					
8 NAVISTAR	A	D	J	+					
9 CITIZEN'S UTILITIES	A	D	J	+					
10 ENTERGY CORP.	A	D	J	+					
11 DEVON ENERGY CORP.	A	D	J	+					
12 EXXON MOBIL CORP.	A	D	K	+					
13 IBM	A	D	J	+					
14 MOTOROLA	A	D	L	+					
15 HONEYWELL INT. INC.	A	D	K	+					
16 JP MORGAN CHASE	A	D	J	+					
17 SALT RIVER PROJECT MUNICIPAL BONDS	- NONE -				1/29/04 J A REDEMPTION				

1	Income/Gain Codes: (See Col. B1, 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 Col. C1, 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 Col. C2)	Q=Appraisal U=Book value	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market	

CARROLL, EARL H.

5/10/07

A. Description of Assets (including trust assets) <i>Place "(X)" after each asset exempt from prior disclosure.</i>	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amt. Code1 (A-H)	Type (e.g., div., rent or int.)	Value Code2 (J-P)	Value Method Code3 (Q-W)	Type (e.g., buy, sell, merger, redemption)	(2) Date: Month- Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE									
1 PHOENIX COUNTRY CLUB STOCK	NONE		K	+					
2 NATIONWIDE INS. ANNUITIES	NONE		M	+					
3 JACKSON NATIONAL ANNUITIES	NONE		M	+					
4 U.S. SAVINGS BONDS	NONE		L	+					
5 TAMARACK INV. FDS.	A D		K	+					
6 AXA EQUITABLE IRAs	NONE		M	+					
MINERAL RIGHTS-PEARL RIVER CO.-MISSISSIPPI	NONE		(VALUE UNKNOWN)						
8 LAGANABEACH, CA.	D RENT		L	S	→ (SEE SEC. VII.)				
9 (THE FOLLOWING ARE HELD IN RBC DAIN RAUSCHER IRA ACCOUNT)									
10 -WYETH	B	D	L	+					
11 -A++	A	D	K	+					
12 -VERIZON Comm.	A	D	J	+					
13 -BELL SOUTH CORP.	A	D	K	+					
14 -QUEST Comm.	A	D	J	+	SOLD 11/6	J (SEE SECTION VII.)			
15 -CARLISLE	B	D	M	+					
16 -FMC CORP.	A	D	J	+					
17 -IBM	A	D	K	+					

1	Income/Gain Codes: (See Col. B1, 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 Col. C1, 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 ,000,	M=\$100,001-\$250,000 P2=\$5,000,001-\$25,000,000	
3	Value Method Codes: (See Col. C2)	Q=Appraisal U=Book value	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market	

FINANCIAL DISCLOSURE REPORT

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Date of Report

CARROLL, EARL H. 5/10/07

3.

VII. Page 3 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 34-60 of Instructions.)

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☐ NONE (No reportable income, assets, or transactions.)									
1 - HECLA MINING	A	D	J	+					
2 - LUBRIZOL CORP.	A	D	K	+					
3 - PHELPS DODGE	A	D	K	+					
4 - RPM	A	D	K	+					
5 - SCHERING PLUGH	A	D	K	+	SOLD 1/6	K	(SEE SECTION VII.)		
6 - J.P. MORGAN - CHASE	A	D	K	+					
7 - WEST PHARMACEUTICAL	A	D	L	+					
8 - WEYERHAEUSER	A	D	J	+					
9 - TAMARACK INV. FDS	A	D	J	+					
10 - NORFOLK SOUTHERN	A	D	K	+					
11 - BAKER HUGHES INC.	A	D	K	+					
12 - BP PLC SPONS ADR	B	D	L	+					
13 - LUCENT TECHNOLOGIES	A	D	J	+	SOLD 1/6	J	(SEE SECTION VII.)		
14 - ALLTEL CORP.	A	D	J	+					
15 - COMSTAT CORP. CL A	A	D	J	+	SOLD 1/6	J	(SEE SECTION VII.)		
16 - FMC TECHNOLOGIES INC.	A	D	J	+					
17 - SPRINT NEXTEL CORP.	A	D	K	+					

1	Income/Gain Codes: (See Col. B1, 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 Col. C1, 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	
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Date of Report

CARROLL, EARL H.

5/10/07

VII. Page 5 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 34-60 of Instructions.)

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	Amt. Code (A-H)	Type (e.g., div., rent or int.)	Value Code2 (J-P)	Value Method Code3 (Q-W)	Type (e.g., buy, sell, merger, redemption)	(2) Date: Month- Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions.)									
¹ EMBARGO CORP.	A	D	J	+	SPRINT-NEXTEL SPINOFF 5/17	J			
² IDEARC INC.	A	D	J	+	VERIZON SPINOFF 11/17	J			
³ WINDSTREAM	A	D	J	+	(SOLD - SEE SEC. VIII.)				
⁴ WELLS FARGO BK. SAV.	A	I	K	+					
⁵ WELLS FARGO BK. C.D	A	I	K	+					
⁶ SCHERING-PLOUGH CORP.	A	D	L	+					
⁷ FREE SCALE SEMI-COND.	A	D	K	+	REDEMP 12/4	K	A		
⁸									
⁹									
¹⁰									
¹¹									
¹²									
¹³									
¹⁴									
¹⁵									
¹⁶									
¹⁷									

1	Income/Gain Codes: (See Col. B1, 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
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FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

CARROLL, EARL H.

Date of Report

5/10/07

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS (Indicate part of Report.)

VII. PAGE 2 - LINE 8 - VALUE METHOD "S"
ASSESSED FULL VALUE - ORANGE CO. CALIFORNIA TREASURER'S
BILL 2006-2007 - \$9,201.

PAGE 2 - LINE 14 - QUEST COMM.
" 3 - " 5 - SCHERING PLOUGH } THESE STOCKS WERE SOLD IN
" 3 - " 13 - LUCENT TECH. } THE IRA FOR THE REQUIRED
" 3 - " 15 - CONSTAT CORP. CL A } MINIMUM DISTRIBUTION - 2006.

PAGE 4 - LINE 3 - WINDSTREAM - THIS STOCK WAS A SPOFF
OF ALLTEL ON 7/24 - SOLD IN THE IRA 11/6
AS PART OF THE RMD - 2006.

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



Date

5-10-07

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