AO 10
Rev. 1/2019

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2018

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	03/16/2020
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	01/01/2018 **to** 12/31/2018

7. Chambers or Office Address

U.S. COURTHOUSE, SUITE 610
401 W. WASHINGTON, SUITE 610
MAIL SPACE 54
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.)*

	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.	2018	MATTHEW BENDER & CO., - BOOK ROYALTY (SPOUSE)
2.	2018	ARIZONA STATE RETIREMENT SYSTEM (SPOUSE)
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	10/16/2018 - 10/19/2018	NEW YORK, NY	SEMINAR	TRANSPORTATION, FOOD, HOTEL
2.					
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
SCHROEDER, MARY M.	03/16/2020

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 (Trust #1)	A	Interest	K	T					
2. LINCOLN NAT'L LIFE INSURANCE - WHOLE LIFE POLICY	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. VNGRD MIDCAP INDEX (NATIONWIDE)	A	Interest	J	T					
6. TIAA TRADITIONAL (RET. ANN)	E	Interest	O	T					
7. (H) TIAA (IRA) (FORMERLY TIAA-CREF)									
8. -CREF STOCK		None			Sold (part)	01/03/18	J	A	
9.					Sold	02/23/18	K	A	
10. -CREF GROWTH		None			Sold (part)	01/03/18	J	A	
11.					Sold	02/23/18	J	B	
12. -CREF EQUITY INDEX		None			Sold (part)	01/03/18	J	A	
13.					Sold	02/23/18	M	C	
14. -TC GR & INC. - RET		None			Sold (part)	01/03/18	J	A	
15.					Sold	02/23/18	M	D	
16. -TC MIDCAP GR. RET.		None			Sold (part)	01/03/18	J	A	
17.					Sold	02/23/18	M	C	

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	
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SCHROEDER, MARY M.	03/16/2020

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18. -TC MIDCAP VAL RET		None			Sold (part)	01/03/18	J	A	
19.					Sold	02/23/18	M	A	
20. -TIAA REAL ESTATE	C	Dividend	M	T	Sold (part)	01/03/18	J	B	
21.					Sold (part)	05/15/18	J	C	
22. -CREF BOND MARKET	C	Interest	O	T	Buy	02/23/18	O		
23.					Sold (part)	05/15/18	K		
24. -TC HIGHYIELD RET	A	Dividend			Sold (part)	01/03/18	J	A	
25.					Sold	02/23/18	K	A	
26. -TC INTL EG. RTMT	D	Dividend	M	T	Buy	02/23/18	N		
27.					Sold (part)	05/15/18	J		
28. -TC LG-CAP VAL RTMT	D	Dividend	L	T	Buy	02/23/18	M		
29.					Sold (part)	05/15/18	J	B	
30. -TC LG-CAP GR RTMT	D	Dividend	L	T	Buy	02/23/18	L		
31.					Sold (part)	05/15/18	J		
32. (H) TIAA BROKERAGE ACCOUNTS - IRA 2 (FORMERLY TIAA - CREF)									
33. - BANK DEPOSITS	A	Interest			Closed	02/01/18	J		
34. -DREYFUS GOV SEC CSH MGT (FORMERLY DREYFUS GOVT PRIME)	A	Interest			Closed	02/01/18	J		

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35. -PELBX (PIMCO EMERGING LOCAL BOND FUND)	A	Dividend			Sold	02/01/18	J		
36. -TCIEX		None			Sold	02/02/18	K	C	
37. -TILVX		None			Sold	02/02/18	K	D	
38. -TILIX		None			Sold	02/02/18	K	D	
39. -TBIX	A	Dividend			Sold	02/01/18	K		
40. -TIP		None			Sold	02/01/18	K		
41. -IWS		None			Sold	02/01/18	K		
42. -HYG		None			Sold	02/01/18	K		
43. -RWR		None			Sold	02/01/18	J		
44. -BSV		None			Sold	02/01/18	K		
45. -AQMIX		None			Sold	02/01/18	J		
46. -DHLSX		None			Sold	02/01/18	J		
47. -IWP		None			Sold	02/01/18	J		
48. (H) CWC ACCOUNTS (MM-1)									
49. -FDRXX	A	Dividend	J	T					
50. -FATRX	A	Dividend	J	T					
51. -JAFIX	A	Dividend	J	T					

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52. -JASBX	A	Dividend	K	T					
53. (H) CWC IRA#1 (MM-R)									
54. -CWCFX	A	Dividend	J	T					
55. -FDRXX	A	Dividend	J	T					
56. -JAFIX	A	Dividend			Sold	02/26/18	J	A	
57. -FATRX	A	Dividend			Sold	02/26/18	J	A	
58. -AOVIX	A	Dividend	J	T	Buy (add'l)	02/27/18	J		
59.					Sold (part)	10/02/18	J	A	
60. (H) CWC IRA #2 (MR-R)									
61. -YACKX	E	Dividend	L	T	Buy (add'l)	02/23/18	L		
62. -CWCFX	D	Dividend	L	T					
63. -PCBIX	B	Dividend	M	T	Sold (part)	01/19/18	J		
64.					Buy (add'l)	03/19/18	L		
65.					Sold (part)	10/02/18	J		
66. -JFLEX	A	Dividend			Sold	02/23/18	L		
67. -FDRXX	A	Dividend	J	T					
68. -PIMIX	A	Dividend			Sold	02/06/18	L		

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69. -FIJEX	A	Dividend			Sold	03/19/18	L		
70. -FTEMX	B	Dividend	M	T	Buy (add'l)	01/19/18	J		
71.					Buy (add'l)	02/06/18	K		
72.					Buy (add'l)	02/25/18	K		
73. -CAIRX	B	Dividend			Buy (add'l)	02/26/18	K		
74.					Sold	09/18/18	L		
75. -SGIIX		None			Sold	01/05/18	K		
76. -FOSFX (FORMERLY FOXFX)	B	Dividend	K	T	Buy (add'l)	02/06/18	K		
77.					Buy (add'l)	03/01/18	J		
78. -BPAIX	B	Dividend	L	T	Buy (add'l)	02/27/18	L		
79.					Sold (part)	10/02/18	J	C	
80. -WEMMX	A	Dividend	K	T	Buy (add'l)	02/26/18	J		
81. -WSCVX	B	Dividend	K	T	Buy (add'l)	03/03/18	J		
82. -JMUIX (FORMERLY JMVIX)	B	Dividend			Sold	03/13/18	L		
83. -RAIRX	A	Dividend	K	T	Buy	09/19/18	K		
84. -PRICX	D	Dividend	K	T	Buy	01/15/18	K		
85.					Buy (add'l)	02/28/18	K		

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86. -RMBLX	B	Dividend	K	T	Buy	03/13/18	K		
87. -DISRX			K	T	Buy	01/08/18	K		
88.					Buy (add'l)	03/01/18	K		
89. -MOO	A	Dividend	K	T	Buy	03/14/18	K		
90.					Buy (add'l)	04/11/18	K		
91. -AQMIX		None			Buy	02/01/18	J		
92.					Sold	02/06/18	J		
93. -DALSX		None			Buy	02/01/18	K		
94.					Sold	02/26/18	K	B	
95. -IWS		None			Buy	02/01/18	K		
96.					Sold	02/26/18	K	D	
97. -IWP		None			Buy	02/01/18	J		
98.					Sold	02/26/18	J	C	
99. -TIP	A	Dividend			Buy	02/01/18	K		
100.					Sold	02/26/18	K		
101. -HYG	A	Dividend			Buy	02/01/18	J		
102.					Sold	02/27/18	J		

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103. -PELBX	A	Dividend			Buy	02/01/18	J		
104.					Sold	02/27/18	J		
105. -RWR		None			Buy	02/01/18	J		
106.					Sold	02/26/18	J		
107. -BSV	A	Dividend			Buy	02/01/18	K		
108.					Sold	02/26/18	K		
109. -FBIOX	C	Dividend	J	T	Buy	03/13/18	K		
110. (H) CWC ACCOUNTS #2 (Trust #1)									
111. -YACKX		None	K	T	Buy (add'l)	02/27/18	J		
112.					Sold (part)	12/26/18	K		
113.					Buy (add'l)	12/28/18	K		
114. -CWCFX	D	Dividend	K	T					
115. -PEMGX	C	Dividend	K	T	Buy (add'l)	02/27/18	K		
116.					Sold (part)	09/18/18	J		
117. -FDRXX	A	Dividend	J	T					
118. -FIJEX	A	Dividend			Sold	02/23/18	K		
119. -JFLEX	A	Dividend			Sold	03/12/18	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
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	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
SCHROEDER, MARY M.	03/16/2020

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)
120. -PONDX	A	Dividend			Sold	02/27/18	K		
121. -FTEMX	A	Dividend			Buy (add'l)	02/26/18	K		
122.					Sold	12/28/18	K		
123. -CAIRX	A	Dividend			Sold	09/19/18	J		
124. -SGHX		None			Sold	01/05/18	K		
125. -RPICX		None			Buy (add'l)	03/01/18	J		
126.					Sold	12/17/18	J		
127. -BPAVX (FORMERLY BPAXX)	B	Dividend			Buy (add'l)	03/12/18	K		
128.					Sold	12/17/18	K		
129. -WEMMX	A	Dividend	J	T					
130. -WSCVX (FORMERLY WSCXX(	A	Dividend	J	T					
131. -JMUTX	A	Dividend			Sold	03/01/18	K		
132. -FOXFX	B	Dividend			Buy (add'l)	03/14/18	J		
133.					Sold	12/28/18	J		
134. -FSPSX		None	L	T	Buy	12/17/18	J		
135.					Buy (add'l)	12/28/18	K		
136. -FXAIX	A	Dividend	K	T	Buy	12/17/18	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		
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
SCHROEDER, MARY M.	03/16/2020

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)
137. -FPADX	A	Dividend	K	T	Buy	12/28/18	K		
138. -DISRX		None			Buy	01/05/18	J		
139.					Buy (add'l)	03/01/18	J		
140.					Sold	12/28/18	K		
141. -RAIIX	A	Dividend			Buy	09/19/18	J		
142.					Sold	12/28/18	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
SCHROEDER, MARY M.	03/16/2020

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

FOR PART VII -

(H) = DENOTES A HEADER ROW

An error has been noted for the 2017 report. Part VII, line 60 of the 2017 report listd a "Partial Sale" of HDSIX. This was incorrect. It should have been listed as "Sold". For this reason, it is not mentioned in the report for 2018.

Name of Person Reporting	Date of Report
SCHROEDER, MARY M.	03/16/2020

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
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