

FOR CALENDAR YEAR 2003

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 5/3/04
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. DISTRICT JUDGE (SENIOR STATUS)	5. Report Type (check appropriate type) ____ Nomination, Date _____ ____ Initial ☒ Annual ____ Final		6. Reporting Period 1/1/2003 to 12/31/2003
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 _____
3 _____

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

DATE

SOURCE AND TYPE

GROSS 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 _____
3 _____

RECEIVED
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FINANCIAL
DISCLOSURE OFFICE

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

CARROLL, EARL H.

Date of Report

5/3/04**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.

5/3/04

VII. Page 1 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 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) Amt. Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income,									
¹ AETNA INC. NEW	A	D	J	+					
² BANK OF AMERICA	A	I	K	+					
³ BANK ONE CORP.	A	I	K	+					
⁴ COMPAS BANK	A	I	J	+					
⁵ AMERICAN EXPRESS	A	D	L	+					
⁶ PUTNAM FUND	D	D	M	+					
⁷ ANHEUSER BUSCH Cos.	D	D	N	+					
⁸ NAVISTAR	A	D	J	+					
⁹ CITIZENS UTILITIES	A	D	J	+					
¹⁰ ENTERGY CORP.	A	D	J	+					
¹¹ DEVON ENERGY CORP.	A	D	J	+					
¹² SALT RIVER PROJ. BONDS	A	I	J	+					
¹³ EXXON MOBIL CORP.	A	D	J	+					
¹⁴ IBM	A	D	J	+					
¹⁵ MOTOROLA	A	D	L	+					
¹⁶ HONEYWELL INT. INC.	A	D	K	+					
¹⁷ BANK ONE CORP.	A	D	J	+					

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; F=\$50,001-\$100,000; G=\$100,001-\$1,000,000; H=\$1,000,001-\$5,000,000; I=\$5,000,001-\$25,000,000; J=\$25,000,001-\$50,000,000	2 Value Codes: J=\$15,000 or less; K=\$15,001-\$50,000; L=\$50,001-\$100,000; M=\$100,001-\$250,000; N=\$250,001-\$500,000; O=\$500,001-\$1,000,000; P=\$1,000,001-\$5,000,000; Q=\$5,000,001-\$25,000,000; R=\$25,000,001-\$50,000,000	3 Value Method Codes: O=Appraisal; R=Cost (real estate only); S=Assessment; T=Cash/Market; U=Book value; V=Other; W=Estimated
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Name of Person Reporting

Date of Report

CARROLL, EARL H.

5/3/04

VII. Page 2 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 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			
	Am't Code1 (A-H)	Type (e.g. div. rent or int.)	Value Code2 (J-P)	Value Method Code3 (Q-W)	Type (e.g., buy, sell, mrger, 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,									
1 SALT RIVER PROJECT MUNICIPAL BONDS	A	I	J	+					
2 PHOENIX COUNTRY CLUB STOCK	NONE		K	+					
3 NATIONWIDE INS. ANNUITIES	NONE		L	+					
JACKSON NAT. ANNUITIES	NONE		M	+					
U.S. SAVINGS BONDS	NONE		L	+					
6 GREAT HALL PRIME	A	D	K	+					
7 EQUITABLE IRA'S	NONE		M	+					
MINERAL RIGHTS-PEARL RIVER CO. MISSISSIPPI	NONE		(VALUE UNKNOWN)						
9 [REDACTED] LAJUNTA BEACH, CA.	D	RENT	L	S	→ (SEE SEC. VIII.)				
10 (THE FOLLOWING ARE HELD IN DANN RAUSCHER IRA ACCOUNT)									
11 WYETH	B	D	L	+					
12 AMERICA T+T	A	D	J	+					
13 SBC COM INC	A	D	J	+					
14 VERIZON COMMUNICATIONS	A	D	J	+					
15 BELL SOUTH	A	D	J	+					
16 QWEST COMMUNICATIONS	A	D	J	+					
17 CARLISLE	B	D	L	+					

1	Income/Gain Codes (See Col. B1, D4)	A-\$1,000 or less B-\$1,001-\$5,000 C-\$5,001-\$10,000 D-\$10,001-\$15,000 E-\$15,001-\$50,000 F-\$50,001-\$100,000 G-\$100,001-\$1,000,000 H-\$1,000,001-\$5,000,000 I-\$5,000,001-\$25,000,000 J-\$25,000,001-\$50,000,000 K-\$50,000,001-\$1,000,000,000 L-\$1,000,001-\$5,000,000,000 M-\$5,000,001-\$25,000,000,000 N-\$25,000,001-\$50,000,000,000 O-\$50,000,001-\$1,000,000,000,000 P-\$1,000,001-\$5,000,000,000,000 Q-\$5,000,001-\$25,000,000,000,000 R-\$25,000,001-\$50,000,000,000,000 S-\$50,000,001-\$1,000,000,000,000,000 T-\$1,000,001-\$5,000,000,000,000,000 U-\$5,000,001-\$25,000,000,000,000,000 V-\$25,000,001-\$50,000,000,000,000,000 W-\$50,000,001-\$1,000,000,000,000,000,000 X-\$1,000,001-\$5,000,000,000,000,000,000 Y-\$5,000,001-\$25,000,000,000,000,000,000 Z-\$25,000,001-\$50,000,000,000,000,000,000
2	Value Codes (See Col. C1, 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 P-\$1,000,001-\$5,000,000 Q-\$5,000,001-\$25,000,000 R-\$25,000,001-\$50,000,000 S-\$50,000,001-\$100,000,000 T-\$100,000,001-\$250,000,000 U-\$250,000,001-\$500,000,000 V-\$500,000,001-\$1,000,000,000 W-\$1,000,000,001-\$5,000,000,000 X-\$5,000,000,001-\$25,000,000,000 Y-\$25,000,000,001-\$50,000,000,000 Z-\$50,000,000,001-\$100,000,000,000
3	Value Method Codes (See Col. C2)	O-Appraisal D-Book value R-Cost (real estate only) V-Other S-Assessment W-Estimated T-Cash/Market

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3. VII. Page 3 INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

A Description of Assets (including trust assets) Place (a) after each asset except from prior disclosure	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			
	Asset Code (A-H)	Income Type (C-E) (amt.)	Value Code (J-P)	Value Method Code (Q-W)	Type (1) buy, sell, transfer, redemption	(2) Date Month Day	(3) Value Code (J-P)	(4) Gain Code (A-H)	(5) Identify buyer/seller (if private transaction)
☐ NONE (No reportable income,									
1 SPRINT CORP. FON GROUP	A	D	K	+					
2 FMC CORP.	A	D	J	+					
3 IBM	A	D	K	+					
4 HECLA MINING	A	D	J	+					
5 LUBRIZOL	A	D	K	+					
6 PHELPS DODGE	A	D	J	+					
7 RPM	A	D	K	+					
8 SCAERING-PLOUGH	B	D	L	+					
9 BANK ONE CORP.	A	D	J	+					
10 WEST PHARMACEUTICAL SVCS	A	D	K	+					
11 WEXER HAEUSER	A	D	J	+					
12 GREAT HALL PRIME	A	D	J	+					
13 NORFOLK SOUTHERN	A	D	K	+					
14 BAKER HUGHES INC.	A	D	K	+					
15 BP PLC SPONS ADR	B	D	K	+					
16 LUCENT TECHNOLOGIES	A	D	J	+					
17 ALLTEL CORP.	A	D	J	+					

Income/Gain Codes (See Col. B)(D3)	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 H- \$1,000,001-\$5,000,000 I- More than \$5,000,000	Value Codes (See Col. C)(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 P- \$1,000,001-\$5,000,000 Q- \$5,000,001-\$25,000,000 R- More than \$25,000,000	Value Method Codes (See Col. C2)	Q- Appraisal R- Cost (real estate only) S- Assessment T- Cash/Market U- Book value V- Other W- Estimated
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FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

CARROLL, EARL H.

Date of Report

5/3/04

4.
VII. Page **4** INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

A Description of Assets (including trust assets) <i>Place this after each asset to avoid failure of 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			
	Am. Code1 (A-H)	Inc. Code2 (I-M)	Value Code2 (I-P)	Value Method Code3 (Q-W)	Type (E=buy/sell; R=redemption)	(2) Date Month/Day	(3) Value Code2 (I-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income,									
¹ SPRINT CORP. P.C.S.	A	D	J	+					
² ATT WIRELESS SERV.	A	D	J	+					
³ COMSTAT CORP. CL A NEW	A	D	J	+					
⁴ FMC TECHNOLOGIES INC.	A	D	J	+					
⁵ WELLS FARGO BK. SAV.	A	I	K	+					
⁶ WELLS FARGO BK. CD	B	I	K	+					
⁷ SCHERING-PLOUGH CORP.	A	D	K	+					
⁸ U.S. SAVINGS BONDS	E	I			CASHED BONDS	10/12	K		
⁹									
¹⁰									
¹¹									
¹²									
¹³									
¹⁴									
¹⁵									
¹⁶									
¹⁷									

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; F=\$50,001-\$100,000; G=\$100,001-\$1,000,000; H1=\$1,000,001-\$5,000,000; H2=More than \$5,000,000 (See Col. 10, D3)	2. Value Codes: A=\$15,000 or less; B=\$15,001-\$50,000; C=\$50,001-\$100,000; D=\$100,001-\$250,000; E=\$250,001-\$500,000; F=\$500,001-\$1,000,000; G1=\$1,000,001-\$5,000,000; G2=\$5,000,001-\$25,000,000; H=\$25,000,001-\$50,000,000; I=More than \$50,000,000 (See Col. 10, D3)	3. Value Method Codes: Q=Appraisal; R=Crs (real estate only); S=Assessment; T=Cash/Market (See Col. C2); U=Book value; V=Other; W=Estimated
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FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

CARROLL, EARL H.

Date of Report

5/3/04

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

VII. PAGE 2 - LINE 9 - VALUE METHOD "S" ASSESSED FULL
VALUE - ORANGE County, CA. TREASURER BILL 2003-2004
\$86,054.

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

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

Maintained 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