MARY M. SCHROEDER
JUDGE
UNITED STATES COURT OF APPEALS
FOR THE NINTH CIRCUIT



U.S. COURTHOUSE, SUITE 610
401 W. WASHINGTON ST., SPC 54
PHOENIX, AZ 85003-2156
(602) 322-7320
[redacted]

July 21, 2011

Honorable Bobby R. Baldock, Chair
Judicial Conference of the United States
Committee on Financial Disclosure
One Columbus Circle, N.E.
Washington, DC 20544

Dear Judge Baldock,

In correspondence from you dated July 8, 2011, there was a question regarding a listing for -VALIC MYM in Part VII, page 7, line 36 that was listed on my 2009 Financial Disclosure Statement and not listed on my 2010 Financial Disclosure Statement. The amount in this account was transferred out on June 6, 2009 and is therefore is no longer reportable for the 2010 Financial Disclosure Statement.

Should you have any further questions or require any additional documentation, please do not hesitate to contact me.

Sincerely,

[redacted] chr[redacted]

Enclosure

AO 10
Rev. 1/2011

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2010

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.	US COURT OF APPEALS - 9TH CIRCUIT	5/3/2011
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) ACTIVE - CIRCUIT JUDGE	**5a. Report Type (check appropriate type)** ☐ Nomination, Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	**6. Reporting Period** 01/01/2010 to 12/31/2010
7. Chambers or Office Address U.S. COURTHOUSE, SUITE 610 401 W. WASHINGTON ST., SPACE 54 PHOENIX, AZ 85003-2156	**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.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	COUNCIL MEMBER	AMERICAN LAW INSTITUTE
2.	TRUSTEE	TRUST #1
3.	ADVISORY BOARD MEMBER	LOWELL OBSERVATORY
4.	PRESIDENT	ARIZONA WOMEN'S FORUM
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.	2010	ARIZONA STATE UNIVERESITY - SALARY
2.	2010	SHESHUNOFF INFORMATION SERVICES - BOOK ROYALTY
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	2/19/2010	SAN FRANCISCO, CA	SPEAKING EVENT	TRANSPORTATION, FOOD, HOTEL
2.	NATIONAL ASSOCIATION OF WOMEN JUDGES	3/10/2010 - 3/12/2010	WASHINGTON, D.C.	SPEAKING EVENT	TRANSPORTATION, FOOD, HOTEL
3.	THE ASPEN INSTITUTE	6/11/2010 -6/13/2010	GREENTREE, NY	SEMINAR	TRANSPORTATION, FOOD, HOTEL
4.	FRESNO COUNTY YOUNG LAWYERS ASSOCIATION	9/8/2010	FRESNO, CA	SPEAKING EVENT	TRANSPORTATION, FOOD, HOTEL
5.	AMERICAN LAW INSTITUTE	10/20/2010 - 10/22/2010	NEW YORK, NY	SEMINAR	TRANSPORTATION, FOOD, HOTEL

6.	UNIVERSITY OF IDAHO	10/29/2010 - 10/30/2010	MOSCOW, ID	SPEAKING EVENT	TRANSPORTATION, FOOD, HOTEL
7.					

Name of Person Reporting	Date of Report
SCHROEDER, MARY M.	5/3/2011

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.	5/3/2011

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	B	Interest	M	T					
2.									
3. LINCOLN NAT'L LIFE	A	Interest	J	T					
4. FRANKLIN FUND AZTXFR INC.	A	Int./Div.	K	T					
5. EQUITABLE 300+ STOCK FUND-IRA		None	K	T					
6. TRUST #1 - see below lines for detail info.	E	Int./Div.	P1	T					
7. -AZ ST. CREDIT UNION ACCOUNTS									
8. -VALIC FIXED PLUS FUND					Sold (part)	05/17/10	L		
9. - VALIC FIXED PLUS FUND					Sold (part)	10/08/10	K		
10. -TIAA TRADITIONAL (RET. ANN)									
11. -CREF STOCK									
12. -CREF GROWTH									
13. -CREF EQUITY INDEX					Buy	07/14/10	J		
14. -CREF EQUITY INDEX					Buy (add'l)	10/20/10	J		
15. -TC INTL EQ. RET.					Buy	01/11/10	J		
16. -TC MIDCAP VAL RET.					Buy	06/07/10	K		
17. -TC MIDCAP VAL RET.					Buy	01/11/10	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
K =$15,001 - $50,000
L =$50,001 - $100,000
M =$100,001 - $250,000
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

2. Value Codes (See Columns C1 and D3)
J =$15,000 or less
N =$250,001 - $500,000

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.	5/3/2011

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. -FIRST AM. MIDCAP GWTH					Buy	07/14/10	J		
19. -FIRST AM. MIDCAP GWTH (RET. ANN)					Buy (add'l)	10/20/10	J		
20. -CREF INFL LINKED BOND					Sold	04/19/10	M		
21. -CREF INFL LINKED BOND					Buy	07/14/10	J		
22. -CREF INFL LINKED BOND					Buy (add'l)	10/20/10	J		
23. -CREF INFL LINKED BOND					Buy (add'l)	06/07/10	J		
24. -TC SHORT TERM BOND					Buy	06/07/10	J		
25. -TC SHORT TERM BOND					Buy (add'l)	04/19/10	M		
26. -CREF BOND					Buy	06/07/10	K		
27. -TIAA REAL ESTATE					Buy	09/27/10	M		
28. -GOLDMAN SACHS					Buy	07/14/10	J		
29. -GOLDMAN SACHS					Buy (add'l)	10/20/10	J		
30. -T-C HIGH YIELD RTMT									
31. -VALIC SET RATE 7 YR									
32.									
33.									
34.									

1. Income Gain Codes: (See Columns B1 and D4)
2. Value Codes (See Columns C1 and D3)
3. Value Method Codes (See Column C2)

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
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
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P4 =More than $50,000,000
Q =Appraisal
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Name of Person Reporting	Date of Report
SCHROEDER, MARY M.	5/3/2011

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)
35.									

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.	5/3/2011

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

Name of Person Reporting	Date of Report
SCHROEDER, MARY M.	5/3/2011

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 WILFULLY 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