

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2009

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 5-12-10
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, ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 1/1/2009 to 12/31/2009
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 filing instructions.)

☒ NONE (No reportable positions.)

POSITION	NAME OF ORGANIZATION/ENTITY
1. _____	_____
2. _____	_____
3. _____	_____
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. _____	_____

RECEIVED
2010 MAY 13 P 3:30
INDIVIDUAL
DISCLOSURE OFFICE

Carroll, Earl H.

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Name of Person Reporting

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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.)

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
2.	
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.)

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

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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. NORTHERN TRUST, N.A.	MORTGAGE - TOWN HOUSE	M
2.		
3.		
4.		
5.		

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Name of Person Reporting

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CARROLL, EARL H.

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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-I)	(5) Identity of buyer/seller (if private transaction)
1. AETNA INC. NEW	A	D	K	T					
2. BANK OF AMERICA	A	I	K	T					
3. J.P.MORGAN CHASE BK.	A	I	K	T					
4. —									
5. AMERIPRISE	A	D	K	T					
PATNAM GROWTH+INC. GLA	B	D	M	T					
7. —									
8. NAVISTAR	A	D	J	T					
9. FRONTIER CORP.	A	D	J	T					
10. ENERGY CORP.	A	D	J	T					
11. DEVON ENERGY CORP.	A	D	J	T					
12. EXXON MOBIL CORP.	A	D	K	T					
13. IBM	A	D	J	T					
14. MOTOROLA	A	D	K	T					
15. HONEYWELL INT. INC.	A	D	K	T					
16. J.P.MORGAN CHASE	A	D	J	T					
17. —									

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

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18. _____									
19. NATIONWIDE INS. ANNUITIES	NONE		L	T					
20. JACKSON NATIONAL ANNUITIES	NONE		M	T					
21. U.S. SAVINGS BONDS	NONE		L	T					
22. _____									
23. AXA EQUITABLE IRA	NONE		M	T					
24. MINERAL RIGHTS - PEARL RIVER CO. MISSISSIPPI	NONE		(VALUE UNKNOWN)						
LAGUNA BEACH, CA	D	RENT	L	S	(SEE SEC. VIII.)				
(THE FOLLOWING ARE HELD IN RBC WEALTH MANAGEMENT IRA ACCOUNT)									
27. PFIZER (FORMERLY WYETH)	B	D	K	T	MERGED 10/1/09	K	E		
28. AT&T	B	D	K	T					
29. VERIZON COMM.	A	D	J	T					
30. _____									
31. _____									
32. CARLISLE	B	D	L	T					
33. FMC CORP.	A	D	J	T					
34. IBM	A	D	L	T					

1. Income Gain Codes:
(See Columns B1 and 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 Columns C1 and 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 Column C2)

Q = Appraisal
U = Book Value

R = Cost (Real Estate Only)
V = Other

S = Assessed
W = Estimated

T = Cash Market

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35. _____									
36. LUBRIZOL	A	D	L	+					
37. FREEPORT McDORMAN COPPER	A	D	J	+					
38. _____									
39. _____									
40. J.P. MORGAN CHASE	A	D	J	+					
41. WEST PHARMACEUTICAL	A	D	K	+					
42. WEYERHAEUSER	A	D	J	+					
43. PRIME MONEY MARKET FUND-RBC RESERVE CLASS	A	D	J	+					(FORMERLY TAMARACK INV. FDS)
44. NORFOLK SOUTHERN	A	D	K	+					
45. BAKER HUGHES INC.	A	D	K	+					
46. B.P. PLC-SPONS. ADR	C	D	K	+					
47. _____									
48. _____									
49. _____									
50. _____									
51. _____									

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$180,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assurance W = Estimated	T = Cash Market	

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	(1) Amount Code 1 (A-I)	(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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-I)	(5) Identity of buyer/seller (if private transaction)
52. _____									
53. _____									
54. _____									
55. WELLS FARGO BK. C.D	A	I	K	+					
56. WELLS FARGO BK. SAV.	A	I	K	+					
57. MERCK & CO. INC. (FORMERLY SCHERING-PLAUGH CORP.)	C	D	L	+	MERGER	11/5/07	L	E	
58. _____									
59. _____									
60. HUNTINGTON NAT. BK. COLUMBUS, OHIO (CD)	A	I	K	+					
61. MORGAN STANLEY BK. SALT LAKE CITY, UTAH (CD)	A	I	L	+					
62. B.E. MONEY BK., SALT LAKE CITY, UTAH (CD)	A	I	L	+					
63. FAIRPOINT COM. INC.	A	D	J	+					
64. _____									
65. _____									
66. _____									
67. _____									
68. _____									

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2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of Report.)*

VII. PAGE 5 OF 9 - LINE 25 - VALUE METHOD 5 - ASSESSED FULL
VALUE - ORANGE COUNTY, CALIFORNIA TREASURER'S BILL,
2009-2010 - \$96,782.

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5-12-10**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 _____

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