AO 10
Rev. 1/2019

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2019

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	04/09/2020
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	01/01/2019 **to** 12/31/2019

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.	2019	MATTHEW BENDER & CO., - BOOK ROYALTY (SPOUSE)
2.	2019	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.	IDAHO WOMEN LAWYERS, INC.	3/12/2019 - 3/14/2019	BOISE, IDAHO	KEYNOTE SPEAKER AT SEMINAR	TRANSPORTATION, FOOD, HOTEL
2.	AMERICAN LAW INSTITUTE	3/28/2019 - 3/29/2019	PHILADELPHIA, PA	SEMINAR	TRANSPORTATION, FOOD, HOTEL
3.	AMERICAN LAW INSTITUTE	10/16/2019 - 10/19/2019	NEW YORK, NEW YORK	SEMINAR	TRANSPORTATION, FOOD, HOTEL
4.	SAN DIEGO REPERTORY THEATRE, INC.	11/15/2019 - 11/17/2019	SAN DIEGO, CALIFORNIA	SPEAKING EVENT	TRANSPORTATION, FOOD, HOTEL
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.	04/09/2020

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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-H)	(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	K	T					
6. TIAA TRADITIONAL (RET. ANN)	E	Interest	O	T					
7. (H) TIAA (IRA) (FORMERLY TIAA-CREF)									
8. -TIAA REAL ESTATE	A	Dividend	M	T	Sold (part)	01/07/19	J	B	
9.					Sold (part)	05/28/19	J	B	
10.					Sold (part)	08/30/19	J	B	
11. -CREF BOND MARKET	D	Interest	O	T	Sold (part)	01/7/19	J	B	
12.					Sold (part)	05/28/19	J	C	
13.					Sold (part)	08/30/19	J	D	
14. -TC INTL EG. RTMT	D	Dividend	M	T	Sold (part)	01/07/19	J	B	
15.					Sold (part)	05/28/19	J	B	
16.					Sold (part)	08/30/19	J	B	
17.					Sold (part)	12/02/19	J	B	

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.	04/09/2020

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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-H)	(5) Identity of buyer/seller (if private transaction)
18. -TC LG-CAP VAL RTMT	B	Dividend	L	T	Sold (part)	01/07/19	J	A	
19.					Sold (part)	05/28/19	J	A	
20.					Sold (part)	08/30/19	J	A	
21.					Sold (part)	12/02/19	J	B	
22. -TC LG-CAP GR RTMT	C	Dividend	L	T	Sold (part)	01/07/19	J	B	
23.					Sold (part)	05/28/19	J	B	
24.					Sold (part)	08/30/19	J	A	
25.					Sold (part)	12/02/19	J	B	
26. (H) CWC ACCOUNTS (MM-1)									
27. -FDRXX	A	Dividend	J	T					
28. -FATRX	A	Dividend	J	T					
29. -JAFIX		None			Sold	02/05/19	J		
30. -JASBX	A	Dividend	K	T					
31. -GIBIX	A	Dividend	J	T	Buy	02/05/19	J		
32. (H) CWC IRA#1 (MM-R)									
33. -CWCFX	A	Dividend	J	T					
34. -FDRXX	A	Dividend	J	T					

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.	04/09/2020

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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-H)	(5) Identity of buyer/seller (if private transaction)
35. -AOVIX	A	Dividend	J	T	Sold (part)	11/21/19	J	A	
36. (H) CWC IRA #2 (MR-R)									
37. -YACKX	D	Dividend	M	T	Buy (add'l)	02/11/19	K		
38.					Buy (add'l)	12/27/19	J		
39. -CWCFX	D	Dividend	L	T					
40. -PCBIX	C	Dividend	L	T	Sold (part)	02/11/19	K	D	
41.					Sold (part)	09/23/19	J	B	
42.					Sold (part)	12/27/19	K	B	
43. -FDRXX	A	Dividend	J	T					
44. -FTEMX	B	Dividend	L	T	Sold (part)	06/05/19	L	C	
45. -FOSFX (FORMERLY FOXFX)	A	Dividend	K	T	Sold (part)	06/05/19	K		
46.					Sold (part)	12/27/19	J	A	
47. -BPAIX	C	Dividend	M	T	Buy (add'l)	02/11/19	K		
48.					Buy (add'l)	09/23/19	J		
49. -WEMMX	A	Dividend	K	T					
50. -WSCVX	A	Dividend	K	T	Buy (add'l)	09/23/19	J		
51. -RAIRX	A	Dividend	K	T	Sold (part)	12/27/19	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.	04/09/2020

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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-H)	(5) Identity of buyer/seller (if private transaction)
52. -RPICX (formerly PRICX)	B	Dividend	L	T					
53. -FBIOX	B	Dividend	K	T					
54. -SHSAX	A	Dividend	J	T	Buy	02/11/19	J		
55.					Buy (add'l)	12/27/19	J		
56. -YASSX		None	K	T	Buy	12/27/19	K		
57. -DIXRX		None	K	T					
58. -MOO	A	Dividend	K	T					
59. -PEIFX	A	Dividend	K	T	Buy	06/05/19	K		
60. -RMBLX	A	Dividend	K	T					
61. -REVIX	B	Dividend	K	T	Buy	06/05/19	K		
62. (H) CWC ACCOUNTS #2 (Trust #1)									
63. -YACKX	C	Dividend	K	T	Buy (add'l)	03/14/19	J		
64. -CWCFX	D	Dividend	L	T					
65. -PEMGX	B	Dividend	K	T	Sold (part)	03/14/19	J	A	
66.					Sold (part)	04/22/19	J	A	
67.					Sold (part)	07/19/19	J	B	
68.					Sold (part)	11/22/19	K	B	

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.	04/09/2020

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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-H)	(5) Identity of buyer/seller (if private transaction)
69. -FDRXX	A	Dividend	J	T					
70. -WEMMX	A	Dividend	J	T					
71. -WSCVX	A	Dividend	J	T					
72. -FSPSX	B	Dividend	L	T					
73. -FXAIX	B	Dividend	K	T					
74. -FPADX	B	Dividend	K	T					
75. -YASSX	C	Dividend	J	T	Buy	11/22/19	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		

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

FOR PART VII -

(H) = DENOTES A HEADER ROW

Name of Person Reporting	Date of Report
SCHROEDER, MARY M.	04/09/2020

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
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544