AO 10
Rev. 1/2021

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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	5/4/2021
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	01/01/2020 **to** 12/31/2020

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.	2020	ARIZONA STATE RETIREMENT SYSTEM ( )
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.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.	AMERICAN LAW INSTITUTE	1/15/2020 - 1/18/2020	PHILADELPHIA, PA	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.	5/4/2021

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	Dividend			Sold	09/30/20	J	A	
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)									
8. -TIAA REAL ESTATE		None	M	T					
9. -CREF BOND MARKET		None	O	T	Sold (part)	03/23/20	L		
10. -TC INTL EQ. RTMT	B	Dividend	M	T	Buy (add'l)	03/23/20	K		
11.					Sold (part)	05/15/20	K		
12. -TC LG-CAP VAL RTMT	B	Dividend	M	T	Buy (add'l)	03/23/20	K		
13. -LG-CAP GR RTMT	E	Dividend	L	T	Buy (add'l)	03/23/20	J		
14.					Sold (part)	8/31/20	J		
15. (H) CWC ACCOUNTS (MM-1)									
16. -FDRXX	A	Dividend	J	T					
17. -FATRX	A	Dividend			Sold	06/23/20	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.	5/4/2021

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. -JASBX	A	Dividend	K	T					
19. -GIBIX	A	Dividend	J	T					
20. -MWIMX	A	Dividend	J	T	Buy	06/24/20	J		
21. (H) CWC IRA#1 (MM-R)									
22. -CWCFX	A	Dividend	J	T					
23. -FDRXX	A	Dividend	J	T					
24. -AOVIX	A	Dividend	J	T					
25. (H) CWC IRA #2 (MR-R)									
26. -YACKX	D	Dividend	M	T	Buy (add'l)	06/02/20	J		
27. -CWCFX	D	Dividend	L	T					
28. -PCBIX	A	Dividend	L	T					
29. -FDRXX	A	Dividend	J	T					
30. -FTEMX	A	Dividend	L	T					
31. -FOSFX	A	Dividend	K	T					
32. -BPAIX	B	Dividend	M	T	Buy (add'l)	06/02/20	J		
33. -WEMMX	B	Dividend	K	T					
34. -WSCVX		None			Sold	06/02/20	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

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35. -RAIRX	A	Dividend	K	T	Sold (part)	08/19/20	J		
36. -RPICX	B	Dividend	L	T					
37. -FBIOX	A	Dividend			Sold	06/02/20	K		
38. -SHSAX		None			Sold	06/02/20	K		
39. -YASSX	A	Dividend	K	T	Buy (add'l)	06/02/20	J		
40. -DISRX (formerly DIXRX)	C	Dividend	K	T	Sold (part)	06/02/20	J		
41. -MOO		None			Sold	06/02/20	K		
42. -PEIFX	A	Dividend	L	T	Buy (add'l)	06/02/20	J		
43. -RMBLX		None			Sold	06/02/20	K		
44. -REVIX	A	Dividend	L	T	Buy (add'l)	06/02/20	J		
45. -WEIMX	C	Dividend	K	T	Buy	06/02/20	K		
46. -GPAIX	A	Dividend	J	T	Buy	06/02/20	J		
47. -NIMEX		None	J	T	Buy	06/02/20	K		
48. -GIOIX	A	Dividend	J	T	Buy	06/02/20	J		
49. -BIVIX	A	Dividend	J	T	Buy	06/02/20	J		
50. -XILSX	B	Dividend	K	T	Buy	08/19/20	K		
51. -IAU		None	K	T	Buy	06/02/20	K		

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	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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52. (H) CWC ACCOUNTS #2 (Trust #1)									
53. -YACKX	C	Dividend	K	T					
54. -CWCFX	C	Dividend	L	T					
55. -PCBIX (formerly PEMGX)	A	Dividend	K	T					
56. -FDRXX	A	Dividend	J	T					
57. -WEMMX	B	Dividend	J	T	Buy (add'l)	02/10/20	J		
58.					Buy (add'l)	04/22/20	J		
59. -WSCVX		None			Buy (add'l)	02/11/20	J		
60.					Sold	04/21/20	J		
61. -FSPSX		None			Sold	02/06/20	L	D	
62. -FXAIX		None			Sold (part)	01/16/20	J	A	
63.					Sold	03/26/20	K	A	
64. -FPADX		None			Sold	03/27/20	K		
65. -YASSX	A	Dividend	J	T					
66. -FTEMX	A	Dividend	K	T	Buy	03/26/20	J		
67. -FOSFX	A	Dividend	J	T	Buy	02/06/20	J		
68.					Sold (part)	03/27/20	J		

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69.					Buy (add'l)	07/02/20	J		
70. -DISRX	A	Dividend	K	T	Buy	02/07/20	K		
71.					Buy (add'l)	03/27/20	J		
72.					Sold (part)	07/01/20	J		
73. -RAIRX	A	Dividend	K	T	Buy	02/06/20	J		
74. -PEIFX	A	Dividend	K	T	Buy	02/26/20	J		
75. -RPICX	A	Dividend	K	T	Buy	02/06/20	K		
76.					Buy (add'l)	03/27/20	J		
77.					Sold (part)	07/02/20	J		
78. -BPAIX	A	Dividend	K	T	Buy	03/27/20	J		
79. -REVIX	A	Dividend	K	T	Buy	03/26/20	J		
80. -FTAZX	A	Dividend			Buy	09/17/20	J		
81.					Sold	09/29/20	J		

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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.	5/4/2021

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