AO 10
Rev. 1/2015

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2015

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	08/15/2016
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	01/01/2015 **to** 12/31/2015

7. Chambers or Office Address

U.S. COURTHOUSE, SUITE 610
401 W. WASHINGTON, SUITE 610
MAIL SPACE 54
PHOENIX, ARIZONA 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.	2015	MATTHEW BENDER & CO. - BOOK ROYALTY (SPOUSE)
2.	2015	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.	AMERICAN LAW INSTITUTE	1/14/2015 - 1/16/2015	PHILADELPHIA, PA	SEMINAR	TRANSPORTATION, FOOD, HOTEL
2.	THE UNIVERSITY OF CALIFORNIA, IRVINE	2/24/2015 - 2/25/2015	SANTA ANA, CA	SPEAKING ENGAGEMENT	TRANSPORTATION, FOOD, HOTEL
3.	AMERICAN LAW INSTITUTE	4/23/2015 - 4/25/2015	PHILADELPHIA, PA	SEMINAR	TRANSPORTATION, FOOD, HOTEL
4.	AMERICAN LAW INSTITUTE	11/11/2015 - 11/13/2015	PHILADELPHIA, PA	SEMINAR	TRANSPORTATION, FOOD, HOTEL
5.	THE UNIVERSITY OF IDAHO	11/13/2015 - 11/15/2015	BOISE, ID	SPEAKING ENGAGEMENT	TRANSPORTATION, FOOD, HOTEL

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.	08/15/2016

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	A	Interest	J	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) (FORMERLY DREY MDCAP)	A	Interest	J	T					
6. TIAA TRADITIONAL (RET. ANN)	E	Interest	O	T					
7. TIAA - CREF (IRA) (H)									
8. - CREF STOCK		None	K	T					
9. - CREF GROWTH		None	K	T					
10. - CREF EQUITY INDEX		None	M	T					
11. -TC GR & INC. - RET	D	Dividend	M	T	Sold (part)	07/16/15	J		
12.					Sold (part)	1/5/15	J		
13. -TC MIDCAP GR RET.		Dividend	M	T	Sold (part)	07/16/15	J		
14.					Sold (part)	01/05/15	J		
15. -TC MIDCAP VAL RET	E	Dividend	M	T	Sold (part)	07/06/15	J		
16.					Sold (part)	01/05/15	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.	08/15/2016

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)
17. -TIAA REAL ESTATE		None	N	T	Sold (part)	07/06/15	J		
18.					Sold (part)	01/05/15	J		
19. - CREF BOND MARKET		None	J	T					
20. - TC HIGHYIELD RET	B	Dividend	K	T					
21. TIAA - CREF BROKERAGE ACCOUNTS - IRA 2 (H)									
22. - BANK DEPOSITS	A	Interest	J	T					
23. - DREYFUS GOV PRIME (MONEY MARKET)		None	J	T					
24. - GGUIX		None			Sold (part)	08/10/15	J		
25.					Sold (part)	08/14/15	J		
26. - PLBX	A	Dividend	J	T					
27. - TCIEX	A	Dividend	J	T					
28. - TILVX	B	Dividend	K	T					
29. - TILIX	A	Dividend	J	T					
30. - TBIIX	A	Dividend	K	T					
31. - TIP	A	Dividend	K	T					
32. - IWS	A	Dividend	K	T					
33. - IWR	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.	08/15/2016

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)
34. - HYG	B	Dividend	K	T	Buy (add'l)	12/15/15	J		
35. - RWR	A	Dividend	J	T					
36. - BSV	A	Dividend	J	T					
37. - AQMIX (Formerly AQMIV)	A	Dividend	J	T					
38. - DHLSX		None	K	T	Buy	08/10/15	J		
39.					Buy (add'l)	08/14/15	J		
40. CWC ACCOUNTS #1 (MM-I) (H)									
41. - FSAXX	A	Interest	J	T					
42. - FATRX	A	Dividend	J	T	Buy	09/22/15	J		
43. - JAFIX	A	Dividend	J	T	Buy	09/22/15	J		
44. - JASBX	A	Dividend	J	T	Buy	09/22/15	J		
45. CWC IRA #1 (MM-R) (H)									
46. - CWCFX	A	Dividend	J	T					
47. - CWGDX	A	Dividend	J	T					
48. - FDRXX	A	Interest	J	T					
49. - JAFIX	A	Dividend	J	T					
50. - FATRX	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.	08/15/2016

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)
51. CWC IRA #2 (MR-R) (H)									
52. - AEMSX	A	Dividend			Sold	11/12/15	J		
53. - YACKX	A	Dividend	K	T					
54. - CWCFX	C	Dividend	L	T	Sold (part)	01/12/15	J		
55. - CWGDX	B	Dividend	L	T	Sold (part)	01/12/15	J		
56. - PCBIX	C	Dividend	K	T	Buy (add'l)	01/12/15	J		
57. - FEHAX	B	Dividend	K	T					
58. - WHIYX	B	Dividend			Sold	11/12/15	K		
59. - JFLEX	B	Dividend	L	T					
60. - TGBAX	B	Dividend	L	T	Sold (part)	11/12/15	J		
61. - SGENX	A	Dividend			Sold	01/12/15	K		
62. - FDRXX	A	Interest	J	T					
63. - PMIX	C	Dividend	L	T					
64. - TGINX	A	Dividend			Sold	11/18/15	K		
65. - FIJEX	B	Dividend	L	T					
66. - HDSIX	A	Dividend	K	T	Buy (add'l)	01/12/15	J		
67. - FTEMX	A	Dividend	K	T	Buy	11/12/15	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

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)
68. - CAIRX	A	Dividend	K	T	Buy	11/12/15	K		
69. - MIEIX	A	Dividend	K	T	Buy	11/12/15	K		
70. - HIEMX		None			Buy	01/12/15	K		
71.					Sold	11/12/15	K		
72. - SGIIX		None			Buy	01/12/15	K		
73.					Sold	11/12/15	K		
74. - HEMZX (See Note Part VIII)		None			Sold	01/12/15	K		
75. CWC ACCOUNTS #2 (SFT) (H)									
76. - YACKX	C	Dividend	J	T					
77. - CWCFX	B	Dividend	K	T	Sold (part)	01/16/15	J		
78.					Sold (part)	11/10/15	J	B	
79. - CWGDX	A	Dividend	K	T	Sold (part)	04/29/15	J		
80. - PEMGX	B	Dividend	K	T	Buy (add'l)	01/16/15	J		
81. - HEMZX		None			Sold	09/15/15	J		
82. - SGENX		None			Sold	09/16/15	J		
83. - FSAXX	A	Dividend	K	T					
84. - FIJEX	A	Dividend	K	T	Buy (add'l)	03/16/15	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.	08/15/2016

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)
85. - JFLEX	A	Dividend	K	T					
86. - PONDX	A	Dividend	K	T					
87. - TPINX	A	Dividend	K	T	Buy (add'l)	02/17/15	J		
88. - HDPSX	A	Dividend	J	T	Buy (add'l)	01/16/15	J		
89. - FTEMX	A	Dividend	J	T	Buy	09/16/15	J		
90. - CAIRX	A	Dividend	J	T	Buy	09/16/15	J		
91. - MIEIX	A	Dividend	J	T	Buy	09/16/15	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.)*

(H) DENOTES HEADER ROW

PLEASE NOTE THAT HEMZX, LINE 74, REPORTED AS LINE 56 - 57 ON THE 2014 REPORT, THAT LINE 57 OF THE 2014 REPORT SHOULD HAVE BEEN: SOLD (PART)

PLEASE NOTE THAT CWCFX, LINE 54, REPORTED AS LINES 52 -53 ON THE 2014 REPORT, THAT LINE 53 OF THE 2014 REPORT, SHOULD HAVE BEEN: SOLD (PART).

Name of Person Reporting	Date of Report
SCHROEDER, MARY M.	08/15/2016

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