AO 10
Rev. 1/2014

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2013

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	06/02/2014
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	01/01/2013 **to** 12/31/2013

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	TRUSTE #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.	07/06/2013	JAPANESE AMERICAN NATIONAL MUSEUM / SPEAKING ENGAGEMENT	$1,000.00
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.	2013	SHESHUNOFF INFORMATION SERVICES - BOOK ROYALTY
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	1/16/2013 - 1/18/2013	PHILADELPHIA, PA	SEMINAR	TRANSPORTATION, FOOD, HOTEL
2.	PEPPERDINE UNIVERSITY	3/14/2013 - 3/15/2013	MALIBU, CA	SEMINAR	TRANSPORTATION, FOOD, HOTEL
3.	JAPANESE AMERICAN NATIONAL MUSEUM	7/5/2013 - 7/6/2013	SEATTLE, WA	SPEAKING ENGAGEMENT	TRANSPORTATION, FOOD, HOTEL
4.	AMERICAN LAW INSTITUTE	10/16/2013 - 10/19/2013	NEW YORK, NY	SEMINAR	TRANSPORTATION, FOOD, HOTEL
5.	AMERICAN LAW INSTITUTE	12/4/2013 - 12/7/2013	NEW YORK, NY	SEMINAR	TRANSPORTATION, FOOD, HOTEL

6.	AMERICAN LAW INSTITUTE	12/11/2013 - 12/13/2013	WASHINGTON, DC	SEMINAR	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.	06/02/2014

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	K	T					
2. LINCOLN NAT'L LIFE	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. H VALIC ACCOUNTS									
6. - VALIC FIXED PLUS FUND	C	Interest	N	T	Buy (add'l)	05/30/13	N		
7. -VALIC SET RATE 7 YR	C	Interest			Sold	05/20/13	K		
8.					Sold	05/30/13	N		
9. -STRATEGIC BOND FUND	A	Int./Div.	K	T	Buy	05/30/13	K		
10.					Buy (add'l)	8/27/13	J		
11. DREY MDCAP INDX (NATIONWIDE)	B	Dividend	J	T					
12. TIAA TRADITIONAL (RET ANN)	E	Interest	O	T	Sold (part)	05/07/13	K		
13.					Sold (part)	07/01/13	M		
14.					Buy (add'l)	07/11/13	M		
15. TIAA-CREF (IRA) (H)	F	Distribution	P1	T					
16. -CREF STOCK		None	K	T					
17. -CREF GROWTH		None	K	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.	06/02/2014

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. -CREF EQUITY INDEX		None	M	T					
19. -TC GR & INC - RET	E	Distribution	M	T					
20. -TC INTL EQ. RET. (COMPLETELY SOLD ON 10/11/12 NOT JUST SOLD IN PART)									
21. -TC MIDCAP GR RET.	E	Distribution	M	T					
22. -TC MIDCAP VAL RET.	D	Distribution	M	T					
23. -TIAA REAL ESTATE		None	M	T					
24. -CREF BOND MARKET		None	K	T					
25. -CREF INTL LINKED BONDS		None			Sold	01/24/13	M		
26. -TC HIGHYIELD RET	D	Distribution	M	T	Buy (add'l)	01/24/13	M		
27. FIDELITY BROKERAGE ACCOUNT #1 (H)									
28. -BANK DEPOSITS	A	Interest	J	T					
29. -TIIRX (TC GROWTH & INCOME FUND)	A	Dividend			Sold (part)	04/10/13	J	A	
30. -TIIRX (TC GROWTH & INCOME FUND)					Sold	07/11/13	J	B	
31. -TIMRX (TC MANAGED ALLOCATION FUND)	A	Dividend			Sold (part)	01/23/13	J	B	
32. -TIMRX (TC MANAGED ALLOCATION FUND)					Sold (part)	04/18/13	J	A	
33. -TIMRX (TC MANAGED ALLOCATION FUND)					Sold	05/07/13	J		

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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	
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3. Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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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 (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. FIDELITY BROKERAGE ACCOUNT (IRA)	D	Int./Div.	N	T					
35. -DREYFUS GOV PRIME (MONEY MARKET)		None	J	T	Buy	01/02/13	J		
36. -DREYFUS GOV PRIME (MONEY					Buy	01/29/13	L		
37. -DREYFUS GOV PRIME (MONEY					Sold (part)	01/31/13	L		
38. -DREYFUS GOV PRIME (MONEY					Sold (part)	02/01/13	J		
39. -DREYFUS GOV PRIME (MONEY					Sold (part)	02/04/13	K		
40. -ABERDEEN EQUITY - GGUIX			K	T	Buy	1/31/13	J		
41. -ABERDEEN EQUITY - GGUIX					Buy	02/01/13	J		
42. -PIMCO EMERGING LOCAL BOND - PLBDX	A	Dividend	J	T	Buy	01/31/13	J		
43. -TC INTL EQUITY INDEX - TCIEX	A	Dividend	K	T	Buy	01/31/13	J		
44. -TC LARGE CAP VALUE INDEX - TILVX	B	Distribution	K	T	Buy	01/31/13	J		
45. -TC LARGE CAP GROWTH INDEX - TILIX	A	Distribution	K	T	Buy	01/31/13	J		
46. -TC BOND INDEX TBIIX	A	Distribution	K	T	Buy	01/31/13	J		
47. -ISHARES TR BARCLAYS TIPS - TIP	A	Dividend	K	T	Buy	12/20/13	J		
48. -ISHARES TR BARCLAYS TIPS - TIP	A	Dividend	K	T	Buy	02/04/13	J		
49. -ISHARES TR RUSSELL MIDCAP VAL - IWS	A	Dividend	K	T	Buy	02/04/13	J		
50. -ISHARES TR RUSSELL MIDCAP INDEX - IWR	A	Dividend	J	T	Buy	02/04/13	J		

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51. -ISHARES TR IBOXX HIGH YIELD CORP - HYG (SAME AS HYT ON PRIOR REPORT)	A	Dividend	J	T	Buy	02/04/13	J		
52. -SPDRSETR DOW JONES - RWR	A	Dividend	J	T	Buy	02/04/13	J		
53. -VANGUARD BD INDEX SHORT TERM -BSV	A	Distribution	K	T	Buy	02/04/13	J		
54. H CWC ACCOUNTS #1									
55. -FIDELITY AZ MUN MYM FSAXX	A	Interest	J	T					
56. CWC IRA #1									
57. -CWC FX	A	Dividend	J	T					
58. -CWGDX	A	Dividend	J	T					
59. -PTTPX	A	Dividend			Sold	12/13/13	J	A	
60. -FDRXX	A	Interest	J	T					
61. -JAFIX		None	J	T	Buy	09/18/13	J		
62. -FATRX		None	J	T	Buy	12/13/13	J		
63. H CWC IRA #2	E	Distribution	N	T					
64. -ARVIX	A	Dividend	J	T					
65. -AEMSX	A	Dividend	J	T					
66. -YACKX	A	Dividend	K	T					

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67. -CWCFX	A	Distribution	K	T	Sold (part)	03/27/13	J	A	
68. -CWGDX	A	Dividend	K	T					
69. -PCBIX	A	Dividend	K	T					
70. -HEMZX	A	Dividend	J	T					
71. -FEHAX	A	Dividend	J	T					
72. -WHYIX	A	Dividend	J	T					
73. -JFLEX	A	Dividend	K	T	Sold (part)	6/11/13	J		
74. -JFLEX					Sold (part)	12/16/13	J		
75. -PTTRX	A	Dividend			Sold (part)	06/11/13	K		
76. -PTTRX					Sold	12/09/13	K	C	
77. -TGBAX	A	Dividend	K	T	Buy	12/16/13	J		
78. -TGBAX	A	Dividend	K	T	Buy	06/12/13	J		
79. -SGENX	A	Dividend	J	T					
80. -FDRXX	A	Interest	J	T					
81. -PIMIX	A	Dividend	K	T	Buy	06/12/13	J		
82. -PIMIX					Buy	12/13/13	J		
83. -TGINX	A	Dividend	J	T	Buy	06/12/13	J		

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84. -FIJEX		None	J	T	Buy	12/13/13	J		
85. CWC ACCOUNTS #2	D	Distribution	M	T					
86. -ARVIX	A	Dividend	J	T					
87. -AEMSX	A	Dividend	J	T					
88. -YACKX	A	Dividend	J	T	Buy (add'l)	04/16/13	J		
89. -CWCFX	A	Dividend	K	T	Buy (add'l)	08/16/13	J		
90. -CWCFX					Buy (add'l)	05/16/13	J		
91. -CWGDX	A	Dividend	K	T	Buy (add'l)	05/16/13	J		
92. -CWGDX					Buy (add'l)	09/16/13	J		
93. -PEMGX	A	Dividend	J	T	Buy (add'l)	03/19/13	J		
94. -PEMGX					Buy (add'l)	09/16/13	J		
95. -HEMZX	A	Dividend	J	T	Buy (add'l)	03/19/13	J		
96. -PTTPX	A	Dividend			Buy (add'l)	03/19/13	J		
97. -PTTPX					Sold	12/16/13	K		
98. -VFICX		None			Sold	01/29/13	K	A	
99. -SGENX	A	Dividend	J	T	Buy (add'l)	03/18/13	J		
100. -FSAXX	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.	06/02/2014

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

Name of Person Reporting	Date of Report
SCHROEDER, MARY M.	06/02/2014

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