AO 10
Rev. 1/2012

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2011

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.	US COURT OF APPEALS - 9TH CIRCUIT	7/3/2012
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	01/01/2011 **to** 12/31/2011
7. Chambers or Office Address		
U.S. COURTHOUSE, SUITE 610 401 W. WASHINGTON ST., SPACE 54 PHOENIX, AZ 85003-2156		

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. Insert signature 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.	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.	11/15/2011	Duke University - teaching	$4,500.00
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.	2011	ARIZONA STATE UNIVERESITY - SALARY
2.	2011	SHESHUNOFF INFORMATION SERVICES - BOOK ROYALTY
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	1/19/2011 - 1/20/2011	PHILADELPHIA, PA	SEMINAR	TRANSPORTATION, FOOD, HOTEL
2.	AMERICAN LAW INSTITUTE	3/4/2011 - 3/6/2011	WASHINGTON, D.C.	SEMINAR	TRANSPORTATION, FOOD, HOTEL
3.	AMERICAN BANKRUPTCY INSTITUTE	3/6/2011 - 3/8/2011	NEW YORK, NY	SEMINAR	TRANSPORTATION, FOOD, HOTEL
4.	FEDERAL BAR ASSOCIATION - OREGON CHAPTER	4/20/2011 - 4/21/2011	PORTLAND, OR	SPEAKING EVENT	TRANSPORTATION, FOOD, HOTEL
5.	GOLDEN GATE UNIVERSITY	6/23/2011 - 7/3/2011	PARIS, FRANCE	TEACHING	TRANSPORTATION, FOOD, HOTEL

6.	AMERICAN LAW INSTITUTE	10/19/2011 - 10/22/2011	NEW YORK, NY	SEMINAR	TRANSPORTATION, FOOD, HOTEL
7.	DUKE LAW SCHOOL	11/15/2011 - 11/17/2011	RALEIGH, NC	TEACHING	TRANSPORTATION, FOOD, HOTEL, INCOME
8.	AMERICAN LAW INSTITUTE	12/7/2011 - 12/9/2011	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.	7/3/2012

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	M	T					
2. LINCOLN NAT'L LIFE	A	Interest	J	T					
3. FRANKLIN FUND AZTXFR, INC.	A	Int./Div.	J	T	Sold (part)	07/25/11	J		
4. EQUITABLE 300+ STOCK FUND-IRA		None		T	Sold	4/11/11	K		
5. AZ STATE CREDIT UNION ACCOUNTS	A	Interest	L	T					
6. VALIC ACCOUNTS									
7. -VALIC FIXED PLUS FUND	C	Interest	L	T	Sold (part)	10/10/11	K		
8. -VALIC FIXED PLUS FUND				T	Sold (part)	6/6/11	J		
9. - VALIC SET RATE 7 YR	D	Interest	N	T					
10. TIAA - CREFF ACCOUNTS TRADITIONAL (RET. ANN)									
11. -TIAA TRADITIONAL (RET ANN.)	E	Interest	O	T	Sold (part)	7/1/11	M		
12. -TIAA TRADITIONAL (RET ANN.)				T	Buy (add'l)	7/26/11	N		
13. -CREF STOCK		None	K	T					
14. -CREF GROWTH		None	J	T					
15. -CREF EQUITY INDEX		None	M	T					
16. -TC INTL EQ. RET.		None	L	T	Buy (add'l)	11/25/11	K		
17. -TC MIDCAP VAL RET.		None	N	T	Buy (add'l)	11/25/11	M		

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.	7/3/2012

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. -TIAA REAL ESTATE		None	M	T	Sold (part)	12/1/11	J		
19. -CREF INFL LINKED BONDS		None	N	T	Buy (add'l)	7/26/11	M		
20. -CREF BOND MARKET		None	K	T					
21. -TC SHORT TERM BOND		None		T	Sold	7/26/11	M	A	
22. -GOLDMAN SACHS	B	Dividend		T	Buy (add'l)	7/1/11	L		
23. -GOLDMAN SACHS				T	Sold	7/26/11	N	C	
24. -NUVEEN MIDCAP GW (FORMERLY FIRST AM MIDCAP GWTH)		None		T	Sold	7/26/11	N		
25. -TC MIDCAP VAL (Y)		None		T	Buy (add'l)	7/26/11	M		
26. -TC MIDCAP VAL (Y)				T	Sold	11/23/11	M		
27. TC INTL EQ. PREM (Y)		None		T	Sold (part)	11/23/11	K		
28. -TC INTL EQ. PREM (Y)				T	Sold	12/1/11	J		
29. CWC ACCOUNTS									
30. -FDRXX (FIDELITY CASH RESERVES)	B	Dividend	M	T	Buy	4/12/11	J		
31. -FDRXX (FIDELITY CASH RESERVES)				T	Buy (add'l)	4/19/11	K		
32. -FDRXX (FIDELITY CASH RESERVES)				T	Buy (add'l)	7/13/11	M		
33. -PTTPX	A	Dividend	K	T	Buy	7/14/11	J		
34. -PTTPX	A	Dividend		T	Buy (add'l)	9/2/11	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.	7/3/2012

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)
35. -VFIDX	A	Dividend	K	T	Buy	9/2/11	K		
36. -VFICX	A	Dividend	J	T	Buy	7/14/11	J		
37. -FSAXX	A	Dividend	K	T	Buy	7/25/11	J		
38. -FSAXX				T	Buy (add'l)	8/5/11	J		
39. -PTTRX	A	Dividend	K	T	Buy	9/2/11	K		
40. DREY MDCAP INDX (NATIONWIDE)		None	J	T	Buy	7/14/11	J		
41. WELLS FARGO BANK (IRA) (Y)	A	Interest	K	T					
42. TC High Yield RTMT	A	Int./Div.	L	T			L		

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.	7/3/2012

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

REVISIONS/EXPLANATIONS TO PART VII.

CREF BOND MKT PREVIOUSLY SHOWN AS CREF BOND

TC MIDCAP VAL INADVERTENTLY OMITTED IN PRIOR REPORT

TC INTL EQ. PREM INADVERTENTLY OMITTED IN PRIOR REPORT

WELLS FARGO BANK (IRA) INADVERTENTLY OMITTED IN PRIOR REPORT

TC High Yield RTMT: was sold on 12/8/2010. (Code K = $15,001-$50,000)

FIRST AM MIDCAP GWTH and FIRST AM MIDCAP GWTH (RET. ANN) that were listed in prior 2010 report became NUVEEN MIDCAP GW and are listed in Section VII, Line 24 of this Disclosure.

Name of Person Reporting	Date of Report
SCHROEDER, MARY M.	7/3/2012

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