AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

1. Person Reporting (last name, first, middle initial)	2. Court or Organization	3. Date of Report
SCHROEDER, MARY M.	NINTH CIRCUIT COURT OF APPEALS	04/19/2024
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	01/01/2023 **to** 12/31/2023
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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	COUNCIL MEMBER - EMERITUS	AMERICAN LAW INSTITUTE
2.	TRUSTEE	TRUST #1
3.	ADVISORY BOARD MEMBER	LOWELL OBSERVATORY
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements.)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

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
1.	2023	ARIZONA STATE RETIREMENT SYSTEM [redacted]
2.		
3.		
4.		

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☐ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.	University of California Berkley	01/28/2023 - 01/29/2023	San Francisco, CA	Seminar	Transportation, Hotel
2.	Korematsu Institute	10/21/2023 - 10/22/2023	San Francisco, CA	Seminar	Transportation, Hotel
3.					
4.					
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
SCHROEDER, MARY M.	04/19/2024

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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)	
1. JP MORGAN CHASE ACCOUNTS (TRUST #1)	A	Interest	L	T					
2. LINCOLN NAT'L LIFE INSURANCE - WHOLE LIFE POLICY	A	Interest	J	T					
3. AZ STATE CREDIT UNION ACCOUNTS	A	Interest	K	T					
4. FIDELITY MIDCAP (NATIONWIDE) (FORMERLY VNGRD)	A	Dividend	K	T					
5. -TIAA TRADITIONAL (RET ANN)	E	Interest	O	T					
6. (H) TIAA RET									
7. -TIAA REAL EST		None	N	T	Sold (part)	08/29/23	K		
8. -CREF CORE BOND (FORMERLY BOND MKT)		None	N	T	Sold (part)	01/05/23	L		
9.					Sold (part)	04/13/23	L		
10. (H) CWC ACCOUNTS [redacted]									
11. -FDRXX	A	Dividend	J	T					
12. -JSHIX	A	Dividend			Sold	08/17/23	K		
13. -AGG	A	Dividend			Sold	03/24/23	K		
14. -BIMBX	A	Dividend	J	T	Buy	08/17/23	J		
15. -LFLIX	A	Dividend	J	T	Buy	08/17/23	J		
16. -THIIX	A	Dividend	K	T	Buy	03/24/24	J		
17.					Buy (add'l)	08/17/23	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

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SCHROEDER, MARY M.	04/19/2024

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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)	
18. -PIPNX	A	Dividend	J	T	Buy	03/27/23	J		
19. (H) CWC IRA #11 [redacted]									
20. -CWCFX	A	Dividend	J	T					
21. -FDRXX	A	Dividend	J	T					
22. -AOVIX	A	Dividend	J	T	Sold (part)	09/15/23	J		
23. (H) CWC IRA #2 [redacted]									
24. -YACKX		None			Sold (part)	01/26/23	K		
25.					Sold	07/06/23	M	F	
26. -CWCFX			M	T	Buy (add'l)	07/07/23	K		
27. -PCBIX	C	Dividend	M	T	Sold (part)	01/25/23	K		
28.					Buy (add'l)	07/06/23	K		
29. -FDRXX	A	Dividend	J	T					
30. -RAIRX		None			Sold (part)	02/24/23	J	A	
31.					Sold	07/07/23	K	D	
32. -YASSX		None			Sold (part)	02/24/23	J	B	
33.					Sold	07/06/23	K	D	
34. -DISRX	A	Dividend	K	T	Sold (part)	02/08/23	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	
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☐ 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)	
35.					Sold (part)	11/17/23	K	A	
36. -REVIX	B	Dividend	L	T	Sold (part)	02/23/23	K		
37.					Sold (part)	07/07/23	K		
38. -YFSIX	D	Dividend	M	T	Sold (part)	02/23/23	K		
39.					Buy (add'l)	07/06/23	K		
40. -LPXIX		None			Sold	01/25/23	J		
41. -GPGCX	A	Dividend	K	T	Sold (part)	02/02/23	J		
42.					Sold (part)	07/06/23	J		
43. -GPEIX	B	Dividend	K	T	Sold (part)	02/24/23	J		
44. -PRILX	D	Dividend	M	T	Sold (part)	02/02/23	K		
45.					Buy (add'l)	07/06/23	K		
46.					Buy (add'l)	08/10/23	K		
47. -VCRRX		None			Sold	08/25/23	K	A	
48. -LFLIX	B	Dividend	K	T	Sold (part)	02/02/23	J		
49. -PFLEX	B	Dividend	J	T	Sold (part)	08/10/23	K		
50.					Sold (part)	11/09/23	J	A	
51. -BIMBX	A	Dividend	K	T	Buy (add'l)	02/02/23	J		

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52.					Sold (part)	07/06/23	J		
53. -VARBX					Sold	07/07/23	J	A	
54. -FAQAX		None	K	T	Buy	01/25/23	J		
55.					Buy (add'l)	07/07/23	K		
56.					Sold (part)	11/17/23	K		
57. -GOGIX	B	Dividend	L	T	Buy	07/06/23	J		
58. -BIVIX	E	Dividend	L	T	Buy	01/25/23	K		
59.					Buy (add'l)	07/07/23	L		
60. -ATEAX	A	Dividend	J	T	Buy	01/25/23	K		
61.					Sold (part)	07/07/23	K	B	
62.					Buy (add'l)	11/17/23	J		
63. -ODIDX	B	Dividend	K	T	Buy	02/02/23	K		
64. -PIMIX	A	Dividend	K	T	Buy	08/25/23	K		
65. -THIX	A	Dividend	K	T	Buy	07/10/23	J		
66. -BKCI		None	K	T	Buy	07/06/23	K		
67. -SUPP		None	J	T	Buy	11/17/23	J		
68. -IAU		None	K	T	Buy	02/12/23	K		

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69.					Sold (part)	07/06/23	K		
70.					Buy (add'l)	11/17/23	J		
71. -GCCLX	A	Dividend	K	T	Buy	02/08/23	K		
72.					Buy (add'l)	02/24/23	K		
73.					Sold	07/06/23	K		
74. (H) CWC ACCOUNTS #2 (TRUST #1)									
75. -YACKX	B	Dividend	K	T	Buy (add'l)	01/31/23	J		
76.					Buy (add'l)	02/15/23	J		
77.					Sold (part)	08/16/23	J	A	
78. -CWCFX	B	Dividend	L	T	Buy (add'l)	01/31/23	J		
79. -PCBIX	B	Dividend	K	T	Buy (add'l)	01/31/23	J		
80. -FDRXX	A	Dividend	K	T					
81. -YASSX		None			Sold (part)	02/15/23	J	B	
82.					Sold	11/17/23	J		
83. -RAIRX		None			Sold	07/06/23	J		
84. -REVIX	A	Dividend	K	T	Buy (add'l)	02/16/23	J		
85. -BKC1	A	Dividend	K	T					

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86. -EFV		None			Sold	02/02/23	J	A	
87. -SPY		None			Sold	01/31/23	K	A	
88. -MDY		None			Sold	01/31/23	J	A	
89. -EEM		None			Sold	02/15/23	K	A	
90. -FAQAX		None	J	T	Buy	07/06/23	J		
91. -YFSIX	B	Dividend	K	T	Buy	01/31/23	K		
92. -GPEIX	A	Dividend	K	T	Buy	02/15/23	K		
93. -GPGCX	A	Dividend	J	T	Buy	02/15/23	J		
94.					Sold (part)	07/07/23	J		
95. -BIVIX	C	Dividend	K	T	Buy	11/17/23	K		
96. -PRILX	C	Dividend	K	T	Buy	01/31/23	K		
97. -SUPP		None	K	T	Buy	11/17/23	J		
98. -IAU			J	T	Buy	11/17/23	J		
99.									

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
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Name of Person Reporting	Date of Report
SCHROEDER, MARY M.	04/19/2024

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

(H) DENOTES A HEADER ROW

Name of Person Reporting	Date of Report
SCHROEDER, MARY M.	04/19/2024

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. § 13141 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. § 13106)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite G-330
One Columbus Circle, N.E.
Washington, D.C. 20544