

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) Schroeder, Thomas D.	2. Court or Organization Middle District of N C	3. Date of Report 05/14/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address 251 North Main Street, Suite 223A Hiram Ward Federal Courthouse Winston-Salem, North Carolina 27101		
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. Board Member	Notre Dame Law Association
2.	
3.	
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.	

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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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2013

Piedmont Land Conservancy, salary

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	University of North Carolina/Chapel Hill	tuition and housing for 2013-14 school year	J
2.	Wake Forest University	tuition and housing for 2013 spring semester	J
3.			
4.			
5.			

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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		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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. Wells Fargo Accounts (Wachovia)	A	Interest	J	T					
2. BB&T Account	A	Interest	J	T					
3. US Treasury Series EE Bonds		None	J	T					
4. First Tennessee Accounts	B	Interest	N	T					
5. Valic Annuity	B	Dividend	K	T					
6. Brokerage #1 (H)									
7. -iShares Russell 1000 ETF	B	Dividend	L	T					
8. -PowerShares FTSE RAFI US 1000	C	Dividend	N	T					
9. -iShares MSCI EAFE ETF	C	Dividend	M	T					
10. -Vanguard FTSE Developed Markets ETF (name changed from prior fund)	B	Dividend	L	T					
11. -iShares MSCI Emerging Markets ETF	A	Dividend	K	T					
12. -Vanguard FTSE Emerging Markets ETF	A	Dividend	K	T					
13. -PIMCO 1-5 Year US TIPS Index ETF	A	Dividend	L	T					
14. -PIMCO Low Duration Fund Instl	B	Dividend	L	T					
15. -Vanguard Ltd-Term Tax Exempt Adm	B	Dividend	L	T					
16. -Vanguard Short-Term Investment-Grade Adm	A	Dividend	J	T					
17. -Fidelity Cash Money Market	A	Dividend	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A ~\$1,000 or less F ~\$50,001 - \$100,000	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$250,000,001 - \$50,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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. Brokerage #2 (H)									
19. -iShares Russell 1000 ETF	A	Dividend	K	T					
20. -PowerShares FTSE RAFI US 1000	A	Dividend	K	T					
21. -iShares MSCI EAFE ETF	A	Dividend	J	T					
22. -Vanguard FTSE Developed Markets ETF (name changed from prior fund)	B	Dividend	K	T					
23. -iShares MSCI Emerging Markets ETF	A	Dividend	J	T					
24. -Vanguard FTSE Emerging Markets ETF	A	Dividend	J	T					
25. -PIMCO All Asset All Authority Instl	B	Dividend	K	T					
26. -AQR Managed Futures Strategy Cl I	A	Dividend	K	T					
27. -Eaton Vance Gbl Macro Absolute Ret Advtg I	A	Dividend	J	T					
28. -PIMCO Unconstrained Bond Instl	A	Dividend	J	T					
29. -PIMCO 1-5 Year US TIPS Index ETF	A	Dividend	J	T					
30. -PIMCO Global Advantage Strategy Bond Instl	A	Dividend	J	T					
31. -Vanguard Short-Term Investment-Grade Adm	A	Dividend	J	T					
32. -Eaton Vance Floating Rate Adv	B	Dividend	L	T					
33. -Fidelity Cash Money Market	A	Dividend	J	T					
34. Brokerage #3 (H)									

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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35. -AQR Managed Futures Strategy C11	A	Dividend	L	T					
36. -PIMCO 1-5 Year US TIPS Index ETF	A	Dividend	K	T					
37. -PIMCO Global Advtge Strategy Bond Instl	A	Dividend	K	T					
38. -Vanguard Short-Term Investment-Grade Adm	A	Dividend	L	T					
39. -Eaton Vance Floating Rate Adv	A	Dividend	J	T					
40. -Fidelity Cash Money Market	A	Dividend	J	T					
41. Brokerage #4 (H) (X)									
42. -Eaton Vance Gbl Macro Absolute Ret Advtg (X)	A	Dividend	K	T	Buy	01/29/13	K		
43. -PIMCO Fndmntl Advtge Absolute Ret Instl (X)	B	Dividend	K	T	Buy	01/29/13	K		
44. -PIMCO Unconstrained Bond Instl (X)	A	Dividend	K	T	Buy	01/29/13	K		
45. -PIMCO 1-5 Year US TIPS Index ETF (X)	A	Dividend	K	T	Buy	01/29/13	K		
46. -Eaton Vance Floating Rate Instl (X)	A	Dividend	K	T	Buy	01/29/13	K		
47. -Fidelity Cash Money Market (X)	A	Dividend	J	T					
48. IRA #1 (H)									
49. -iShares Russell 1000 ETF	A	Dividend	K	T					
50. -PowerShares FTSE RAFI US 1000	A	Dividend	K	T					
51. -iShares MSCI EAFE ETF	A	Dividend	K	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. -iShares MSCI Emerging Markets ETF	A	Dividend	J	T					
53. -PIMCO All Asset All Authority Instl	C	Dividend	L	T					
54. -American Funds High Income Trust Cl A (X)	A	Dividend			Sold	05/28/13	J	A	
55. -Eaton Vance Floating Rate Adv.	A	Dividend			Sold	05/28/13	J	A	
56. -Eaton Vance Floating Rate Adv.	A	Dividend	J	T	Buy	06/19/13	J		
57. -Eaton Vance Floating Rate Instl	A	Dividend	J	T	Buy	05/29/13	J		
58. -Fidelity Treasury Daily Money Market	A	Dividend	J	T					
59. IRA #2 (H)									
60. -PIMCO All Asset All Authority Instl	B	Dividend	K	T					
61. -Eaton Vance Floating Rate Adv	A	Dividend	J	T	Sold (part)	11/12/13	J	A	
62. -Fidelity Treasury Daily Money Market (Y)	A	Dividend							
63. IRA #3 (H)									
64. -PowerShares FTSE RAFI US 1000	A	Dividend	K	T	Sold (part)	06/06/13	K	D	
65. -iShares MSCI EAFE ETF	B	Dividend	L	T	Sold (part)	06/06/13	J	A	
66. -iShares MSCI Emerging Markets EFT	B	Dividend	L	T	Buy (add'l)	06/06/13	J		
67. -PIMCO All Asset All Authority Instl	D	Dividend	M	T	Buy (add'l)	06/10/13	J		
68. -AQR Managed Futures Strategy Cl I	A	Dividend	K	T					

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69. -Eaton Vance Gbl Macro Absolute Ret Advtg I	A	Dividend	M	T	Buy (add'l)	06/10/13	K		
70. -PIMCO Unconstrained Bond Instl	A	Dividend	L	T					
71. -Eaton Vance Emerging Mkts Local Income Cl I	D	Dividend	M	T	Buy (add'l)	06/10/13	J		
72. -PIMCO Global Advantage Strategy Bond Instl	B	Dividend	L	T					
73. -PIMCO High Yield Spectrum Instl	D	Dividend	M	T					
74. -Eaton Vance Floating Rate Adv	A	Dividend	J	T					
75. -Eaton Vance Floating Rate Instl	D	Dividend	M	T	Buy (add'l)	06/10/13	J		
76. -Fidelity Treasury Daily Money Market (Y)	A	Dividend							
77. Mass Mutual Whole Life Insurance	B	Dividend	L	T					
78. Mass Mutual Whole Life Insurance	A	Dividend	K	T					
79. Loyal American Insurance	A	Dividend	J	U					
80. Winston-Salem Foundation Donor Advised Fund		None	J	T					
81. Vanguard 529 -Vanguard Interest Accumulation Portfolio	A	Interest	J	T					
82. Vanguard 529 -Vanguard Interest Accumulation Portfolio	A	Interest	J	T					
83. NC College Foundation 529 Dependable Income Fund	A	Interest	K	T					

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3. Value Method Codes (See Column C2)	Q ~Appraisal U ~Book Value	R ~Cost (Real Estate Only) V ~Other	S ~Assessment W ~Estimated	T ~Cash Market	

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

The Winston-Salem Foundation Donor Advised Fund reflects money we donated irrevocably to, and is owned by, the Foundation, but I and [REDACTED] can direct donations from that Fund to charities of our choice. We can receive no income from its investment; rather, the Fund receives the income.

Section VII, lines 10 and 12: This fund is simply a name change from the prior fund known as Vanguard MSCI EAFE ETF.

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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/ **Thomas D. 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