

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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 05/15/2015
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 01/01/2014 to 12/31/2014
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Board Member	Notre Dame Law Association
2.	Vice President/Board of Governors	N.C. Bar Association
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.		
2.		
3.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Schroeder, Thomas D.

Date of Report

05/15/2015

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. _____

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. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Schroeder, Thomas D.

Date of Report

05/15/2015

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 2014	K
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Schroeder, Thomas D.

Date of Report

05/15/2015

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	K	T					
2. BB&T Account					Closed				
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	M	T					
8. -PowerShares FTSE RAFI US 1000	C	Dividend	N	T					
9. -iShares MSCI EAFE ETF	C	Dividend	M	T	Buy (add'l)	11/04/14	K		
10. -Vanguard FTSE Developed Markets ETF	C	Dividend	L	T					
11. -iShares MSCI Emerging Markets ETF	B	Dividend	L	T	Buy (add'l)	11/04/14	K		
12. -Vanguard FTSE Emerging Markets ETF	A	Dividend			Sold	11/03/14	K	A	
13. -Eaton Vance Gbl Macro Absolute Ret Advtg I		None			Sold	11/03/14	K	A	
14. -PIMCO RAE Worldwide Fndmntl Advt PLUS Instl		None			Sold	11/03/14	K	A	
15. -PIMCO Unconstrained Bond Instl	A	Dividend			Sold	11/04/14	K	A	
16. -PIMCO 1-5 Year US TIPS Index ETF	A	Dividend	L	T					
17. -PIMCO Low Duration Fund Instl	B	Dividend	L	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 H ~\$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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

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05/15/2015

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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		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code I (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. -Vanguard Ltd-Term Tax Exempt Adm	A	Dividend	L	T					
19. -Vanguard Short-Term Investment-Grade Adm	A	Dividend			Sold	11/03/14	J	A	
20. -Eaton Vance Floating Rate Instl	A	Dividend	K	T					
21. -Fidelity Cash Money Market	A	Dividend	K	T					
22. -Fidelity Cash Reserves	A	Dividend	L	T	Buy	12/16/14	L		
23. Brokerage #2 (H)									
24. -iShares Russell 1000 ETF	A	Dividend	K	T	Sold (part)	11/03/14	J	A	
25. -PowerShares FTSE RAFI US 1000	A	Dividend	K	T					
26. -iShares MSCI EAFE ETF	A	Dividend	J	T	Buy (add'l)	11/03/14	J		
27. -Vanguard FTSE Developed Markets ETF	B	Dividend	K	T					
28. -iShares MSCI Emerging Markets ETF	A	Dividend	K	T	Buy (add'l)	11/03/14	K		
29. -Vanguard FTSE Emerging Markets ETF	A	Dividend			Sold	11/03/14	J	A	
30. -PIMCO All Asset All Authority Instl	B	Dividend	K	T	Buy (add'l)	11/03/14	J		
31. -AQR Managed Futures Strategy C11	A	Dividend	K	T					
32. -Eaton Vance Gbl Macro Absolute Ret Advtg I		None			Sold	11/03/14	J	A	
33. -PIMCO RAE Worldwide Fndmntl Advt PLUS Instl	A	Dividend	K	T	Buy	11/04/14	K		
34. -PIMCO Unconstrained Bond Instl	A	Dividend			Sold	11/04/14	J	A	

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

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35. -RiverNorth/DoubleLine Strategic Income I	A	Dividend	K	T	Buy	11/03/14	K		
36. -PIMCO 1-5 Year US TIPS Index ETF	A	Dividend			Sold	11/03/14	J	A	
37. -PIMCO Global Advantage Strategy Bond Instl	A	Dividend	K	T	Buy (add'l)	11/03/14	J		
38. -Vanguard Short-Term Investment-Grade Adm	A	Dividend	J	T					
39. -Eaton Vance Floating Rate Adv	B	Dividend			Sold	11/04/14	J	A	
40. -Eaton Vance Floating Rate Instl	A	Dividend	K	T	Buy	11/04/14	J		
41. -Fidelity Cash Money Market	A	Dividend	J	T					
42. Brokerage #3 (H)									
43. -AQR Managed Futures Strategy C1 I	C	Dividend	L	T					
44. -PIMCO 1-5 Year US TIPS Index ETF	A	Dividend			Sold	11/03/14	K	A	
45. -PIMCO Global Advtge Strategy Bond Instl	B	Dividend	M	T	Buy (add'l)	11/06/14	L		
46. -Vanguard Short-Term Investment-Grade Adm	A	Dividend			Sold	11/04/14	L	A	
47. -Eaton Vance Floating Rate Adv	A	Dividend	J	T	Sold (part)	11/05/14	J	A	
48. -Fidelity Cash Money Market	A	Dividend	J	T					
49. IRA #1 (H)									
50. -iShares Russell 1000 ETF	A	Dividend	K	T					
51. -PowerShares FTSE RAFI US 1000	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
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FINANCIAL DISCLOSURE REPORT

Page 7 of 10

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52. -iShares MSCI EAFE ETF	A	Dividend	K	T					
53. -iShares MSCI Emerging Markets ETF	A	Dividend	J	T					
54. -PIMCO All Asset All Authority Instl	C	Dividend	L	T					
55. -Eaton Vance Floating Rate Adv	A	Dividend			Sold	11/14/14	J	A	
56. -Eaton Vance Floating Rate Instl	A	Dividend	J	T	Buy (add'l)	11/14/14	J		
57. -Fidelity Treasury Daily Money Market		None	J	T					
58. IRA #2 (H)									
59. -PIMCO All Asset All Authority Instl	B	Dividend	K	T					
60. -Eaton Vance Floating Rate Adv	A	Dividend	J	T					
61. IRA #3 (H)									
62. -PowerShares FTSE RAFI US 1000	A	Dividend	K	T					
63. -iShares MSCI EAFE ETF	B	Dividend	L	T	Buy (add'l)	11/04/14	K		
64. -iShares MSCI Emerging Markets EFT	B	Dividend	L	T					
65. -PIMCO All Asset All Authority Instl	D	Dividend	M	T	Buy (add'l)	11/03/14	J		
66. -AQR Managed Futures Strategy Cl 1	B	Dividend	K	T					
67. -Eaton Vance Gbl Macro Absolute Ret Advtg I		None			Sold	11/03/14	M	A	
68. -PIMCO RAE Worldwide Fndmntl Advt PLUS Instl	B	Dividend	M	T	Buy	11/04/14	M		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 10

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69. -PIMCO Unconstrained Bond Instl	B	Dividend			Sold	11/04/14	M	A	
70. -RiverNorth/DoubleLine Strategic Income I	B	Dividend	M	T	Buy	11/04/14	M		
71. -Eaton Vance Emerging Mkts Local Income CI I	D	Dividend	M	T	Buy (add'l)	11/04/14	J		
72. -PIMCO Global Advantage Strategy Bond Instl	B	Dividend	L	T					
73. -PIMCO High Yield Spectrum Instl	D	Dividend			Sold	11/04/14	M	A	
74. -Eaton Vance Floating Rate Adv	A	Dividend	J	T					
75. -Eaton Vance Floating Rate Instl	D	Dividend	M	T	Buy (add'l)	11/05/14	K		
76. -Fidelity Treasury Daily Money Market	A	Dividend	J	T					
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					

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
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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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Schroeder, Thomas D.

Date of Report

05/15/2015

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 [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.

Part VII, line 2: the BBT account was apparently closed August 19, 2013.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Schroeder, Thomas D.

Date of Report

05/15/2015

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