

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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, HKennethJr	2. Court or Organization U.S. District Court, W.D.N.Y.	3. Date of Report 04/04/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge-Full time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address U.S. Courthouse 2 Niagara Square Buffalo, New York 14202		
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.		
2.		
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. May 2000	Hodgson, Russ, Andrews, Woods & Goodyear Retirement Plan - former law firm - no control
2. May 2000	Hodgson, Russ, Andrews, Woods & Goodyear Capital Accounts - former law firm - no control
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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 12/07/12	Hodgson,Russ,Andrews,Woods&Goodyear-Retirement income from pension plan.	\$75,000.00
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.	
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.				
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.)*

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.		

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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. IRA ACCOUNT - Common Stock & money funds:									
2. MLIKX Money Funds		None	J	T					
3. Hodgson, Russ, Andrews, Woods & Goodyear 401(k) - no control									
4. Common Stock:									
5. Harbor Capital Appreciation		None	K	T					
6. Managers Special Equity		None	K	T					
7. Dodge & Cox Stock Fund		None	K	T					
8. Loomis Sayles Small Cap		None	K	T					
9. Fleet Bank-checking account	A	Interest	J	T					
10. Common Stock - M&T Bank	A	Dividend	L	T					
11. Mutual Funds:									
12. AIM Large Cap Growth Fund		None	J	T					
13. Alliance Premier Growth Fund		None	J	T					
14. Legg Mason Value Trust		None	J	T					
15. Lord Abbett Secs Tr.		None	J	T					
16. Putnam Int. Growth Fund		None	J	T					
17. Templeton Funds Inc		None	J	T					

1. Income Gain Codes:	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
(See Columns B1 and D4)	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	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
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18. Van Kampen Comstock CL		None	J	T					
19. Van Kampen Equity Trust		None	J	T					
20. Money Market Funds:									
21. Legg Mason Cash Reserve Trust		None	K	T					
22. Section 529 - Internal Revenue Code Education Funds for									
23. New York's College Savings Program (age/ risk based invest.)									
24.		None	K	T					
25.		None	K	T					
26.		None	K	T					
27. M&T BANK (common stock)	B	Dividend	K	T					
28. M&T BANK (common stock)	A	Dividend	J	T					
29. M&T BANK (common stock)	A	Dividend	K	T					
30. M&T BANK (common stock)	A	Dividend	K	T					
31. M&T BANK (common stock)	B	Dividend	J	T					
32. M&T BANK (common stock)	B	Dividend	J	T					
33. M&T BANK (common stock)	B	Dividend	J	T					
34. M&T BANK (common stock)	B	Dividend	J	T					

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35. UNITEDHEALTH GROUP INC		None	J	T					
36. CONSTELLATION ENERGY GP		None	J	T					
37. HERSHEY FOODS CORP		None	J	T					
38. IMMUNEX CORP NEW		None	J	T					
39. INDYMAC BANCORP INC		None	J	T					
40. LEHMAN BROTHERS HLDGS COM		None	J	T					
41. HCA INC		None	J	T					
42. VISHAY INTERTECHNLGY		None	J	T					
43. BARNES & NOBLE INC		None	J	T					
44. WACHOVIA CORP		None	J	T					
45. REHABCARE GROUP INC		None	J	T					
46. ELECTRS BOUTIQUE HLDGS		None	J	T					
47. AT&T CORP		None			Sold	03/28/12	J	B	
48. HARLEY DAVIDSON INC		None	J	T					
49. MID ATLANTIC MED SVCS		None	J	T					
50. OCEAN ENERGY INC		None	J	T					
51. PUB SVC NEW MEX PR		None	J	T					

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52. AFFILIATED COMP SVCS		None	J	T					
53. AMERICAN STD COS		None	J	T					
54. ANIXTER INTL INC		None	J	T					
55. BOISE CASCADE		None	J	T					
56. MBNA CORP		None	J	T					
57. OPEN TEXT CORP		None	J	T					
58. LEAR CORP		None	J	T					
59. CAPITOL ONE FINL		None	J	T					
60. CAPITOL ONE FINL		None	J	T					
61. KINETICS CONCEPTS		None	J	T					
62. NEWS C ORP CI		None	J	T					
63. NORFOLK SOUTHERN		None	J	T					
64. OPEN TEXT CORP		None	J	T					
65. SONY CORP		None	J	T					
66. WEIGHT WATCHERS INT		None	J	T					
67. HARTFORD FINL SVCS GROUP		None	J	T					
68. COMMERCE BANCORP INC NJ		None	J	T					

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69. INGRAM MICRO INC CL A		None	J	T					
70. MOTOROLA INC COM		None	J	T					
71. MICRO DEVICES INC		None	J	T					
72. SCIENTIFIC ATLANTA		None	J	T					
73. MATSUSHTA EL IND ADR		None	J	T					
74. FISHER SCIENTIFIC 1 NEW		None	J	T					
75. THERMO ELECTRON CORP		None	J	T					
76. LEXMARK INTL INC CL A		None	J	T					
77. UNIVISION COMM INC CL A		None	J	T					
78. SAP AKGSLTT SPONSORD ADR		None	J	T					
79. KOHLS CORP WISC PV 1CT		None	J	T					
80. GLOBAL SANTA FE CORP		None	J	T					
81. REGIONS FINL CORP		None	J	T					
82. CITIZENS COMMNCTNS CO		None	J	T					
83. PENSKE AUTO GROUP INC		None	J	T					
84. GARMIN LTD (KAYMAN IS)		None	J	T					
85. CHEVRON CORP	A	Dividend	J	T					

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86. CHEVRON CORP	A	Dividend	J	T					
87. ALTRIA GROUP INC	A	Dividend			Sold	01/27/12	J	B	
88. TREEHOUSE FOODS INC COM STK		None	J	T					
89. ATC TECH CORP		None	J	T					
90. GILEAD SCIENCES INC COM		None	J	T					
91. APACHE CORP	A	Dividend	J	T					
92. L.V.M.H. EUR 0.33EUR PAR ORDINARY		None	J	T					
93. MYLAN INC		None			Sold	04/26/12	J	A	
94. CARLSBERG AS-B 20.DKK	A	Dividend	J	T					
95. SWATCH GROUP (BR)		None			Sold	03/13/12	J	B	
96. EXXON MOBIL CORP COM	A	Dividend	J	T					
97. NEENAH PAPER INC		None	J	T					
98. INTL BUSINESS MACH DE		None			Sold	03/16/12	J	B	
99. TRW AUTOMOTIVE HOLDINGS CORP		None	J	T					
100. GUANGSHEN RAILWAY LTD SPON ADR		None			Sold	01/11/12	J	A	
101. ATWOOD OCEANICS INC DE		None			Sold	02/03/12	J	A	
102. APPLIED MATERIALS INC DE	A	Dividend	J	T					

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103. HOME PROPERTIES INC DE	A	Dividend	J	T					
104. MCDONALDS CORP DE	A	Dividend			Sold	10/19/12	J	A	
105. AEGON NV ADR NY SHS NETHERLANDS ADR		None			Sold	01/25/12	J	A	
106. SIMON PPTY GROUP INC SBI DE		None			Sold	02/03/12	J	A	
107. SCHLUMBERGER LTD NETHERLANDS ANTILLES	A	Dividend	J	T					
108. ADVANCE AUTO PARTS INC DE	A	Dividend			Sold	02/16/12	J	B	
109. HARRIS CORP DELA DE	A	Dividend			Sold	05/01/12	J	A	
110. YAHOO INC DE		None			Sold	11/19/12	J	A	
111. AMER EXPRESS CO DE	A	Dividend	J	T					
112. CERNER CORP DE		None	J	T					
113. FLOWSERVE CORP DE	A	Dividend	J	T					
114. PARKER HANNIFIN CORP DE		None			Sold	01/20/12	J	A	
115. DELL INC DE		None			Sold	02/15/12	J	A	
116. ROCKWELL AUTOMATION INC NEW		None			Sold	04/25/12	J	A	
117. US BANCORP DEL (NEW) DE		None			Sold	01/11/12	J	A	
118. VALEANT PHARMACEUTICALS INTL I CAD		None			Sold	05/03/12	J	A	
119. VODAFONE GROUP PLC NEW SPON ADR		None			Sold	02/09/12	J	A	

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120. BAYERISCHE MOTORNWERKE AG SHS 98 EUR		None	J	T					
121. PRICELINE.COM INC NEW DE		None			Sold	01/19/12	J	A	
122. EMC CORP MASS DE		None			Sold	01/26/12	J	A	
123. AKAMAI TECHNOLOGIES INC DE		None			Sold	01/12/12	J	A	
124. TEMPUR-PEDIC INTL INC DE		None			Buy	01/03/12	J		
125. TEMPUR-PEDIC INTL INC DE		None			Sold	03/02/12	J	B	
126. KINDER MORGAN ENERGY PARTNERS MLP	A	Dividend	J	T	Buy	01/12/12	J		
127. ESSEX PROPERTY TRUST INC DE	A	Dividend	J	T	Buy	01/13/12	J		
128. PACCAR INC DE	A	Dividend			Buy	01/26/12	J		
129. PACCAR INC DE		None			Sold	07/11/12	J	A	
130. NPS PHARMACEUTICALS DEL DE		None	J	T	Buy	01/30/12	J		
131. CBS CORP NEW CL B DE	A	Dividend	J	T	Buy	01/31/12	J		
132. ENTERPRISE PRODUCTS PARNTER LP MLP	A	Dividend	J	T	Buy	02/03/12	J		
133. CME GROUP INC CE	A	Dividend	J	T	Buy	02/03/12	J		
134. CATERPILLAR INC DE	A	Dividend			Buy	02/03/12	J		
135. CATERPILLAR INC DE		None			Sold	10/09/12	J	A	
136. BERKSHIRE HATHAWAY INC NEW CL B		None			Buy	02/10/12	J		

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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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)
137. BERKSHIRE HATHAWAY INC NEW CL B		None			Sold	04/26/12	J	C	
138. SNAP ON INC DE	A	Dividend	J	T	Buy	02/13/12	J		
139. WYNDHAM WORLDWIDE CORP DE	A	Dividend	J	T	Buy	02/13/12	J		
140. KNIGHT CAPITAL GROUP INC CL A		None			Buy	02/14/12	J		
141. KNIGHT CAPITAL GROUP INC CL A		None			Sold	06/08/12	J	A	
142. LIMITED BRANDS INC CL A DE	A	Dividend	J	T	Buy	02/16/12	J		
143. AETNA INC DE	A	Dividend	J	T	Buy	02/22/12	J		
144. PRICE T ROW GROUP INC DE	A	Dividend	J	T	Buy	03/06/12	J		
145. ADVANCED ENERGY INDUSTRIES INC		None			Buy	03/07/12	J		
146. ADVANCED ENERGY INDUSTRIES INC		None			Sold	07/12/12	J	B	
147. SCHLUMBERGER LTD NETHERLANDS ANTILLES		None			Buy	03/13/12	J		
148. SCHLUMBERGER LTD NETHERLANDS ANTILLES		None			Sold	09/20/12	J	B	
149. EMC CORP MASS DE		None			Buy	03/14/12	J		
150. EMC CORP MASS DE		None			Sold	10/24/12	J	A	
151. ROYAL CARIBBEAN CRUISES LTD LIBERIA ORD	A	Dividend			Buy	03/20/12	J		
152. ROYAL CARIBBEAN CRUISES LTD LIBERIA ORD		None			Sold	09/20/12	J	B	
153. HUMANA INC DE	A	Dividend	J	T	Buy	03/26/12	J		

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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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)
154. TESCO CORP CAD DE		None	J	T	Buy	03/27/12	J		
155. HUNTINGTON BANCSHARES DE	A	Dividend	J	T	Buy	03/27/12	J		
156. TARGET CORP DE	A	Dividend			Buy	04/02/12	J		
157. TARGET CORP DE		None			Sold	12/24/12	J	A	
158. PIONEER NAT RES CO DE	A	Dividend	J	T	Buy	04/02/12	J		
159. SEAGATE TECHNOLOGY PLC SHS		None	J	T	Buy	04/18/12	J		
160. SEAGATE TECHNOLOGY PLC		None			Sold	07/27/12	J	B	
161. VALERO ENERGY CORP NEW DE	A	Dividend	J	T	Buy	04/24/12	J		
162. ONEOK INC NEW DE	A	Dividend	J	T	Buy	04/24/12	J		
163. KNOINKLIJKE KPN NV EURO 0.24 EUR		None			Buy	04/25/12	J		
164. KNOINKLIJKE KPN NV EURO 0.24 EUR		None			Sold	05/08/12	J	A	
165. BAIDU INC ADS REPSNTG CL A ORD SHS SPON ADR		None	J	T	Buy	04/25/12	J		
166. CNOOC LTD SPON ADR DE	A	Dividend			Buy	04/26/12	J		
167. CNOOC LTD SPON ADR DE		None			Sold	07/25/12	J	A	
168. QUALCOMM INC DE	A	Dividend	J	T	Buy	04/26/12	J		
169. USG CORP NEW DE		None	J	T	Buy	04/30/12	J		
170. AFLAC INC DE	A	Dividend	J	T	Buy	05/01/12	J		

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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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)
171. TRINITY INDUSTRIES INC DE	A	Dividend	J	T	Buy	05/07/12	J		
172. ICON PLC SPON ADR DE		None	J	T	Buy	05/11/12	J		
173. BROADCOM CORP CL A DE	A	Dividend	J	T	Buy	05/21/12	J		
174. QUALITY SYSTEMS INC DE		None			Buy	06/05/12	J		
175. QUALITY SYSTEMS INC DE		None			Sold	07/26/12	J	A	
176. BUCKEYE TECHNOLOGIES INC DE	A	Dividend	J	T	Buy	06/11/12	J		
177. BUCKEYE TECHNOLOGIES INC		None			Sold	10/25/12	J	A	
178. TEXTRON INC DE	A	Dividend	J	T	Buy	06/19/12	J		
179. MICROSOFT CORP DE	A	Dividend	J	T	Buy	06/19/12	J		
180. LAZARD LTD CL A DE	A	Dividend	J	T	Buy	06/21/12	J		
181. VINCI SA ACT EUR DE		None	J	T	Buy	06/22/12	J		
182. SMUCKER JM CO NEW DE	A	Dividend	J	T	Buy	06/27/12	J		
183. RALCORP HOLDINGS INC NEW DE		None	J	T	Buy	07/17/12	J		
184. GILEAD SCIENCES INC DE		None			Buy	07/27/12	J		
185. GILEAD SCIENCES INC DE		None			Sold	09/24/12	J	A	
186. PETROCHINA CO LTD SPON ADR		None			Buy	08/24/12	J		
187. PETROCHINA CO LTD SPON ADR		None			Sold	11/02/12	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 \$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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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)
188. SANDISK CORP DE		None	J	T	Buy	09/11/12	J		
189. CBOE HLDGS INC COM DE	A	Dividend	J	T	Buy	09/24/12	J		
190. RAYMOND JAMES FINANCIAL CORP		None	J	T	Buy	09/27/12	J		
191. ROCHE HLDG LTD SPONS ADR SWITZ ADR		None	J	T	Buy	10/16/12	J		
192. HUANENG POWER INTL INC SPONSORED ADR SER N SHS		None	J	T	Buy	10/26/12	J		
193. TRIUMPH GROUP INC DE	A	Dividend	J	T	Buy	11/02/12	J		
194. APPLE INC DE		None	J	T	Buy	11/14/12	J		
195. PRUDENTIAL PLC ADR UNITED KINGDOM		None	J	T	Buy	11/20/12	J		
196. PETROCHINA CO LTD SPON ADR		None			Buy	11/27/12	J		
197. PETROCHINA CO LTD SPON ADR		None			Sold	11/29/12	J	A	
198. BB&T CORP DE		None	J	T	Buy	12/12/12	J		
199. INTERCONTINENTALEXCHANGE INC		None	J	T	Buy	12/12/12	J		
200. MKS INSTRUMENTS INC DE		None	J	T	Buy	12/13/12	J		
201. HARTFORD FINCL SERVICES GROUP INC		None	J	T	Buy	12/19/12	J		
202. VALUCLICK INC DE		None	J	T	Buy	12/20/12	J		

1. Income Gain Codes:	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
(See Columns B1 and D4)	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	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	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	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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

Continuation of Part I. POSITIONS:

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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/ HKennethJr 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