

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 06/09/2016
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 01/01/2015 to 12/31/2015
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. Board Member	Joseph Branch Inn of Court
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

06/09/2016

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2015	Duke University School of Law, teaching	\$3,500.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Duke University School of Law	01/2015 to 04/2015	Durham, NC	Reimbursement for travel to campus and meals since class was scheduled in evenings	Meals, transportation mileage
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Schroeder, Thomas D.

Date of Report

06/09/2016

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 2015	K
2.	Bell Meadowmont	Rent	J
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Schroeder, Thomas D.

Date of Report

06/09/2016

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. US Treasury Series EE Bonds		None	J	T					
3. First Tennessee Accounts	B	Interest	N	T					
4. Valic Fixed Income Fixed Income Plus Annuity	B	Dividend	K	T					
5. Brokerage #1 (H)									
6. -iShares Russell 1000 ETF	B	Dividend	M	T					
7. -PowerShares FTSE RAFI US 1000	D	Dividend	N	T	Buy (add'l)	01/14/15	L		
8.					Buy (add'l)	03/02/15	K		
9. -iShares MSCI EAFE ETF	C	Dividend	M	T	Buy (add'l)	01/05/15	L		
10. -Vanguard FTSE Developed Markets ETF	B	Dividend	L	T					
11. -iShares MSCI Emerging Markets ETF	A	Dividend			Buy (add'l)	01/05/15	K		
12.					Buy (add'l)	08/11/15	K		
13.					Sold	12/14/15	K	A	
14. -Vanguard FTSE Emerging Markets ETF	A	Dividend	M	T	Buy	12/14/15	M		
15. -PIMCO 1-5 Year US TIPS Index ETF		None			Sold (part)	01/05/15	L	A	
16.					Sold	03/02/15	K	A	
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 ~\$250,000,001 - \$50,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Schroeder, Thomas D.

Date of Report

06/09/2016

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)

18. -Vanguard Ltd-Term Tax Exempt Adm	A	Dividend	L	T					
19. -Eaton Vance Floating Rate Instl	A	Dividend	K	T					
20. -Fidelity Cash Money Market	A	Dividend	J	T					
21. -Fidelity Cash Reserves	A	Dividend							
22. Brokerage #2 (H)									
23. -iShares Russell 1000 ETF	A	Dividend	K	T					
24. -PowerShares FTSE RAFI US 1000	A	Dividend	K	T					
25. -iShares MSCI EAFE ETF	A	Dividend	J	T					
26. -Vanguard FTSE Developed Markets ETF	B	Dividend	K	T					
27. -iShares MSCI Emerging Markets ETF	A	Dividend			Buy (add'l)	08/11/15	J		
28.					Sold	12/14/15	K	A	
29. -Vanguard FTSE Emerging Markets ETF	A	Dividend	K	T	Buy	12/14/15	K		
30. -PIMCO All Asset All Authority Instl	A	Dividend			Sold	12/28/15	K	A	
31. -PIMCO All Asset Fund Instl		None	K	T	Buy	12/30/15	K		
32. -AQR Managed Futures Strategy Cl I	A	Dividend	K	T					
33. -AQR Style Premia Alternative Cl I	A	Dividend	K	T	Buy	08/11/15	K		
34. -PIMCO RAE Worldwide Fndmntl Advt PLUS Instl	A	Dividend	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	
	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		

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Schroeder, Thomas D.

Date of Report

06/09/2016

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)

35. -RiverNorth/DoubleLine Strategic Income I	A	Dividend	K	T					
36. -PIMCO Global Advantage Strategy Bond Instl	A	Dividend			Sold	08/11/15	K	A	
37. -Vanguard Short-Term Investment-Grade Adm	A	Dividend	J	T					
38. -Eaton Vance Floating Rate Instl	B	Dividend	K	T					
39. -Fidelity Cash Money Market	A	Dividend	J	T					
40. Brokerage #3 (H)									
41. -AQR Managed Futures Strategy C1 I	C	Dividend	L	T	Sold (part)	08/11/15	J	A	
42. -PIMCO Global Advtge Strategy Bond Instl	B	Dividend			Sold	08/11/15	M	A	
43. -Eaton Vance Floating Rate Adv	A	Dividend			Sold	09/02/15	J	A	
44. -Eaton Vance Floating Rate Instl	B	Dividend	M	T	Buy	08/12/15	M		
45.					Buy (add'l)	09/02/15	J		
46. -Fidelity Cash Money Market	A	Dividend	J	T					
47. IRA #1 (H)									
48. -iShares Russell 1000 ETF	A	Dividend	K	T					
49. -PowerShares FTSE RAFI US 1000	A	Dividend	K	T					
50. -iShares MSCI EAFE ETF	A	Dividend	K	T					
51. -iShares MSCI Emerging Markets ETF	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 = \$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 7 of 10

Name of Person Reporting

Schroeder, Thomas D.

Date of Report

06/09/2016

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)
52. -PIMCO All Asset All Authority Instl	C	Dividend	L	T					
53. -Eaton Vance Floating Rate Instl	A	Dividend	J	T					
54. -Fidelity Treasury Daily Money Market		None	J	T					
55. IRA #2 (H)									
56. -PIMCO All Asset All Authority Instl	A	Dividend	K	T					
57. -Eaton Vance Floating Rate Adv	A	Dividend	J	T					
58. IRA #3 (H)									
59. -PowerShares FTSE RAFI US 1000	B	Dividend	L	T	Buy (add'l)	03/02/15	K		
60. -iShares MSCI EAFE ETF	B	Dividend	L	T	Buy (add'l)	03/02/15	K		
61. -iShares MSCI Emerging Markets EFT	B	Dividend	L	T	Buy (add'l)	03/02/15	K		
62. -PIMCO All Asset All Authority Instl	D	Dividend	M	T	Buy (add'l)	03/03/15	K		
63. -AQR Managed Futures Strategy Cl I	B	Dividend	K	T					
64. -AQR Style Premia Alternative Cl I	D	Dividend	M	T	Buy	08/11/15	M		
65. -PIMCO RAE Worldwide Fndmntl Advt PLUS Instl	B	Dividend	M	T	Buy (add'l)	08/11/15	J		
66. -Eaton Vance Emerging Markets Local Income Cl I	D	Dividend	M	T	Buy (add'l)	08/11/15	K		
67. -RiverNorth/DoubleLine Strategic Income I	D	Dividend	M	T					
68. -PIMCO Global Advantage Strategy Bond Instl	A	Dividend			Sold (part)	03/02/15	K	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

Schroeder, Thomas D.

Date of Report

06/09/2016

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)
69.					Sold	08/11/15	K	A	
70. -PIMCO Low Duration Fund Instl	A	Dividend	J	T	Buy	03/02/15	J		
71. -Eaton Vance Floating Rate Adv	A	Dividend			Sold	12/04/15	J	A	
72. -Eaton Vance Floating Rate Instl	D	Dividend	L	T	Sold (part)	03/02/15	L	A	
73.					Sold (part)	08/11/15	M	A	
74.					Buy (add'l)	12/04/15	J		
75. -Fidelity Treasury Daily Money Market	A	Dividend	J	T					
76. Mass Mutual Whole Life Insurance	C	Dividend	L	T					
77. Mass Mutual Whole Life Insurance	B	Dividend	K	T					
78. Loyal American Insurance	A	Dividend	J	U					
79. Winston-Salem Foundation Donor Advised Fund		None	J	T					
80. Vanguard 529 -Vanguard Interest Accumulation Portfolio	A	Interest	J	T					
81. Vanguard 529 -Vanguard Interest Accumulation Portfolio	A	Interest	J	T					
82. 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
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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Schroeder, Thomas D.

Date of Report

06/09/2016

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 my spouse 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.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Schroeder, Thomas D.

Date of Report

06/09/2016

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