

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 02/07/2020
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 01/01/2018 to 12/31/2018
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.	Board Member & President	Chief Justice Joseph Branch Inn of Court
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.	2017	Apartment lease (dependent was responsible)
2.		
3.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

Schroeder, Thomas D.

Date of Report

02/07/2020

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 11

Name of Person Reporting

Schroeder, Thomas D.

Date of Report

02/07/2020

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 (School of Medicine)	Tuition for 2018 academic year	J
2.	Jan Smith	Apartment lease (dependent was responsible)	J
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Schroeder, Thomas D.

Date of Report

02/07/2020

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 Plus Annuity	B	Dividend	K	T					
5. Brokerage #1 (H)									
6. -Invesco FTSE RAFI US 1000 (formerly named PowerShares)	D	Dividend	N	T					
7. -iShares Russell 1000 ETF	C	Dividend	M	T					
8. -iShares MSCI EAFE ETF	C	Dividend	M	T					
9. -Vanguard FTSE Developed Markets ETF	C	Dividend	M	T					
10. -Vanguard FTSE Emerging Markets ETF	C	Dividend	M	T					
11. -PIMCO Low Duration Fund Instl	B	Dividend			Sold	12/06/18	L	A	
12. -Vanguard Ltd-Term Tax Exempt Adm	B	Dividend	L	T					
13. -Vanguard Short-Term Bond ETF	A	Dividend	L	T	Buy	12/06/18	L		
14. -Eaton Vance Floating Rate Instl	A	Dividend			Sold	12/04/18	J	A	
15. -iShares Treasury Floating Rate Bond ETF	A	Dividend	J	T	Buy	12/04/18	J		
16. -Fidelity Cash "Cash Account"	A	Dividend			Sold	08/16/18	K	A	
17. -Fidelity Government Cash Reserve "Cash Account"	A	Dividend	K	T	Buy	08/16/18	K		

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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

Name of Person Reporting

Schroeder, Thomas D.

Date of Report

02/07/2020

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. Brokerage #2 (H)									
19. -Invesco FTSE RAFI US 1000 (formerly named PowerShares)	A	Dividend	K	T					
20. -iShares Russell 1000 ETF	B	Dividend	L	T					
21. -iShares MSCI EAFE ETF	A	Dividend	J	T					
22. -Vanguard FTSE Developed Markets ETF	B	Dividend	K	T					
23. -Vanguard FTSE Emerging Markets ETF	A	Dividend	K	T					
24. -PIMCO All Asset All Authority Instl	B	Dividend	K	T					
25. -AQR Managed Futures Strategy Cl 1		None	J	T					
26. -AQR Style Premia Alternative Cl 1	A	Dividend	K	T					
27. -PIMCO Dynamic Bond Fund Instl (formerly named Unconstrained Bond)	A	Dividend	K	T					
28. -RiverNorth/DoubleLine Strategic Income I	A	Dividend	K	T					
29. -Vanguard Short-Term Bond ETF	A	Dividend	K	T	Buy	12/06/18	J		
30. -Vanguard Short-Term Investment-Grade Adm	A	Dividend			Sold	12/06/18	J	A	
31. -Eaton Vance Floating Rate Instl	B	Dividend			Sold (part)	12/04/18	K	A	
32.					Sold	12/14/18	K	A	
33. -iShares Treasury Floating Rate Bond ETF	A	Dividend	L	T	Buy	12/04/18	K		
34.					Buy (add'l)	12/14/18	K		

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 11

Name of Person Reporting

Schroeder, Thomas D.

Date of Report

02/07/2020

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. -Fidelity Cash "Cash Account"	A	Dividend			Sold	08/16/18	J	A	
36. -Fidelity Government Cash Reserve "Cash Account"	A	Dividend	J	T	Buy	08/16/18	J		
37. Brokerage #3 (H)									
38. -AQR Managed Futures Strategy C11		None	L	T					
39. -Eaton Vance Floating Rate Instl	D	Dividend			Sold (part)	12/04/18	K	A	
40.					Sold	12/14/18	M	A	
41. -iShares Treasury Floating Rate Bond ETF	A	Dividend	M	T	Buy	12/04/18	K		
42.					Buy (add'l)	12/14/18	M		
43.					Buy (add'l)	12/17/18	J		
44. -Fidelity Cash "Cash Account"		None			Sold	08/16/18	J	A	
45. -Fidelity Government Cash Reserve "Cash Account"	A	Dividend	J	T	Buy	08/16/18	J		
46. IRA #1 (H)									
47. -Invesco FTSE RAFI US 1000 (formerly named PowerShares)	A	Dividend	K	T					
48. -iShares Russell 1000 ETF	A	Dividend	K	T					
49. -iShares MSCI EAFE ETF	A	Dividend	K	T					
50. -iShares MSCI Emerging Markets ETF	A	Dividend	J	T					
51. -PIMCO All Asset All Authority Instl	C	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 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 11

Name of Person Reporting

Schroeder, Thomas D.

Date of Report

02/07/2020

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. -Eaton Vance Floating Rate Instl	A	Dividend			Sold	12/04/18	J	A	
53. -iShares Treasury Floating Rate Bond ETF	A	Dividend	J	T	Buy	12/04/18	J		
54. -Fidelity Government Cash Reserve "Cash Account"	A	Dividend	J	T	Buy	08/16/18	J		
55. -Fidelity Treasury Daily Money Market "Cash Account"	A	Dividend			Sold	08/16/18	J	A	
56. IRA #2 (H)									
57. -PIMCO All Asset All Authority Instl	B	Dividend	K	T					
58. -Eaton Vance Floating Rate Instl	A	Dividend			Sold (part)	11/15/18	J	A	
59.					Sold	12/14/18	J	A	
60. -iShares Treasury Floating Rate Bond ETF	A	Dividend	J	T	Buy	12/14/18	J		
61.					Buy (add'l)	12/17/18	J		
62. -Fidelity Government Cash Reserve "Cash Account"	A	Dividend	J	T	Buy	08/16/18	J		
63. -Fidelity Treasury Daily Money Market "Cash Account"	A	Dividend			Sold	08/16/18	J	A	
64. IRA #3 (H)									
65. -Invesco FTSE RAFI US 1000 (formerly named PowerShares)	B	Dividend	L	T					
66. -iShares MSCI EAFE ETF	B	Dividend	L	T					
67. -iShares MSCI Emerging Markets EFT	C	Dividend	M	T					
68. -PIMCO All Asset All Authority Instl	D	Dividend	M	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	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 8 of 11

Name of Person Reporting

Schroeder, Thomas D.

Date of Report

02/07/2020

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. -AQR Managed Futures Strategy Cl I		None	K	T					
70. -AQR Style Premia Alternative Cl I	B	Dividend	M	T					
71. -PIMCO Dynamic Bond Fund Instl (formerly named Unconstrained Bond)	C	Dividend	M	T					
72. -Eaton Vance Emerging Markets Local Income Cl I	D	Dividend	M	T					
73. -RiverNorth/DoubleLine Strategic Income I	D	Dividend	M	T					
74. -PIMCO Low Duration Fund Instl	A	Dividend	J	T					
75. -Eaton Vance Floating Rate Instl	C	Dividend			Sold	12/04/18	L	A	
76. -iShares Treasury Floating Rate Bond ETF	A	Dividend	L	T	Buy	12/04/18	L		
77. -Fidelity Government Cash Reserve "Cash Account"	A	Dividend	J	T	Buy	08/16/18	J		
78. -Fidelity Treasury Daily Money Market "Cash Account"	A	Dividend			Sold	08/16/18	J	A	
79. Mass Mutual Whole Life Insurance	B	Dividend	M	T					
80. Mass Mutual Whole Life Insurance	B	Dividend	K	T					
81. Loyal American Insurance	A	Dividend	J	U					
82. Vanguard 529 -Vanguard Interest Accumulation Portfolio	A	Interest	J	T					
83. Vanguard 529 -Vanguard Interest Accumulation Portfolio	A	Interest	J	T					
84. NC College Foundation 529 Dependable Income Fund	A	Interest	K	T					
85. Duke Univ. Faculty Retirement Plan									

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 11

Name of Person Reporting

Schroeder, Thomas D.

Date of Report

02/07/2020

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)
86. -Vanguard Inst. Target Retirement 2025 Rund	A	Dividend	J	T					
87. IRA (dependent) (Y)									
88. -Principal Lifetime 2050 Fund	A	Dividend			Sold	01/11/18	J	A	
89. -Russell Global Equity Fund	A	Dividend	J	T	Buy	01/16/18	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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 11

Name of Person Reporting

Schroeder, Thomas D.

Date of Report

02/07/2020

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

Part VII. Line 81: The Loyal American Life Insurance Company policy appears to be affiliated with and/or administered by The Great American Life Insurance Company.

Part VII. Lines 87-88: The IRA (dependent) was created for a dependent who was no longer a dependent after approximately June 2018.

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Schroeder, Thomas D.

Date of Report

02/07/2020

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