



UNITED STATES DISTRICT COURT
MIDDLE DISTRICT OF NORTH CAROLINA

UNITED STATES COURTHOUSE
251 NORTH MAIN STREET, SUITE 223A
WINSTON-SALEM, NORTH CAROLINA 27101

THOMAS D. SCHROEDER
UNITED STATES DISTRICT JUDGE

July 24, 2009

TELEPHONE (336) 734-2530
[REDACTED]

The Honorable Bobby R. Baldock
Chair, Judicial Conference of the United States
Committee on Financial Disclosures
Administrative Office of the United States Courts
One Columbus Circle, N.E., Suite 2-301
Washington, DC 20544

RE: Calendar Year 2008 Filing

Dear Judge Baldock:

This letter responds to your letter dated June 19, 2009, seeking additional information with respect to my May 13, 2009, and amended June 1, 2009, reports. As invited by your letter, I am responding by letter rather than amended report.

I note by way of explanation that my nomination report is dated January 12, 2007 (covering calendar year 2006), and I did not take my oath of office after confirmation until January 8, 2008. I believe this time lag explains the majority of the questions raised by your letter.

In the amended report, Part VI, lines 1 and 2, you seek the names of secondary education institutions. They are [REDACTED] and [REDACTED] respectively.

In my amended report, Part VII, you seek the following information:

Part VII, page 4, line 9 – iShares MSCI EAFE Index, Buy, 12/14/07, K (this transaction became reportable upon an event which does not constitute a reportable transaction)

Part VII, page 4, line 15 – Fidelity Instl: Tax Exempt Portfolio C1 I, Buy, 1/8/08, P1

Part VII, page 5, line 26 – Fidelity Tax Free Money Market, Buy, 1/24/08, N

Part VII, page 5, line 27 – Fidelity Instl: Tax Exempt Portfolio C1 I, Buy, 1/23/08, N

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Part VII, page 5, line 30 – PowerShares FTSE RAFI US1000, Buy, 8/21/07, J (this transaction became reportable upon an event which does not constitute a reportable transaction)

Part VII, page 5, line 32 – iShares MSCI EAFE Index, Buy, 8/21/07, J (this transaction became reportable upon an event which does not constitute a reportable transaction)

Part VII, page 5, line 33 – iShares MSCI Emerging Markets Index, Buy, 8/21/07, J (this transaction became reportable upon an event which does not constitute a reportable transaction)

Part VII, page 6, line 37 – IRA (Keogh positions transferred from Keogh to IRA 1/31/08 upon my resignation from law firm)

Part VII, page 6, line 38 – iShares Russell 1000 Index, Receipt of Security, 1/31/08, M

Part VII, page 6, line 39 – PowerShares FTSE RAFI US 1000, Receipt of Security, 1/31/08, M

Part VII, page 6, line 40 – iShares Russell 2000 Index, Receipt of Security, 1/31/08, K

Part VII, page 6, line 41 – iShares MSCI EAFE Index, Receipt of Security, 1/31/08, M

Part VII, page 6, line 42 – iShares MSCI Emerging Markets Index, Receipt of Security, 1/31/08, K

Part VII, page 6, line 43 – Vanguard Inflation-Protected Sec. Adm, Receipt of Security, 1/31/08, M

Part VII, page 6, line 44 – Vanguard Short-Term Instrmnt-Grd, Receipt of Security, 1/31/08, L

Part VII, page 6, line 45 – PIMCO Total Return Fund Instl, Buy, 8/7/08, L

Part VII, page 6, line 46 & 47 – Eaton Vance Floating Rate Adv, Receipt of Security, 1/31/08, J. Note that these were in fact listed in my prior report,

and thus no response is required for that reason. The securities were transferred into my IRA on 1/31/08, as noted herein; my prior report notes subsequent, additional purchases.

Part VII, page 6, line 48 – Fidelity Cash Reserves, Buy, 1/31/08, K

Part VII, page 7, line 52 – iShares MSCI EAFE Index, Buy, 8/21/07, M (this transaction became reportable upon an event which does not constitute a reportable transaction)

Part VII, page 7, line 53 – iShares MSCI Emerging Markets Index, Buy, 8/21/07, M (this transaction became reportable upon an event which does not constitute a reportable transaction)

Part VII, page 5, line 59 – Fidelity Tax Free Money Market, Buy 3/26/07, J (this transaction became reportable upon an event which does not constitute a reportable transaction)

Part VII, page 7, line 62 – Loyal American Insurance (this item was disclosed in the prior report at line 42)

The Fidelity Tax Free Money Market and Fidelity Institutional: Tax Exempt Portfolio CI, I are money market funds with frequent buys and sells. Listed above are the initial buys.

Further, in my amended report, you requested the following information also in Part VII:

Part VII, page 6, lines 50 & 51 and page 7, lines 52-56 – Assets held in Keogh were not sold; they were transferred to IRA on 1/31/08

Part VII, page 6, lines 50 – iShares Russell 1000
Column C-J, T
Column D – Transfer of Security 1/31/08, M

Part VII, page 6, lines 51 – iShares Russell 2000 Index
Column C-J, T
Column D – Transfer of Security 1/31/08, K

Part VII, page 7, lines 52 – iShares MSCI EAFE Index
Column C-J, T

Column D – Transfer of Security 1/31/08, M

Part VII, page 7, lines 53 – iShares MSCI Emerging Markets Index
Column C-J, T
Column D – Transfer of Security 1/31/08, K

Part VII, page 7, lines 54 – Vanguard Short-Term Invstmnt-Grd
Column C-J, T
Column D – Transfer of Security 1/31/08, L

Part VII, page 7, lines 55 – Easton Vance Floating Rate Adv
Column C-J, T
Column D – Transfer of Security 1/31/08, L

Part VII, page 7, lines 56 – Marshall Prime Money Market C1 Y
Column C-J, T
Column D – Transfer of Security (redeemed since money market)
1/31/08, K

Finally, you have requested the following information as to Part VII of my amended report. I note that all of these transactions constitute a non-reportable transaction under my understanding of the rules:

Part VII, page 4, line 9 – Russell International Securities Fund, Sell,
4/20/07, J
Sell, 12/14/07, K

Part VII, page 4, line 10 – Russell Emerging Markets Fund, Sell, 12/14/07, J

Part VII, page 4, lines 17 – Russell Select Growth Fund, Sell, 8/21/07, J

Part VII, page 5, line 18 – Russell Select Value Fund, Sell, 8/21/07, J

Part VII, page 5, line 28 – Russell Select Growth Fund, Sell, 8/21/07, L

Part VII, page 5, line 29 – Russell Select Value Fund, Sell, 8/21/07, L



The Honorable Bobby R. Baldock
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I trust that this letter sufficiently responds to the Committee's inquiry and that the Committee will so advise me if that is not the case.

Very truly yours,

A large black rectangular redaction box covering the signature of Thomas D. Schroeder.

Thomas D. Schroeder

TDS/kas

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2008SELF INITIATED
AMENDMENT
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 06/01/2009
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, ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2008 to 12/31/2008
7. Chambers or Office Address 251 North Main Street, Suite 223A Hiram Ward Federal Courthouse Winston-Salem, North Carolina 27101	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Member (Partner)

Womble Carlyle Sandridge & Rice, PLLC

2. Board Member

FirmLogic, LLC

3. Board Member

WOCASAR, LLC

4.

5.

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

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1. 1/1/2006

ALAS Insurance Contract with Womble Carlyle Sandridge & Rice, PLLC; no control

2. 4/1/1994

Firm Operating Agmt, Womble Carlyle, Operating Reserve balance payable up to 5 years following my departure 1/8/2008; other accounts paid upon departure

3. 3/1/1999

Keogh & 401(k) Plan, Womble Carlyle Sandridge & Rice, PLLC (terminated following 1/8/2008 resignation from law firm)

4. 1/08/2008

Womble Carlyle letter agreement with me, resolving firm's obligations, including those in items 1, 2 and 3 above.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Schroeder, Thomas D.

Date of Report

06/01/2009

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. 1/07/2008	Womble Carlyle Sandridge & Rice, PLLC - Distribution for December 2007 and January 1 through 8, 2008 final payment (in lieu of distribution)	\$125,416.33
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.				
2.				
3.				
4.				
5.				

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Name of Person Reporting

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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. Womble Carlyle Sandridge & Rice, PLLC	Investiture Reception (Room and Catering) 5/16/2008	\$7,627.16
2. Video Systems of the Carolinas, Inc.	Audio-Video Equipment Rental for Investiture Ceremony 5/16/2008	\$5,495.00
3. The Cliffs/Mr. & Mrs. Gary Kerchner	Certificate for golf rounds for four persons	\$600.00
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. Secondary education institution	tuition balance for 2008-09 school year	J
2. Secondary education institution	tuition balance for 2008-09 school year	J
3.		
4.		
5.		

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Name of Person Reporting

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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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

1. Partner Loan Account- WCSR	B	Interest			Closed	1/11	P1		
2. Return of Various Accounts - WCSR					Closed		M		
3. Wachovia Accounts	C	Interest	M	T					
4. BB&T Account	E	Interest	J	T					
5. US Treasury Series EE Bond		None	J	T					
6. Arbor Joint Account									
7. -iShares Russell 1000 Index	B	Dividend	L	T					
8. -iShares Russell 2000 Index	A	Dividend	J	T					
9. -iShares MSCI EAFE Index	A	Dividend	J	T					
10. -Vanguard Ltd-Term Tax Exempt Inv	A	Dividend			Merged (with line 11)	8/11	K	A	
11. -Vanguard Ltd-Term Tax Exempt Adm	B	Dividend	M	T	Buy	8/05	M		
12. -Vanguard Ltd-Term Tax Exempt Adm					Buy	8/11	K		
13. -Vanguard Short-Term Tax Exempt	A	Dividend	K	T					
14. -Fidelity Tax Free Money Market	A	Dividend	J	T					
15. -Fidelity Instl: Tax Exempt Portfolio CI I	E	Dividend	P1	T					
16. Arbor Joint Account									
17. -iShares Russell 1000 Index	A	Dividend	K	T	Buy	1/24	L		

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

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Name of Person Reporting

Schroeder, Thomas D.

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06/01/2009

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. -PowerShares TFTSE RAFI US 1000	A	Dividend	J	T	Buy	1/24	K		
19. -iShares Russell 2000 Index	A	Dividend	J	T	Buy	1/24	J		
20. -iShares MSCI EAFE Index	B	Dividend	K	T	Buy	1/24	K		
21. -iShares MSCI Emerging Markets Index	A	Dividend	J	T	Buy	1/24	J		
22. -PIMCO All Asset Fund Instl	B	Dividend	K	T	Buy	1/24	K		
23. -Vanguard Inflation-Protected Sec.	B	Dividend	K	T	Buy	1/24	K		
24. Vanguard Short-Term Invstmnt -Grd	B	Dividend	K	T	Buy	1/24	K		
25. -Eaton Vance Floating Rate Adv	C	Dividend	K	T	Buy	1/24	L		
26. -Fidelity Tax Free Money Market	A	Dividend	J	T					
27. -Fidelity Instl: Tax Exempt Portfolio CI I	A	Dividend	J	T					
28. IRA									
29. -iShares Russell 1000 Index	A	Dividend	J	T					
30. -PowerShares FTSE RAFI US 1000	A	Dividend	J	T					
31. -iShares Russell 2000 Index	A	Dividend	J	T					
32. -iShares MSCI EAFE Index	A	Dividend	J	T					
33. -iShares MSCI Emerging Markets Index	A	Dividend	J	T					
34. -Vanguard Inflation-Protected Sec.	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 \$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

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Name of Person Reporting

Schroeder, Thomas D.

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06/01/2009

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. -Vanguard Short-Term Invstmnt-Grd	A	Dividend	J	T					
36. -Eaton Vance Floating Rate Adv.	A	Dividend	J	T					
37. IRA									
38. -iShares Russell 1000 Index	C	Dividend	M	T					
39. -PowerShares FTSE RAFI US 1000	B	Dividend	L	T					
40. -iShares Russell 2000 Index	A	Dividend			Sold	8/05	K	D	
41. -iShares MSCI EAFE Index	C	Dividend	L	T					
42. -iShares MSCI Emerging Markets Index	A	Dividend	K	T					
43. -Vanguard Inflation-Protected Sec. Adm	D	Dividend	M	T					
44. -Vanguard Short-Term Invstmnt-Grd	B	Dividend			Sold	8/05	L	A	
45. -PIMCO Total Return Fund Instl	D	Dividend	L	T	Buy	8/07	L		
46. -Eaton Vance Floating Rate Adv	C	Dividend	L	T	Buy	8/05	K		
47. -Eaton Vance Floating Rate Adv					Buy	9/02	J		
48. -Fidelity Cash Reserves	A	Dividend	J	T					
49. Keogh Account									
50. -iShares Russell 1000 Index	B	Dividend							
51. -iShares Russell 2000 Index	A	Dividend							

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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Name of Person Reporting

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06/01/2009

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
52. -iShares MSCI EAFE Index	C	Dividend							
53. -iShares MSCI Emerging Markets Index	A	Dividend							
54. -Vanguard Short-Term Infstmnt-Grd	A	Dividend							
55. -Eaton Vance Floating Rate Adv	A	Dividend							
56. -Marshall Prime Money Market Cl Y	A	Dividend							
57. Custodial Account									
58. -DWS Value Builder Fund Cl A	A	Dividend			Sold	5/07	J	A	
59. -Fidelity Tax Free Money Market	A	Dividend	J	T					
60. Mass Mutual Whole Life Insurance	B	Dividend	L	T					
61. Mass Mutual Whole Life Insurance	A	Dividend	K	T					
62. Loyal American Insurance	A	Dividend	J	U					
63. Winston-Salem Foundation Donor Advised Fund		None	K	T					
64. Vanguard 529									
65. -Vanguard Interest Accumulation Portfolio	B	Interest	L	T	Buy	5/15	L		
66. Vanguard 529									
67. -Vanguard Interest Accumulation Portfolio	B	Interest	L	T	Buy	5/15	L		

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

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

Part I. All positions with Womble Carlyle, Firmlogic and WOCASAR entities were resigned effective 1/08/2008.

Part II. Items 1,2 and 3 were resolved upon my departure on 1/08/2008 in a letter agreement between me and Womble Carlyle, noted in item 4.

Part IIIA. Womble Carlyle operates on a September 1 to October 31 fiscal year. Thus, my 2008 personal federal income taxes reflect phantom income based on my personal allocations and distributions for some portions which were distributed in 2007 but on which I paid taxes in 2008 that is not fully noted in this Part.

Part VII. Treasury Series EE bonds value based on value reported on the government website (<http://www.publicdebt.treas.gov/BC/SBCPrice>) as of December 2008.

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.

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Name of Person Reporting

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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 _____

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2008

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 05/13/2009
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 01/01/2008 to 12/31/2008
7. Chambers or Office Address 251 North Main Street, Suite 223A Hiram Ward Federal Courthouse Winston-Salem, North Carolina 27101	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Member (Partner)	Womble Carlyle Sandridge & Rice, PLLC
2. Board Member	FirmLogic, LLC
3. Board Member	WOCASAR, LLC
4.	
5.	

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

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1. 1/1/2006	ALAS Insurance Contract with Womble Carlyle Sandridge & Rice, PLLC; no control
2. 4/1/1994	Firm Operating Agmt, Womble Carlyle, Operating Reserve balance payable up to 5 years following my departure 1/8 /2008; other accounts paid upon departure
3. 3/1/1999	Keogh & 401(k) Plan, Womble Carlyle Sandridge & Rice, PLLC (terminated following 1/8/2008 resignation from law firm)
4. 1/08/2008	Womble Carlyle letter agreement with me, resolving firm's obligations, including those in items 1, 2 and 3 above.

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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.)

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 1/07/2008	Womble Carlyle Sandridge & Rice, PLLC - Final Distribution for January 2008	\$15,000.00
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.)

<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.				
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. Womble Carlyle Sandridge & Rice, PLLC	Investiture Reception Room and Catering 5/16/2008	\$7,627.16
2. Video Systems of the Carolinas, Inc.	Audio-Video Equipment for Investiture Ceremony 5/16/2008	\$5,495.00
3. The Cliffs/Mr. & Mrs. Gary Kerchner	Certificate for golf rounds for four persons	\$600.00
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. Secondary education institution	tuition balance for 2008-09 school year	J
2. Secondary education institution	tuition balance for 2008-09 school year	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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Partner Loan Account- WCSR	B	Interest			Closed	1/11	P1		
2. Wachovia Accounts	C	Interest	M	T					
3. BB&T Account	E	Interest	J	T					
4. US Treasury Series EE Bond		None	J	T					
5. Arbor Account									
6. -iShares Russell 1000 Index	B	Dividend	L	T					
7. -iShares Russell 2000 Index	A	Dividend	J	T					
8. -iShares MSCI EAFE Index	A	Dividend	J	T					
9. -Vanguard Ltd-Term Tax Exempt Inv	A	Dividend			Merged (with line 11)	8/11	K	A	
10. -Vanguard Ltd-Term Tax Exempt Adm	B	Dividend	M	T	Buy	8/05	M		
11. -Vanguard Ltd-Term Tax Exempt Adm					Buy	8/11	K		
12. -Vanguard Short-Term Tax Exempt	A	Dividend	K	T					
13. -Fidelity Tax Free Money Market	A	Dividend	J	T					
14. -Fidelity Instl: Tax Exempt Portfolio CI I	E	Dividend	P1	T					
15. Arbor Account									
16. -iShares Russell 1000 Index	A	Dividend	K	T	Buy	1/24	L		
17. -PowerShares TFTSE RAFI US 1000	A	Dividend	J	T	Buy	1/24	K		

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000
J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000

2. Value Codes
(See Columns C1 and D3)

Q = Appraisal
U = Book Value

3. Value Method Codes
(See Column C2)

R = Cost (Real Estate Only)
V = Other

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000
T = Cash Market

E = \$15,001 - \$50,000

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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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

18. -iShares Russell 2000 Index	A	Dividend	J	T	Buy	1/24	J		
19. -iShares MSCI EAFE Index	B	Dividend	K	T	Buy	1/24	K		
20. -iShares MSCI Emerging Markets Index	A	Dividend	J	T	Buy	1/24	J		
21. -PIMCO All Asset Fund Instl	B	Dividend	K	T	Buy	1/24	K		
22. -Vanguard Inflation-Protected Sec.	B	Dividend	K	T	Buy	1/24	K		
23. Vanguard Short-Term Invstmnt -Grd	B	Dividend	K	T	Buy	1/24	K		
24. -Eaton Vance Floating Rate Adv	C	Dividend	K	T	Buy	1/24	L		
25. -Fidelity Tax Free Money Market	A	Dividend	J	T					
26. -Fidelity Instl: Tax Exempt Portfolio Cl I	A	Dividend	J	T					
27. IRA									
28. -iShares Russell 1000 Index	A	Dividend	J	T					
29. -PowerShares FTSE RAFI US 1000	A	Dividend	J	T					
30. -iShares Russell 2000 Index	A	Dividend	J	T					
31. -iShares MSCI EAFE Index	A	Dividend	J	T					
32. -iShares MSCI Emerging Markets Index	A	Dividend	J	T					
33. -Vanguard Inflation-Protected Sec.	A	Dividend	J	T					
34. -Vanguard Short-Term Invstmnt-Grd	A	Dividend	J	T					

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

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

3. Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$55,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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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				
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35. -Eaton Vance Floating Rate Adv.	A	Dividend	J	T					
36. IRA									
37. -iShares Russell 1000 Index	C	Dividend	M	T					
38. -PowerShares FTSE RAFI US 1000	B	Dividend	L	T					
39. -iShares Russell 2000 Index	A	Dividend			Sold	8/05	K	D	
40. -iShares MSCI EAFE Index	C	Dividend	L	T					
41. -iShares MSCI Emerging Markets Index	A	Dividend	K	T					
42. -Vanguard Inflation-Protected Sec. Adm	D	Dividend	M	T					
43. -Vanguard Short-Term Invstmnt-Grd	B	Dividend			Sold	8/05	L	A	
44. -PIMCO Total Return Fund Instl	D	Dividend	L	T	Buy	8/07	L		
45. -Eaton Vance Floating Rate Adv	C	Dividend	L	T	Buy	8/05	K		
46. -Eaton Vance Floating Rate Adv					Buy	9/02	J		
47. -Fidelity Cash Reserves	A	Dividend	J	T					
48. Keogh Account									
49. -iShares Russell 1000 Index	B	Dividend							
50. -iShares Russell 2000 Index	A	Dividend							
51. -iShares MSCI EAFE Index	C	Dividend							

1. Income Gain Codes:
(See Columns B1 and D4)

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2. Value Codes
(See Columns C1 and D3)

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3. Value Method Codes
(See Column C2)

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O = \$500,001 - \$1,000,000

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52. -iShares MSCI Emerging Markets Index	A	Dividend							
53. -Vanguard Short-Term Infstmnt-Grd	A	Dividend							
54. -Eaton Vance Floating Rate Adv	A	Dividend							
55. -Marshall Prime Money Market Cl Y	A	Dividend							
56. Custodial Account									
57. -DWS Value Builder Fund Cl A	A	Dividend			Sold	5/07	J	A	
58. -Fidelity Tax Free Money Market	A	Dividend	J	T					
59. Mass Mutual Whole Life Insurance	B	Dividend	L	T					
60. Mass Mutual Whole Life Insurance	A	Dividend	K	T					
61. Loyal American Insurance	A	Dividend	J	U					
62. Winston-Salem Foundation Donor Advised Fund		None	K	T					
63. Vanguard 529									
64. -Vanguard Interest Accumulation Portfolio	B	Interest	L	T	Buy	5/15	L		
65. Vanguard 529									
66. -Vanguard Interest Accumulation Portfolio	B	Interest	L	T	Buy	5/15	L		

1. Income Gain Codes:
(See Columns B1 and D4)

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P2 = \$5,000,001 - \$25,000,000
T = Cash Market

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

Part I. All positions with Womble Carlyle, Firmlogic and WOCASAR entities were resigned effective 1/1/08.

Part II. Items 1,2 and 3 were resolved upon my departure on 1/08/2008 in a letter agreement between me and Womble Carlyle, noted in item 4.

Part VII. Treasury Series EE bonds value based on value reported on the government website (<http://www.publicdebt.treas.gov/BC/SBCPrice>) as of December 2008.

The Winston-Salem Foundation Donor Advised Fund is 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.

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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

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544