

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 NC	3. Date of Report 06/30/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
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	Chief Justice Joseph Branch Inn of Court
3. Senior Lecturer	Duke University Law School
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. 2019	Duke University Law School, Senior Lecturer Spring Term 2019, \$3,500 plus reasonable reimbursement for related travel and meals
2.	
3.	

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Name of Person Reporting

Schroeder, Thomas D.

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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. 2019	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	1/2019 to 04/2019	Durham, NC	Reimbursement for travel to campus and meals since class was scheduled in evenings	Meals, transportation mileage
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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Name of Person Reporting

Schroeder, Thomas D.

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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. Wells Fargo Accounts (Wachovia)	A	Interest	J	T					
2. US Treasury Series EE Bonds	B	Interest	J	T	Matured (part)	11/15/19	J	B	
3.	C				Matured (part)	04/22/19	J	C	
4. First Tennessee Accounts	B	Interest	M	T					
5. Valic Income Fixed Plus Annuity	B	Dividend	K	T					
6. Brokerage #1 (H)									
7. -Invesco FTSE RAFI US 1000	D	Dividend	O	T					
8. -iShares Russell 1000 ETF	C	Dividend	M	T					
9. -iShares MSCI EAFE ETF	C	Dividend	M	T					
10. -Vanguard FTSE Developed Markets ETF	D	Dividend	N	T					
11. -Vanguard FTSE Emerging Markets ETF	D	Dividend	M	T					
12. -PIMCO All Asset All Authority Instl	A	Dividend	K	T					
13. -AQR Managed Futures Strategy Cl I		None	J	T					
14. -AQC Style Premia Alternative Cl I		None	J	T					
15. -PIMCO Dynamci Bond Fund Instl	A	Dividend	K	T					
16. -Vanguard Ltd-Term Tax Exempt Adm	B	Dividend	L	T					
17. -Vanguard Short-Term Bond ETF	B	Distribution	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	

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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)
18. -iShares Treasury Floating Rate Bond ETF	A	Dividend	K	T					
19. -Fidelity Government Cash Reserve "Cash Account"	A	Dividend	K	T					
20. Brokerage #2 (H)									
21. -Invesco FTSE RAFI US 1000	B	Dividend			Merged (with line 7)	12/26/19	L		
22. -iShares Russell 1000 ETF	B	Dividend			Merged (with line 8)	12/26/19	L		
23. -iShares MSCI EAFE ETF	A	Dividend			Merged (with line 9)	12/26/19	J		
24. -Vanguard FTSE Developed Markets ETF	B	Dividend			Buy (add'l)	12/19/19	K		
25.					Merged (with line 10)	12/26/19	M		
26. -Vanguard FTSE Emerging Markets ETF	B	Dividend			Merged (with line 11)	12/26/19	K		
27. -PIMCO All Asset All Authority Instl	A	Dividend			Merged (with line 12)	12/26/19	K		
28. -AQR Managed Futures Strategy Cl I	A	Dividend			Merged (with line 13)	12/26/19	J		
29. -AQR Style Premia Alternative Cl I	A	Dividend			Merged (with line 14)	12/26/19	J		
30. -PIMCO Dynamic Bond Fund Instl	A	Dividend			Merged (with line 15)	12/26/19	K		
31. -RiverNorth/DoubleLine Strategic Income I	A	Dividend			Sold	12/19/19	K	A	
32. -Vanguard Short-Term Bond ETF	A	Dividend			Merged (with line 17)	12/26/19	K		
33. -iShares Treasury Floating Rate Bond ETF	B	Dividend			Sold (part)	12/19/19	K	A	
34.					Merged (with line 18)	12/26/19	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 =\$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	
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35. -Fidelity Government Cash Reserve "Cash Account"	A	Dividend			Merged (with line 19)	12/26/19	J		
36. Brokerage #3 (H)									
37. -AQR Managed Futures Strategy CI I	B	Dividend	L	T					
38. -iShares Treasury Floating Rate Bond ETF	C	Dividend	M	T					
39. -Fidelity Government Cash Reserve "Cash Account"	A	Dividend	J	T					
40. IRA #1 (H)									
41. -Invesco FTSE RAFI US 1000	A	Dividend			Sold	12/19/19	K	D	
42. -iShares Russell 1000 ETF	A	Dividend			Sold	12/19/19	K	E	
43. -iShares MSCI EAFE ETF	A	Dividend			Sold	12/19/19	K	A	
44. -iShares MSCI Emerging Markets ETF	A	Dividend			Sold	12/19/19	J	A	
45. -PIMCO All Asset All Authority Instl	B	Dividend	L	T	Buy (add'l)	12/19/19	K		
46. -iShares Treasury Floating Rate Bond ETF	A	Dividend	L	T	Buy (add'l)	12/19/19	L		
47. -Fidelity Government Cash Reserve "Cash Account"	A	Dividend	J	T					
48. IRA #2 (H)									
49. -PIMCO All Asset All Authority Instl	A	Dividend	K	T	Sold (part)	11/15/19	J	A	
50. -iShares Treasury Floating Rate Bond ETF	A	Dividend	J	T	Buy (add'l)	11/15/19	J		
51. -Fidelity Government Cash Reserve "Cash Account"	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	
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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52. IRA #3 (H)									
53. -Invesco FTSE RAFI US 1000	B	Dividend	J	T	Sold (part)	12/19/19	M	E	
54. -iShares MSCI EAFE ETF	C	Dividend	L	T					
55. -iShares MSCI Emerging Markets EFT	C	Dividend	M	T	Sold (part)	12/19/19	K	B	
56. -PIMCO All Asset All Authority Instl	C	Dividend	M	T					
57. -AQR Managed Futures Strategy CI I	C	Dividend	L	T	Buy (add'l)	12/19/19	K		
58. -AQR Style Premia Alternative CI I	B	Dividend	M	T	Buy (add'l)	12/19/19	K		
59. -PPIMCO Dynamic Bond Fund Instl	D	Dividend	M	T					
60. -Eaton Vance Emerging Markets Local Income CI I	E	Dividend	M	T					
61. -RiverNorth/DoubleLine Strategic Income I	D	Dividend	M	T	Buy (add'l)	12/19/19	K		
62. -PIMCO Low Duration Fund Instl	A	Dividend			Sold	12/19/19	J	A	
63. -Vanguard Short-Term Bond ETF	A	Dividend	K	T	Buy	12/19/19	K		
64. -iShares Treasury Floating Rate Bond ETF	B	Dividend	L	T					
65. -Fidelity Government Cash Reserve "Cash Account"	A	Dividend	J	T					
66. Mass Mutual Whole Life Insurance	C	Dividend	M	T					
67. Mass Mutual Whole Life Insurance	B	Dividend	L	T					
68. Loyal American Insurance	A	Dividend	J	U					

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☐

 NONE (No reportable income, assets, or transactions.)

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
69. Vanguard 529 -Vanguard Interest Accumulation Portfolio	A	Interest			Sold	12/26/19	J	B	
70. Vanguard 529 -Vanguard Interest Accumulation Portfolio	A	Interest			Sold	12/30/19	J	B	
71. NC College Foundation 529 Dependable Income Fund	A	Interest			Sold	12/30/19	K	B	
72. Duke Univ. Faculty Retirement Plan (H)									
73. -Vanguard Inst, Target Retirement 2025 Fund	A	Dividend	J	T					
74.									
75.									
76.									

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

Part VII Line 68: The Loyal American Life Insurance Company policy appears to be affiliated with and/or administered by The Great American Life Insurance Company.

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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/ 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