

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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 01/06/2022
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 01/01/2020 to 12/31/2020
	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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Board Member, President Elect	Notre Dame Law Association
2. Board Member	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.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Schroeder, Thomas D.

Date of Report

01/06/2022

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.		
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.				

Name of Person Reporting	Date of Report
Schroeder, Thomas D.	01/06/2022

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.		

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)	(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)
1. Wells Fargo Accounts (Wachovia)	A	Interest	J	T					
2. US Treasury Series EE Bonds		None	J	T					
3. First Tennessee Accounts	A	Interest	M	T					
4. Valic Income Fixed Plus Annuity	B	Dividend	K	T					
5. Brokerage #1 (H)									
6. -Invesco FTSE RAFI US 1000	B	Dividend			Sold (part)	05/06/20	L	D	
7. -iShares Russell 1000 ETF	A	Dividend			Sold (part)	05/06/20	J	A	
8. -Invesco FTSE RAFI US 1500 Small-Mid ETF	A	Dividend	M	T	Buy	05/06/20	L		
9. -iShares MSCI EAFE ETF	D	Dividend	N	T	Buy (add'l)	05/06/20	M		
10. -Vanguard FTSE Developed Markets ETF	C	Dividend	M	T	Sold (part)	05/06/20	L	A	
11. -Vanguard FTSE Emerging Markets ETF	A	Dividend			Sold (part)	05/06/20	J	A	
12. -PIMCO All Asset All Authority Instl	B	Dividend	K	T					
13. -AQR Managed Futures Strategy Cl I		None			Sold	12/10/20	L	A	
14. -AQR Style Premia Alternative Cl I		None			Sold	12/10/20	J	A	
15. -Calamos Market Neutral Income I	A	Dividend	K	T	Buy	05/06/20	K		
16. -PIMCO Dynamci Bond Fund Instl	A	Dividend	K	T	Buy (add'l)	12/10/20	K		
17. -iShares 0-5 Year TIPS Bond ETF	A	Dividend	L	T	Buy	05/06/20	L		

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

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)	(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)
18. -Vanguard Ltd-Term Tax Exempt Adm	A	Dividend			Sold	05/06/20	L	A	
19. -Vanguard Short-Term Bond ETF	A	Distribution	L	T					
20. -iShares Treasury Floating Rate Bond ETF	A	Dividend	L	T	Sold (part)	05/06/20	L	A	
21. -Fidelity Government Cash Reserve "Cash Account"	A	Dividend	L	T					
22. Brokerage #3 (H)									
23. -Invesco FTSE RAFI US 1000 ETF	D	Dividend	N	T	Sold (part)	05/06/20	J	A	
24.					Sold (part)	12/10/20	K	E	
25. -iShares Russell 1000 ETF	C	Dividend	N	T					
26. -iShares MSCI EAFE ETF	C	Dividend	M	T	Buy (add'l)	05/06/20	L		
27. -Vanguard FTSE Developed Markets ETF	A	Dividend			Sold (part)	05/06/20	K	A	
28. -Vanguard FTSE Emerging Markets ETF	C	Dividend	M	T					
29. -PIMCO All Asset All Authority Instl	A	Dividend							
30. -PIMCO Dynamic Bond Fund Instl	A	Dividend							
31. -Vanguard Short-Term Bond ETF	A	Dividend							
32. -iShares Treasury Floating Rate Bond ETF	A	Dividend							
33. -Fidelity Government Cash Reserve "Cash Account"	A	Dividend	L	T					
34. IRA #1 (H)									

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

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

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)	(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)
35. -PIMCO All Asset All Authority Instl	C	Dividend	M	T					
36. -Calamos Market Neutral Income I	A	Dividend	L	T	Buy	05/06/20	L		
37. -iShares Treasury Floating Rate Bond ETF	A	Dividend			Sold	05/06/20	L	A	
38. -Fidelity Government Cash Reserve "Cash Account"	A	Dividend	J	T					
39. IRA #2 (H)									
40. -PIMCO All Asset All Authority Instl	A	Dividend	K	T					
41. -Eaton Vance Gbl Macro Absolute Ret Advtg I	A	Dividend	J	T	Buy	05/06/20	J		
42. -iShares Treasury Floating Rate Bond ETF	A	Dividend			Sold	05/06/20	J	A	
43. -Fidelity Government Cash Reserve "Cash Account"	A	Dividend	J	T					
44. IRA #3 (H)									
45. -Invesco FTSE RAFI US 1000	A	Dividend			Sold	05/06/20	J	A	
46. -Invesco FTSE RAFI US 1500 Small-Mid ETF	A	Dividend	L	T	Buy	05/06/20	L		
47.					Sold (part)	12/10/20	K	D	
48. -iShares MSCI EAFE ETF	B	Dividend	L	T	Sold (part)	12/10/20	K	A	
49. -iShares MSCI Emerging Markets EFT	B	Dividend	L	T	Sold (part)	05/06/20	J	E	
50.					Sold (part)	12/10/20	K	D	
51. -PIMCO All Asset All Authority Instl	D	Dividend	M	T	Buy (add'l)	05/06/20	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	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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 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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
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52. -AQR Managed Futures Strategy CI I	B	Dividend	K	T	Sold	05/06/20	L	A	
53.					Buy	05/07/20	L		
54. -AQR Style Premia Alternative CI I		None	M	T					
55. -Calamos Market Neutral Income I	A	Dividend	K	T	Buy	05/06/20	J		
56.					Buy (add'l)	12/10/20	J		
57. -Eaton Vance Glbl Macro Absolute Ret Advtg I	D	Dividend	M	T	Buy	05/06/20	M		
58.					Buy (add'l)	12/10/20	K		
59. -PIMCO Dynamic Bond Fund Instl	C	Dividend	M	T	Sold (part)	05/06/20	K	A	
60.					Buy (add'l)	12/10/20	K		
61. -iShares 0-5 Year TIPS Bond ETF	A	Dividend	L	T	Buy	12/10/20	L		
62. -Eaton Vance Emerging Markets Local Income CI I	D	Dividend	M	T					
63. -RiverNorth/DoubleLine Strategic Income I	D	Dividend	M	T	Sold	12/10/20	M	A	
64.					Buy	12/11/20	M		
65. -PIMCO Enhanced Short Maturity Active ETF	A	Dividend	K	T	Buy	05/06/20	K		
66.					Buy (add'l)	12/10/20	K		
67. -Vanguard Short-Term Bond ETF	A	Dividend			Sold	05/06/20	K	A	
68. -iShares Treasury Floating Rate Bond ETF	A	Dividend	L	T	Sold	05/06/20	L	A	

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

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R =Cost (Real Estate Only)

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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.					Buy	12/10/20	L		
70. -Fidelity Government Cash Reserve "Cash Account"	A	Dividend	J	T					
71. Mass Mutual Whole Life Insurance	C	Dividend	M	T					
72. Mass Mutual Whole Life Insurance	B	Dividend	L	T					
73. Loyal American Insurance Whole Life Policy	A	Dividend	J	U					
74. Duke Univ. Faculty Retirement Plan (H)									
75. -Vanguard Inst. Target Retirement 2025 Fund	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 9 of 10

Name of Person Reporting

Schroeder, Thomas D.

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01/06/2022

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

Part VII :

Lines 5-33: Accounts in lines 5 through 33 were reorganized twice during 2020 as identical assets moved between the accounts; all purchases/sales are disclosed.

Lines 52, 63, and 68: Assets were sold and fully repurchased on the dates noted, and all assets were held at year end.

Line 73: The Loyal American Life Insurance Company policy appears to be affiliated with and/or administered by The Great American Life Insurance Company. As per the November 24,2021 letter of inquiry by the Judicial Conference of the U.S. Committee on Financial Disclosure, the report is amended to reflect that this policy is a Whole Life policy.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Schroeder, Thomas D.

Date of Report

01/06/2022

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