

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

*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 05/15/2017
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	6. Reporting Period 01/01/2016 to 12/31/2016
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 & President	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. 2016	Duke University School of Law; \$3,500 compensation as Senior Lecturer (Spring 2016), plus reasonable reimbursement for related travel and meals
2. 2016	Bell Meadowmont, apartment lease
3.	

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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. 2016	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	01/2016 to 04/2016	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.)*

	<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 2016	K
2.	Bell Meadowmont	Lease 2016	K
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 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	K	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. -iShares Russell 1000 ETF	B	Dividend	M	T					
7. -PowerShares FTSE RAFI US 1000	D	Dividend	N	T					
8. -iShares MSCI EAFE ETF	C	Dividend	L	T	Sold (part)	12/08/16	K	A	
9. -Vanguard FTSE Developed Markets ETF	C	Dividend	M	T	Buy (add'l)	12/08/16	K		
10. -Vanguard FTSE Emerging Markets ETF	C	Dividend	M	T					
11. -PIMCO Low Duration Fund Instl	B	Dividend	L	T					
12. -Vanguard Ltd-Term Tax Exempt Adm	A	Dividend	L	T					
13. -Eaton Vance Floating Rate Instl	A	Dividend	K	T					
14. -Fidelity Cash Money Market Account	A	Interest	J	T					
15. Brokerage #2 (H)									
16. -iShares Russell 1000 ETF	A	Dividend	L	T					
17. -PowerShares FTSE RAFI US 1000	A	Dividend	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 = \$250,000.001 - \$500,000.000	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	

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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) 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 MSCI EAFE ETF	A	Dividend	J	T					
19. -Vanguard FTSE Developed Markets ETF	B	Dividend	K	T					
20. -Vanguard FTSE Emerging Markets ETF	A	Dividend	K	T					
21. -PIMCO All Asset All Authority Instl	B	Dividend	K	T	Buy	01/29/16	K		
22. -PIMCO All Asset Fund Instl		None			Sold	01/29/16	K	A	
23. -AQR Managed Futures Strategy Cl 1	A	Dividend	K	T					
24. -AQR Style Premia Alternative Cl 1	A	Dividend	K	T					
25. -PIMCO RAE Worldwide Fndmntl Advt PLUS Instl		None	K	T					
26. -RiverNorth/DoubleLine Strategic Income I	A	Dividend	K	T					
27. -Vanguard Short-Term Investment-Grade Adm	A	Dividend	J	T					
28. -Eaton Vance Floating Rate Instl	B	Dividend	K	T					
29. -Fidelity Cash Money Market	A	Dividend	J	T					
30. Brokerage #3 (H)									
31. -AQR Managed Futures Strategy Cl 1	A	Dividend	L	T					
32. -Eaton Vance Floating Rate Instl	C	Dividend	M	T					
33. -Fidelity Cash Money Market		None	J	T					
34. IRA #1 (H)									

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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. -iShares Russell 1000 ETF	A	Dividend	K	T					
36. -PowerShares FTSE RAFI US 1000	A	Dividend	K	T					
37. -iShares MSCI EAFE ETF	A	Dividend	K	T					
38. -iShares MSCI Emerging Markets ETF	A	Dividend	J	T					
39. -PIMCO All Asset All Authority Instl	B	Dividend	L	T					
40. -Eaton Vance Floating Rate Instl	A	Dividend	J	T					
41. -Fidelity Treasury Daily Money Market		None							
42. IRA #2 (H)									
43. -PIMCO All Asset All Authority Instl	A	Dividend	K	T					
44. -Eaton Vance Floating Rate Adv	A	Dividend	J	T					
45. IRA #3 (H)									
46. -PowerShares FTSE RAFI US 1000	B	Dividend	L	T					
47. -iShares MSCI EAFE ETF	B	Dividend	L	T					
48. -iShares MSCI Emerging Markets EFT	B	Dividend	M	T					
49. -PIMCO All Asset All Authority Instl	D	Dividend	M	T					
50. -AQR Managed Futures Strategy Cl I	A	Dividend	K	T					
51. -AQR Style Premia Alternative Cl I	B	Dividend	M	T					

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52. -PIMCO RAE Worldwide Fndmntl Advt PLUS Instl		None	M	T					
53. -Eaton Vance Emerging Markets Local Income C1 I	D	Dividend	M	T					
54. -RiverNorth/DoubleLine Strategic Income I	D	Dividend	M	T					
55. -PIMCO Low Duration Fund Instl	A	Dividend	J	T					
56. -Eaton Vance Floating Rate Instl	C	Dividend	L	T					
57. Mass Mutual Whole Life Insurance	B	Dividend	L	T					
58. Mass Mutual Whole Life Insurance	A	Dividend	K	T					
59. Loyal American Insurance/Great American Life Insurance Company	A	Dividend	J	U					
60. Winston-Salem Foundation Donor Advised Fund		None	J	T					
61. Vanguard 529 -Vanguard Interest Accumulation Portfolio	A	Interest	J	T					
62. Vanguard 529 -Vanguard Interest Accumulation Portfolio	A	Interest	J	T					
63. NC College Foundation 529 Dependable Income Fund	A	Interest	K	T					
64. Vanguard Duke University Faculty/Staff Retirement Plan (X)	A	Dividend	J	T					

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

Parts I, II and III.A.: In the report for calendar year 2015, the terms of compensation and reimbursements for teaching as Senior Lecturer at Duke University Law School were set forth in Part III.A. In the present report, the terms for 2016 are also set forth in Parts I and II, although they are the same and would be identical for the 2015 report.

Part VII, Line 59: The Loyal American Life Insurance Company policy appears to be affiliated with and/or administered by The Great American Life Insurance Company.

Part VII, line 60: 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. The Fund was exhausted during calendar year 2016.

On lines 21 and 75 of my 2015 report, Fidelity Cash Reserves and Fidelity Treasury Daily Money Market: are not reportable in 2016 because income and value fell below the reporting threshold.

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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