AO 10
Rev. 1/2022

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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)	2. Court or Organization	3. Date of Report
Schroeder, Thomas D.	Middle District NC	05/16/2022
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
US District Judge	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Board Member, President Elect & President	[redacted]
2.	Board Member	Chief Justice Joseph Branch Inn of Court
3.	Senior Lecturing Fellow	Duke University Law School
4.	Member (Liaison to [redacted])	Notre Dame Law School Advisory Council
5.	Board Member	Camps at Creekside Property Owner's Association

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements.)*

☐ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.	08/01/2021	Duke University Law School, Senior Lecturing Fellow appointment for fall 2021 semester, $3,500 plus reimbursement of reasonable travel expenses
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

A. Filer's Non-Investment Income

☐ NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.			
2.	08/01/2021	Duke University Law School, $3,500 plus reimbursement expenses, contribution to Vanguard Inst. Target Retirement 2025 Fund	$3,500.00
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.)*

	DATE	SOURCE
1.		
2.		
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☐ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.	Duke University Law School	August-December 2021	Durham, NC	Travel expenses to teach	Mileage reimbursement
2.					
3.					
4.					
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Schroeder, Thomas D.	05/16/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
1.	Wells Fargo Accounts (Wachovia)	A	Interest	L	T					
2.	US Treasury Series EE Bonds		None	J	T					
3.	First Tennessee Accounts	A	Interest	N	T					
4.	Valic Income Fixed Plus Annuity	B	Dividend	K	T					
5.	Brokerage #1 (H)									
6.	-Invesco FTSE RAFI US 1000	C	Dividend	M	T	Buy	02/05/21	M		
7.	-Inveso FTSE RAFI US 1500 Small-Mid ETF	B	Dividend	M	T					
8.	-iShares MSCI EAFE ETF	D	Dividend	N	T	Sold (part)	02/05/21	K	C	
9.	-Vanguard FTSE Developed Markets ETF	C	Dividend	M	T					
10.	-PIMCO All Asset All Authority Instl	D	Dividend	K	T					
11.	-AQR Managed Futures Strategy Cl I		None			Buy	01/11/21	L		
12.						Sold	12/08/21	L	A	
13.	-Calamos Market Neutral Income I	A	Dividend	K	T					
14.	-PIMCO Dynamic Bond Fund Instl	A	Dividend			Sold	02/05/21	K	A	
15.	-iShares 0-5 Year TIPS Bond ETF	C	Dividend	L	T					
16.	-PIMCO Enhanced Short Maturity Active ETF		None	J	T	Buy	02/05/21	J		
17.	-Vanguard Short-Term Bond ETF	A	Dividend	L	T					

1. Income Gain Codes: (See Columns B1 and D4) — 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; 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 (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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 (See Column C2) — Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

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Schroeder, Thomas D.	05/16/2022

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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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
18. -iShares Treasury Floating Rate Bond ETF	A	Dividend			Sold	02/05/21	L	A	
19. -Fidelity Government Cash Reserve "Cash Account"	A	Dividend	L	T					
20. Brokerage #3 (H)									
21. -Invesco FTSE RAFI US 1000 ETF	D	Dividend	O	T					
22. -iShares Russell 1000 ETF	C	Dividend	N	T					
23. -iShares MSCI EAFE ETF	C	Dividend	M	T					
24. -Vanguard FTSE Emerging Markets ETF	D	Dividend	M	T					
25. -AQR Managed Futures Strategy Cl I		None			Buy	01/11/21	K		
26.					Sold	12/08/21	K	A	
27. -AQR Style Premia Alternative Cl I		None			Buy	01/11/21	K		
28.					Sold	12/08/21	K	C	
29. -Calamos Market Neutral Income I	A	Dividend	J	T	Buy	12/02/21	J		
30.					Buy (add'l)	12/08/21	J		
31. -PIMCO Enhanced Short Maturity Active ETF		None	J	T	Buy	12/08/21	J		
32. -Fidelity Government Cash Reserve "Cash Account"	A	Dividend	L	T					
33. IRA #1 (H)									
34. -PIMCO All Asset All Authority Instl	E	Dividend	M	T					

1. Income Gain Codes: (See Columns B1 and D4)
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; 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 (See Columns C1 and D3)
J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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 (See Column C2)
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Schroeder, Thomas D.	05/16/2022

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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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
35. -Calamos Market Neutral Income I	A	Dividend	L	T					
36. -iShares 0-5 Year TIPS Bond ETF	A	Dividend	J	T	Buy	12/08/21	J		
37. -RiverNorth/DoubleLine Strategic Income I	A	Dividend	J	T	Buy	05/24/21	J		
38. -Eaton Vance Floating Rate Instl		None	J	T					
39. -Fidelity Government Cash Reserve "Cash Account"		None	J	T					
40. IRA #2 (H)									
41. -PIMCO All Asset All Authority Instl		None			Sold	02/05/21	K	A	
42. -Eaton Vance Glbl Macro Absolute Ret Advtg I	A	Dividend	J	T					
43. -Eaton Vance Floating Rate Instl	A	Dividend	K	T	Buy	02/05/21	K		
44.					Buy (add'l)	02/08/21	J		
45. -Fidelity Government Cash Reserve "Cash Account"		None	J	T					
46. IRA #3 (H)									
47. -Invesco FTSE RAFI US 1000	B	Dividend	L	T	Buy	02/05/21	K		
48.					Buy (add'l)	03/15/21	L		
49.					Sold (part)	05/24/21	K	B	
50.					Sold (part)	12/08/21	L	D	
51. -Inveso FTSE RAFI US 1500 Small-Mid ETF	B	Dividend	M	T	Buy (add'l)	02/05/21	K		

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2. Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000		
	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		
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52.					Buy (add'l)	03/15/21	J		
53.					Buy (add'l)	05/24/21	K		
54.					Sold (part)	12/08/21	J	A	
55. -iShares MSCI EAFE ETF		None			Sold	02/05/21	L	D	
56. -Vanguard FTSE Developed Markets ETF	B	Dividend	L	T	Buy	02/05/21	L		
57.					Buy (add'l)	03/15/21	J		
58.					Sold (part)	05/24/21	J	A	
59.					Buy (add'l)	12/08/21	K		
60. -iShares MSCI Emerging Markets EFT		None			Sold	02/05/21	L	E	
61. -Vanguard FTSE Emerging Markets ETF	B	Dividend	L	T	Buy	02/05/21	L		
62.					Buy (add'l)	03/15/21	K		
63.					Buy (add'l)	05/24/21	J		
64.					Buy (add'l)	12/08/21	J		
65. -PIMCO All Asset All Authority Instl	D	Dividend	J	T	Sold (part)	03/15/21	M	A	
66.					Buy (add'l)	12/08/21	J		
67. -AQR Managed Futures Strategy Cl I	B	Dividend	K	T					
68. -AQR Style Premia Alternative Cl I	E	Dividend	M	T	Buy (add'l)	12/08/21	K		

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69. -Calamos Market Neutral Income I	A	Dividend	K	T					
70. -Eaton Vance Glbl Macro Absolute Ret Advtg I	D	Dividend	M	T	Buy (add'l)	12/08/21	J		
71. -PIMCO Dynamic Bond Fund Instl	A	Dividend			Sold	02/05/21	M	A	
72. -iShares 0-5 Year TIPS Bond ETF	C	Dividend	L	T	Buy (add'l)	02/05/21	J		
73.					Buy (add'l)	03/15/21	J		
74. -Eaton Vance Emerging Markets Local Income Cl I	D	Dividend	M	T	Buy (add'l)	05/24/21	J		
75.					Buy (add'l)	12/08/21	J		
76. -RiverNorth/DoubleLine Strategic Income I	C	Dividend	M	T	Buy (add'l)	05/24/21	J		
77. -PIMCO Enhanced Short Maturity Active ETF	A	Dividend	K	T	Buy (add'l)	05/24/21	J		
78. -Eaton Vance Floating Rate Instl	D	Dividend	M	T	Buy	02/05/21	K		
79.					Buy (add'l)	02/08/21	M		
80.					Buy (add'l)	03/15/21	L		
81.					Sold (part)	12/08/21	J	A	
82. -iShares Treasury Floating Rate Bond ETF	A	Dividend			Sold	02/05/21	L	A	
83. -Fidelity Government Cash Reserve "Cash Account"		None	J	T					
84. Mass Mutual Whole Life Insurance	B	Dividend	M	T					
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86. Loyal American Insurance	A	Dividend	J	U					
87. Duke Univ. Faculty Retirement Plan (H)									
88. -Vanguard Inst. Target Retirement 2025 Fund	A	Int./Div.	J	T					

1. Income Gain Codes: (See Columns B1 and D4) — 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; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000
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Schroeder, Thomas D.	05/16/2022

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

Part VII :

Line 86: The Loyal American Life Insurance Company policy appears to be affiliated with and/or administered by The Great American Life Insurance Company. This is a Whole Life policy.

Lines 87-88: This is the retirement plan to which Duke University Law School contributes during those semesters I have taught, which has been periodic. The income represents a combination of a contribution from the university and dividends. Prior reports reflecting semesters when I taught should be deemed amended to reflect this explanatory informaation.

Name of Person Reporting	Date of Report
Schroeder, Thomas D.	05/16/2022

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 G-330
One Columbus Circle, N.E.
Washington, D.C. 20544