AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2022

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

1. Person Reporting (last name, first, middle initial)	2. Court or Organization	3. Date of Report
Schroeder, Thomas D.	Middle District of N C	06/08/2023
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	01/01/2022 **to** 12/31/2022
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 and President	[redacted]
2.	Board Member	Chief Justice Joseph Branch Inn of Court
3.	Member (Liaison to [redacted])	Notre Dame Law School Advisory Council
4.		
5.		

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.		
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.			
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.	National Foundation for Judicial Excellence	July 15-16, 2022	Chicago, IL	Speaking to state court judges re.FRE 702	transportation, meals, lodging
2.	[redacted]	Sept. 8-11, 2022	[redacted]	Notre Dame Advisory Council meeting (as liaison to [redacted])	lodging, meals, football game pass for me and guest, souvenir items
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.	06/08/2023

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 HorizonAccounts	B	Interest	M	T					
4. Valic Income Fixed Plus Annuity	B	Dividend	K	T					
5. Brokerage #1 (H)									
6. -Invesco FTSE RAFI US 1000 ETF	C	Dividend	M	T	Buy (add'l)	3/22/22	J		
7. -Inveso FTSE RAFI US 1500 Small-Mid ETF	B	Dividend	M	T	Buy (add'l)	01/20/22	J		
8.					Buy (add'l)	3/22/22	J		
9.					Sold (part)	05/23/22	J	A	
10. -iShares Core MSCI Intl Developed Markets ETF	A	Dividend			Buy	05/06/22	K		
11.					Sold	11/28/22	K	A	
12. -iShares MSCI EAFE ETF	D	Dividend	M	T					
13. -Vanguard FTSE Developed Markets ETF	C	Dividend	M	T	Buy (add'l)	03/22/22	K		
14.					Sold (part)	05/06/22	K	A	
15.					Buy (add'l)	11/28/22	K		
16. -iShares Core MSCI Emerging Markets ETF	A	Dividend			Buy	05/06/22	K		
17.					Sold	11/28/22	K	A	

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

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18. -Vanguard FTSE Emerging Markets ETF	A	Dividend	J	T	Buy	01/20/22	J		
19.					Buy (add'l)	03/22/22	J		
20.					Sold	05/06/22	K	A	
21.					Buy	11/28/22	J		
22. -PIMCO All Asset All Authority Instl	A	Dividend			Sold	04/21/22	K	A	
23. -AQR Managed Futures Strategy Cl I		None			Buy	01/10/22	L		
24.					Buy (add'l)	01/20/22	J		
25.					Sold (part)	03/22/22	K	B	
26.					Sold	04/21/22	L	D	
27. -Calamos Market Neutral Income I	B	Dividend	M	T	Buy (add'l)	01/20/22	L		
28. -Eaton Vance Glbl Macro Absolute Ret Advtg I		None	L	T	Buy	01/20/22	L		
29.					Sold	12/28/22	L	A	
30.					Buy	12/29/22	L		
31. -iShares 0-5 Year TIPS Bond ETF	D	Dividend	M	T	Buy (add'l)	01/20/22	J		
32.					Buy (add'l)	04/21/22	L		
33.					Sold (part)	05/23/22	L	A	
34.					Buy (add'l)	11/28/22	L		

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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. -Vanguard Short-Term Inflation-Protected Securities ETF	B	Dividend			Buy	05/23/22	L		
36.					Sold	11/28/22	L	A	
37. -PIMCO Enhanced Short Maturity Active ETF	A	Dividend	M	T	Buy (add'l)	01/20/22	L		
38.					Sold (part)	03/22/22	K	A	
39.					Buy (add'l)	04/21/22	M		
40.					Sold	05/23/22	M	A	
41.					Buy	11/28/22	M		
42. -Vanguard Short-Term Bond ETF	B	Dividend			Sold	04/21/22	L	A	
43.					Buy	05/23/22	M		
44.					Sold	11/28/22	M	A	
45. -Eaton Vance Floating-Rate Fund Cl I	B	Dividend	L	T	Buy	01/20/22	L		
46.					Sold	11/28/22	L	A	
47.					Buy	12/29/22	L		
48. -Fidelity Floating Rate High Income Fund	A	Dividend			Buy	11/28/22	L		
49.					Sold	12/29/22	L	A	
50. -Fidelity Government Cash Reserve "Cash Account"	A	Dividend	J	T					
51. Brokerage #3 (H)									

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
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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	
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52. -Invesco FTSE RAFI US 1000 ETF	D	Dividend	O	T					
53. -iShares Russell 1000 ETF	C	Dividend	N	T	Sold (part)	05/23/22	J	A	
54.					Sold (part)	11/28/22	J	A	
55. -Vanguard Russell 2000 ETF	A	Dividend	K	T	Buy	05/23/22	K		
56. -iShares MSCI EAFE ETF	C	Dividend	M	T	Sold (part)	05/23/22	J	A	
57.					Sold (part)	11/28/22	J	A	
58. -Vanguard FTSE Developed Markets ETF	A	Dividend	J	T	Buy	11/28/22	J		
59. -Vanguard FTSE Emerging Markets ETF	D	Dividend	M	T	Sold (part)	05/23/22	J	A	
60.					Buy (add'l)	11/28/22	J		
61. -AQR Managed Futures Strategy Cl I		None			Buy (add'l)	01/10/22	L		
62.					Sold	04/21/22	L	D	
63. -Calamos Market Neutral Income I	A	Dividend	L	T	Buy (add'l)	04/22/22	L		
64.					Sold (part)	05/23/22	J	A	
65. -PIMCO Enhanced Short Maturity Active ETF	A	Dividend			Sold	05/23/22	J	A	
66. -Fidelity Government Cash Reserve "Cash Account"	A	Dividend	J	T					
67. IRA #1 (H)									
68. -Vanguard FTSE Emerging Markets ETF	A	Dividend	J	T	Buy	11/28/22	J		

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69. -PIMCO All Asset All Authority Instl	D	Dividend	M	T	Buy (add'l)	04/21/22	K		
70. -Calamos Market Neutral Income I	A	Dividend			Sold	04/21/22	L	D	
71. -iShares 0-5 Year TIPS Bond ETF	A	Dividend			Sold	04/21/22	J	A	
72. -RiverNorth/DoubleLine Strategic Income I	A	Dividend	J	T	Buy (add'l)	03/22/22	J		
73.					Buy (add'l)	04/21/22	J		
74. -Eaton Vance Floating Rate Instl	B	Dividend	K	T	Buy (add'l)	01/20/22	J		
75.					Buy (add'l)	04/21/22	K		
76. -Fidelity Government Cash Reserve "Cash Account"	A	Dividend	J	T					
77. IRA #2 (H)									
78. -Vanguard FTSE Emerging Markets ETF		None			Buy	11/28/22	J		
79.					Sold	12/01/22	J	A	
80. -Eaton Vance Glbl Macro Absolute Ret Advtg I	A	Dividend	J	T					
81. -Eaton Vance Floating Rate Instl	A	Dividend	K	T					
82. -Fidelity Government Cash Reserve "Cash Account"	A	Dividend	J	T					
83. IRA #3 (H)									
84. -Invesco FTSE RAFI US 1000	B	Dividend	M	T	Buy (add'l)	01/20/22	K		
85.					Buy (add'l)	03/22/22	J		

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86.					Buy (add'l)	05/23/22	K		
87. -Inveso FTSE RAFI US 1500 Small-Mid ETF	B	Dividend	M	T					
88. -iShares Core MSCI Intl Developed Markets ETF	A	Dividend	K	T	Buy	05/23/22	K		
89. -Vanguard FTSE Developed Markets ETF	B	Dividend	L	T	Buy (add'l)	01/20/22	K		
90. -iShares Core MSCI Emerging Markets ETF	A	Dividend	K	T	Buy	05/23/22	K		
91. -Vanguard FTSE Emerging Markets ETF	C	Dividend	L	T	Buy (add'l)	11/28/22	J		
92. -PIMCO All Asset All Authority Instl	C	Dividend	K	T	Buy (add'l)	01/20/22	K		
93.					Buy (add'l)	11/28/22	J		
94. -AQR Managed Futures Strategy Cl I	E	Dividend	M	T	Buy (add'l)	04/21/22	M		
95.					Sold (part)	05/23/22	J	A	
96.					Sold (part)	11/28/22	J	A	
97. -AQR Style Premia Alternative Cl I	E	Dividend	M	T	Sold	03/22/22	M	A	
98.					Buy	03/23/22	M		
99.					Sold (part)	05/23/22	K	C	
100.					Sold (part)	11/28/22	J	A	
101. -Calamos Market Neutral Income I		None			Sold	04/21/22	K	B	
102. -Eaton Vance Glbl Macro Absolute Ret Advtg I	C	Dividend	L	T	Sold (part)	05/23/22	L	A	

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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)	
103. -iShares 0-5 Year TIPS Bond ETF	A	Dividend			Sold	04/21/22	L	A	
104. -Eaton Vance Emerging Markets Local Income Cl I	E	Dividend	M	T	Buy (add'l)	01/20/22	J		
105.					Buy (add'l)	03/22/22	J		
106. -RiverNorth/DoubleLine Strategic Income I	D	Dividend	M	T	Buy (add'l)	01/20/22	K		
107.					Buy (add'l)	11/28/22	J		
108. -PIMCO Enhanced Short Maturity Active ETF	A	Dividend			Sold	04/21/22	K	A	
109. -Eaton Vance Floating Rate Instl	D	Dividend	M	T	Sold (part)	01/20/22	K	A	
110.					Sold (part)	04/21/22	J	A	
111.					Sold (part)	11/28/22	J	A	
112. -Fidelity Government Cash Reserve "Cash Account"	A	Dividend	J	T					
113. Mass Mutual Whole Life Insurance	C	Dividend	M	T					
114. Mass Mutual Whole Life Insurance	B	Dividend	L	T					
115. Loyal American Insurance (Great American/ Mass Mutual)	A	Dividend	J	U					
116. Duke Univ. Faculty Retirement Plan (H)									
117. -Vanguard Inst. Target Retirement 2025	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	
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		

Name of Person Reporting	Date of Report
Schroeder, Thomas D.	06/08/2023

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

Part IV: Inadvertently omitted from the 2021 report are similar items related to attendance at the Notre Dame Advisory Council October 28-31, 2021 meeting at [redacted], in my role as President of the [redacted] and thus a liaison to the Advisory Council. Provided was lodging on campus, meals, football game pass for me and guest, souvenir items.

Part VII:

Line 3: First Horizon was formerly First Tennessee as listed on prior reports.

Line 115: The Loyal American Life Insurance Company policy appears to have been affiiated with and/or administered byThe Great American Life Insurance Company, which was acquired by Mass Mutual Ascend Life Insurance Company in 2022.. This is a Whole Life policy.

Line 116: This is the retirement plan to which the Duke University Law School contributes during those semesters I have taught, which has been periodic. The income represents a combination of a ontribution from the university and dividends. Prior reports since I began teaching at Duke Law School, if not reflecting this, should be deemed amended to reflect this explanatory information.

Name of Person Reporting	Date of Report
Schroeder, Thomas D.	06/08/2023

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. § 13141 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. § 13106)

Committee on Financial Disclosure
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