AO 10
Rev. 1/2013

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2012

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 Districtof N C	05/15/2013
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	01/01/2012 to 12/31/2012

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	Notre Dame Law Association
2.		
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.		

Name of Person Reporting	Date of Report
Schroeder, Thomas D.	05/15/2013

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.)*

	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 AND TYPE
1.	2012	Piedmont Land Conservancy, salary
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.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

Name of Person Reporting	Date of Report
Schroeder, Thomas D.	05/15/2013

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.	[redacted]	tuition [redacted] balance for 2012-13 school year	J
2.	[redacted]	tuition [redacted] balance for 2012-13 school year	J
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Schroeder, Thomas D.	05/15/2013

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 (1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (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 (f/k/a Wachovia)	A	Interest	K	T					
2.	BB&T Account	A	Interest	J	T					
3.	US Treasury Series EE Bonds		None	J	T					
4.	First Tennessee Accounts	B	Interest	O	T					
5.	Valic Annuity (X)	B	Distribution	K	T					
6.	Brokerage #1 (H)									
7.	-iShares Russell 1000 Index	B	Dividend	L	T	Sold (part)	02/21/12	J	A	
8.	-PowerShares FTSE RAFI US 1000	C	Dividend	M	T	Buy (add'l)	10/09/12	M		
9.	-iShares MSCI EAFE Index	B	Dividend	L	T	Sold (part)	02/21/12	K		
10.						Buy (add'l)	10/9/12	L		
11.	-Vanguard MSCI EAFE ETF	B	Dividend	L	T	Buy	02/21/12	L		
12.	-iShares MSCI Emerging Markets Index	A	Dividend	K	T	Sold (part)	02/21/12	K		
13.						Buy (add'l)	10/09/12	J		
14.	-Vanguard FTSE Emerging Markets ETF	A	Dividend	K	T	Buy	02/21/12	K		
15.	-PIMCO 1-5 Year US TIPS Index ETF	A	Dividend	L	T	Buy	10/09/12	L		
16.	-PIMCO Low Duration Fund Instl	C	Dividend	L	T	Sold (part)	10/8/12	L	A	
17.	-Vanguard Ltd-Term Tax Exempt Adm	B	Dividend	L	T	Sold (part)	10/8/12	L	B	

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.	05/15/2013

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)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	Place "(X)" after each asset exempt from prior disclosure	(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.	-Vanguard Short-Term Investment-Grade Adm	B	Dividend	J	T	Sold (part)	10/8/12	M	B	
19.	-Fidelity Cash	A	Dividend	K	T					
20.	-Fidelity Instl: Tax Exempt Portfolio Cl I	A	Dividend							
21.	Brokerage #2 (H)									
22.	-iShares Russell 1000 Index	A	Dividend	K	T	Sold (part)	10/5/12	K	B	
23.	-PowerShares FTSE RAFI US 1000	A	Dividend	K	T					
24.	-iShares MSCI EAFE Index	A	Dividend	J	T	Sold (part)	02/21/12	K		
25.						Sold (part)	10/5/12	J		
26.	-Vanguard MSCI EAFE ETF	B	Dividend	K	T	Buy	02/21/12	K		
27.	-iShares MSCI Emerging Markets Index	A	Dividend	J	T	Sold (part)	02/21/12	J		
28.						Sold (part)	10/5/12	J		
29.	-Vanguard FTSE Emerging Markets ETF	A	Dividend	J	T	Buy	02/21/12	J		
30.	-PIMCO All Asset All Authority Instl	B	Dividend	K	T	Buy	10/5/12	K		
31.	-PIMCO All Asset Fund Instl	A	Dividend			Sold	10/5/12	K	A	
32.	-AQR Managed Futures Strategy Cl I	A	Dividend	J	T	Buy	10/5/12	J		
33.	-Eaton Vance Glbl Macro Absolute Ret Advtg I	A	Dividend	J	T	Buy	10/5/12	J		
34.	-PIMCO Unconstrained Bond Instl	A	Dividend	J	T	Buy	10/5/12	J		

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	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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Place "(X)" after each asset exempt from prior disclosure	(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)
35. -PIMCO 1-5 Year U.S. TIPS Bond Index	A	Dividend	J	T	Sold (part)	10/5/12	K	A	
36. -PIMCO Global Advantage Strategy Bond Instl	A	Dividend	J	T	Sold (part)	10/5/12	K	A	
37. -Vanguard Short-Term Investment-Grade	A	Dividend			Sold (part)	10/5/12	K	A	
38.					Sold	10/10/12	J	A	
39. -Vanguard Short-Term Investment-Grade Adm	A	Dividend	J	T	Buy	10/10/12	J		
40. -Eaton Vance Floating Rate Adv	B	Dividend	L	T	Sold (part)	10/5/12	J	A	
41. -Fidelity Cash	A	Dividend	J	T					
42. Brokerage #3 (H)(X)									
43. -AQR Managed Futures Strategy Cl I	A	Dividend	L	T	Buy	10/9/12	L		
44. -American Funds Income Fund of America Cl A (X)					Sold	2/21/12	L	B	
45. -American Funds Washington Mutual Cl A (X)					Sold	2/21/12	L	C	
46. -BlackRock Equity Dividend Inv (X)					Sold	2/21/12	J	A	
47. -BlackRock Global Allocation Cl C (X)					Sold	2/21/12	J	A	
48. -Eaton Vance Glbl Macro Absolute Return Cl I	A	Dividend			Buy	2/21/12	K		
49.					Sold	10/8/12	K	A	
50. -MuniYield Insured Fund Inc. (X)	A	Distribution			Sold	2/21/12	K	B	
51. -Oppenheimer Main St. Growth & Income (X)					Sold	2/21/12	J	A	

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Place "(X)" after each asset exempt from prior disclosure	(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)
52. -Wells Fargo & Co. (X)					Sold	2/21/12	J	A	
53. -PIMCO 1-5 Year US TIPS Index ETF	A	Dividend	K	T	Buy	2/21/12	K		
54. -PIMCO All Asset Fund Instl	A	Dividend			Buy	2/21/12	K		
55.					Sold	10/8/12	K	B	
56. -PIMCO Global Advtge Strategy Bond Instl	A	Dividend	K	T	Buy	2/21/12	K		
57. -Vanguard Short-Term Investment-Grade Adm	A	Dividend	L	T	Buy	2/21/12	K		
58. -Eaton Vance Floating Rate Adv	A	Dividend	J	T	Buy	2/22/12	J		
59. -Fidelity Cash Money Market Account (X)	A	Dividend	J	T					
60. IRA #1 (H)									
61. -iShares Russell 1000 Index	A	Dividend	J	T	Sold (part)	10/8/12	J	C	
62. -PowerShares FTSE RAFI US 1000	A	Dividend	J	T					
63. -iShares MSCI EAFE Index	A	Dividend	J	T					
64. -iShares MSCI Emerging Markets Index	A	Dividend	J	T					
65. -PIMCO All Asset All Authority Instl	C	Dividend	L	T	Buy	10/10/12	L		
66. -PIMCO All Asset Fund Instl	B	Dividend			Sold	10/8/12	L	C	
67. -Eaton Vance Floating Rate Adv.	A	Dividend	J	T					
68. -Fidelity Treasury Daily Money Market (X)	A	Dividend							

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	
	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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Place "(X)" after each asset exempt from prior disclosure	(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)
69. IRA #2 (H)									
70. -PIMCO All Asset All Authority Instl	A	Dividend	K	T	Buy	10/9/12	K		
71. -PIMCO All Asset Fund Instl	A	Dividend			Buy	2/21/12	K		
72.					Sold	10/8/12	K	A	
73. -Eaton Vance Floating Rate Adv	A	Dividend	J	T	Buy	2/22/12	J		
74. -AllianceBern Global Thematic Gr A					Sold	2/21/12	J	B	
75. -BlackRock Global Allocation Cl C					Sold	2/21/12	J	B	
76. -MFS Emerging Growth Fund					Sold	2/21/12	J	B	
77. -Oppenheimer Main St. Growth & Income					Sold	2/21/12	J	A	
78. -Fidelity Treasury Daily Money Market	A	Dividend	J	T					
79. IRA #3 (H)									
80. -iShares Russell 1000 Index	A	Dividend			Sold	10/8/12	K	D	
81. -PowerShares FTSE RAFI US 1000	B	Dividend	L	T	Sold (part)	10/8/12	L	C	
82. -iShares MSCI EAFE Index	C	Dividend	L	T	Sold (part)	10/8/12	K		
83. -iShares MSCI Emerging Markets Index	A	Dividend	L	T					
84. -PIMCO All Asset All Authority Instl	C	Dividend	M	T	Buy	10/8/12	M		
85. -PIMCO All Asset Fund Instl	B	Dividend			Sold	10/8/12	L	B	

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	
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3. Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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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)	(2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (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)
86. -AQR Managed Futures Strategy Cl I	A	Dividend	K	T	Buy	10/8/12	K		
87. -Eaton Vance Global Absolute Return Cl I	B	Dividend			Sold	10/8/12	L	A	
88. -Eaton Vance Glbl Macro Absolute Ret Advtg I	A	Dividend	L	T	Buy	10/8/12	L		
89. -PIMCO Unconstrained Bond Instl	B	Dividend	L	T	Buy	10/8/12	L		
90. -PIMCO 1-5 Year U.S. TIPS Bond Index	B	Dividend			Sold	10/8/12	M	C	
91. -Eaton Vance Emerging Mkts Local Income Cl I	B	Dividend	M	T	Buy	10/10/12	L		
92. -PIMCO Global Advantage Strategy Bond Instl	C	Dividend	L	T	Sold (part)	10/8/12	M	D	
93. -PIMCO High Yield Spectrum Instl	B	Dividend	M	T	Buy	10/10/12	L		
94. -Eaton Vance Floating Rate Adv	C	Dividend	J	T	Sold (part)	10/8/12	M	A	
95. -Eaton Vance Floating Rate Instl	B	Dividend	M	T	Buy	10/12/12	M		
96. -Fidelity Treasury Daily Money Market	A	Dividend							
97. Mass Mutual Whole Life Insurance	B	Dividend	L	T					
98. Mass Mutual Whole Life Insurance	A	Dividend	K	T					
99. Loyal American Insurance	A	Dividend	J	U					
100. Winston-Salem Foundation Donor Advised Fund		None	J	T					
101. Vanguard 529 -Vanguard Interest Accumulation Portfolio	A	Interest	K	T					
102. Vanguard 529 -Vanguard Interest Accumulation Portfolio	A	Interest	J	T					

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	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	
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A. Description of Assets (including trust assets)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
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103. NC College Foundation 529 Dependable Income Fund		None	J	T	Buy	12/31/12	J		

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.	05/15/2013

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

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.

Name of Person Reporting	Date of Report
Schroeder, Thomas D.	05/15/2013

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