

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Tilley, Jr., Norwood C.	2. Court or Organization U.S. District Court, MDNC	3. Date of Report 07/08/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (Senior Status)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address PO Box 3443, Room 303 324 West Market Street Greensboro, NC 27402		
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 of Visitors	Wake Forest University School of Law
2. Director	Chief Justice Joseph Branch Inn (American Inns of Court)
3.	
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.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 13

Name of Person Reporting

Tilley, Jr., Norwood C.

Date of Report

07/08/2014

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. 2013

State retirement income from service as an administrator (Davidson County Community College)

2. 2013

Land rent (inherited property)

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.

FINANCIAL DISCLOSURE REPORT

Page 3 of 13

Name of Person Reporting

Tilley, Jr., Norwood C.

Date of Report

07/08/2014

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.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 13

Name of Person Reporting

Tilley, Jr., Norwood C.

Date of Report

07/08/2014

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, 3 IRAs (CDs)	A	Interest	L	T					
2. First Citizens Bank & Trust, 2 IRAs	A	Interest	K	T					
3. MFS Heritage IRA (Mutual), MFS Capital Opportunities Fund	A	Interest	K	T					
4. First Citizens Bank & Trust Savings Acct	A	Interest	K	T					
5. Truliant Federal Credit Union Checking Acct	A	Interest	J	T					
6. First Citizens Bank & Trust Quest Acct	A	Interest	K	T					
7. NewBridge Bank Checking Acct	A	Interest	J	T					
8. State Employees Credit Union Money Market Acct	A	Interest	L	T					
9. Merrill Lynch Investment Acct #1 (H)									
10. - Cash (X)	A	Interest	K	T					
11. - BNC Bancorp	A	Dividend	J	T					
12. - BB&T Corporation	A	Dividend	J	T					
13. - Coca Cola Com	A	Dividend	K	T					
14. - Comcast Corp New CL A	A	Dividend	J	T	Sold (part)	03/13/13	J	A	
15. - Duke Energy Corp New	B	Dividend	K	T					
16. - NewBridge Bancorp			L	T					
17. - Spectra Energy Corp	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 = \$250,000.01 - \$500,000.00	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 13

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18. - Stryker Corp	A	Dividend	J	T					
19. - Home Depot Inc	A	Dividend	J	T	Sold (part)	03/13/13	J	B	
20. - PepsiCo Inc	A	Dividend	J	T	Sold (part)	03/13/13	J	B	
21. - American Funds - High Income Trust CL A	A	Dividend	J	T					
22. - American Funds - Bond Fund of America CL A	A	Dividend	J	T					
23. - American Funds - Capital Income Builder Fund CL A	A	Dividend	J	T					
24. - American Funds - Capital World Growth & Income Fund CL A	A	Dividend	J	T					
25. - American Funds - Fundamental Investors CL A	A	Dividend	K	T					
26. - American Funds - Income Fund of America CL A	A	Dividend	J	T					
27. - American Funds - New Economy Fund CL A	A	Dividend	J	T					
28. - Bank of America Corp	A	Dividend	J	T					
29. - Pfizer Inc	A	Dividend	J	T					
30. - Loomis Sayles Strategic Income Fund CL C	B	Dividend			Sold	07/30/13	L	D	
31. - Lord Abbett - Short Duration Income Fund	A	Dividend	L	T	Buy	07/30/13	L		
32. - McDonalds Corp	A	Dividend	J	T					
33. - Zoetis Inc (X)	A	Dividend	J	T					
34. - Lord Abbett - Intermediate Tax Free (X)	A	Dividend			Sold	12/31/13	J		

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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	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	
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FINANCIAL DISCLOSURE REPORT

Page 6 of 13

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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)

35. Lexington Women's Investment Club	A	Dividend	K	T					
36. - Apple Inc									
37. - Abbott Laboratories									
38. - AFLAC Incorporated									
39. - Berkshire Hathaway Inc									
40. - Caterpillar, Inc					Sold	12/04/13	J	A	
41. - Chevron Corporation									
42. - Walt Disney Company					Sold	12/04/13	J	A	
43. - Duke Energy Corp									
44. - General Electric Company					Sold	12/04/13	J		
45. - Corning Incorporated					Sold	12/04/13	J		
46. - Google Inc									
47. - HCP, Inc									
48. - Johnson & Johnson									
49. - Allscripts-Misys Healthcare (Y)									
50. - Microsoft Corporation					Sold	12/04/13	J	A	
51. - Pepsico, Inc					Sold (part)	12/04/13	J	A	

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FINANCIAL DISCLOSURE REPORT

Page 7 of 13

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52. - Proctor & Gamble Company									
53. - Royal Dutch Shell PLC					Buy (add'l)	03/28/13	J		
54.					Sold (part)	03/28/13	J		
55.					Sold	12/04/13	J	A	
56. - Sprint Nextel Corporation					Sold	08/26/13	J	A	
57. - Spectra Energy Corp									
58. - Verizon Communications, Inc									
59. - Wells Fargo & Company					Sold	12/04/13	J		
60. - MEMC Electronic Materials, Inc					Sold	02/05/13	J		
61. - Wal-Mart Stores, Inc					Sold	12/04/13	J	A	
62. - Aeropostale Inc (Y)									
63. - Targacept Inc (Y)									
64. - Google Inc (Y)									
65. - Hatteras Financial Corp					Sold	04/24/13	J		
66. - Visa Inc									
67. - 3M Co.					Sold (part)	02/05/13	J	A	
68. - Exelon Corp					Sold	12/04/13	J		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 13

Name of Person Reporting

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69. - Sysco Corp					Sold	12/04/13	J	A	
70. - Canon, Inc					Sold	07/31/13	J		
71. - Google, Inc (Y)									
72. - Verizon Communications, Inc (Y)									
73. - Intell Corp					Sold	12/04/13	J	A	
74. - PPG Industries, Inc					Sold	02/05/13	J	A	
75. - Royal Dutch Shell Spons ADF A (Y)									
76. - Southwestern Energy Co									
77. - Annaly Capital Management REIT					Sold	04/24/13	J		
78. - McDonalds Corp					Sold	12/04/13	J		
79. - Cerner Corp					Sold	12/04/13	J	A	
80. - Royal Dutch Shell (Y)									
81. - Facebook, Inc					Sold	12/04/13	J	A	
82. - Norfolk Southern Corp					Sold	12/04/13	J	A	
83. - Windstream Corp					Sold	12/04/13	J		
84. - Old Dominion Freight Line, Inc									
85. - McDonald's Corp (Y)									

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2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

FINANCIAL DISCLOSURE REPORT

Page 9 of 13

Name of Person Reporting

Tilley, Jr., Norwood C.

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86. - Dassault Sys					Buy	08/29/13	J		
87.					Sold	12/04/13	J		
88. - Abbvie Inc (X)									
89. Merrill Lynch Investment Acct #2 (H)									
90. - Leggett & Platt Inc. PVICT	A	Dividend	J	T					
91. - Duke Energy Corp NEW	B	Dividend	K	T					
92. - Sysco Corporation	A	Dividend	K	T					
93. - Lord Abbett Intermediate Tax Free C (X)	A	Dividend			Sold	12/31/13	J		
94. - Cash (Y)									
95. Merrill Lynch IRA #1									
96. - Lifepoints Moderate Strategy FD CL S (Y)									
97. - Cash (Y)									
98. - Blackrock Equity Dividend Fund	A	Dividend	J	T	Buy	10/11/13	J		
99. - John Hancock Classic Value Fund	A	Dividend	J	T	Buy	10/11/13	J		
100. - Mainstay Large Cap Growth Fund	A	Dividend	J	T	Buy	10/11/13	J		
101. - Oppenheimer Rising Dividends Fund	A	Dividend	J	T	Buy	10/11/13	J		
102. - The Oakmark International Fund	A	Dividend	J	T	Buy	10/11/13	J		

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FINANCIAL DISCLOSURE REPORT

Page 10 of 13

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103. Merrill Lynch IRA #2									
104. - Cash	A	Interest	J	T					
105. - Cisco Systems Inc	A	Dividend	J	T					
106. - DJIA LIRN (Issuer BAC)	A	Dividend	J	T	Buy	09/26/13	J		
107. - American Growth Fund of America CL C	A	Dividend	J	T					
108. - American Growth Fund of America CL A	A	Dividend	K	T					
109. - American Investment Co of America CL A	A	Dividend	K	T					
110. - Blackrock Global Allocation Fund Inc C	A	Dividend	K	T					
111. - Columbia Acorn Fund CL A	A	Dividend	K	T					
112. - Delaware Small Cap Core Fund CL C	A	Dividend	J	T					
113. - First Eagle Global Class C	A	Dividend	K	T					
114. - Franklin Income Fund CL C	A	Dividend	J	T					
115. - Lord Abbett Short Duration Income Fund C	A	Dividend	J	T					
116. - MFS Emerging Markets Debt Fund CL C	A	Dividend	J	T					
117. - Putnam Equity Income Fund CL A	A	Dividend	K	T					
118. Merrill Lynch IRA #3									
119. - Cash (Y)									

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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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FINANCIAL DISCLOSURE REPORT

Page 11 of 13

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120. - American Fundamental Investors Inc CL A (Y)									
121. - American New Perspective Fund CL A (Y)									
122. - Blackrock Equity Dividend Fund	A	Dividend	J	T	Buy	10/11/13	J		
123. - Dreyfus Appreciation Fund	A	Dividend	J	T	Buy	10/11/13	J		
124. - John Hancock Classic Value Fund CL I	A	Dividend	J	T	Buy	10/11/13	J		
125. - Mainstay Large Cap Growth Fund CL I	A	Dividend	J	T	Buy	10/11/13	J		
126. - Oppenheimer Rising Dividends Fund CL Y	A	Dividend	J	T	Buy	10/11/13	J		
127. - The Oakmont International Fund	A	Dividend	J	T	Buy	10/11/13	J		
128.									
129.									
130.									
131.									

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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 12 of 13

Name of Person Reporting

Tilley, Jr., Norwood C.

Date of Report

07/08/2014

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

Part VII - moved prior year line #7 to line #11 this year, as this was a stock (Bank of North Carolina - BNC Bancorp) that should have been reported under the Merrill Lynch account

FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

Tilley, Jr., Norwood C.

Date of Report

07/08/2014

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/ **Norwood C. Tilley, Jr.**

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
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Washington, D.C. 20544