

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) FOX, JAMES C.	2. Court or Organization U.S. DISTRICT COURT, NC	3. Date of Report 04/30/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. DISTRICT JUDGE - SENIOR	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 UNITED STATES DISTRICT COURT P.O. BOX 2143 WILMINGTON, NC 28402		
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. TESTAMENTARY LIMITED POWER OF APPOINTMENT	TRUST # 1
2. TESTAMENTARY LIMITED POWER OF APPOINTMENT	TRUST # 2
3. TRUSTEE	FOUNDATION # 1
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.	

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Name of Person Reporting

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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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

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. IRA # 2	A	Dividend	K	T					
2. - AUTOMATIC DATA PROCESSING INC COMM					Sold (part)	12/02/13	J	A	
3. - MEDTRONIC COMM									
4. - MICROSOFT CORP COMM									
5. - PFIZER COMM									
6. - WELLS FARGO ADVISORS BANK DEPOSIT SWEEP M/M									
7. IRA # 1	A	Interest	M	T					
8. - GREENHAVEN CONTINUOUS ET COMMODITY INDEX FD MF					Sold	03/30/13	K		
9. - ISHARES COMEX GOLD TRUST MF					Buy (add'l)	03/30/13	M		
10.					Sold (part)	12/02/13	K	B	
11. - 1 SHARES DOW JONES US OIL & GAS EXPL & PROD INDEX MF					Sold	03/20/13	K	D	
12. - 1 SHARES SILVER TRUST MF					Buy (add'l)	03/20/13	M		
13. - POWERSHARES DB COMMODITY INDEX TRACKING FD MF					Sold	03/20/13	L		
14. - POWERSHARES DB AGRICULTURE FUND MF					Sold	03/20/13	K		
15. - POWERSHARES DB BASE METALS FUND MF					Sold	03/20/13	K		
16. - UNITED STATES GASOLINE FUND LP MF					Sold	03/20/13	K	D	
17. - WELLS FARGO ADVISORS BANK DEPOSIT SWEEP M/M									

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	

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18. BROKERAGE # 1									
19. - COACH INC COMM	B	Dividend	L	T					
20. - EATON VANCE CAPITAL EXCHANGE FD MF	E	Dividend	P1	T					
21. - FEDERATED CAPITAL APPRECIATION EXCHANGE MF FUND MF # 2	E	Distribution			Merged (with line 22)	04/23/13	M		
22. - FEDERATED EQUITY INCM CL A MF	D	Distribution	M	T	Open	04/23/13	M		
23. - WELLS FARGO ADVISORS BANK DEPOSIT SWEEP M/M	A	Interest	K	T					
24. BROKERAGE # 2									
25. - EATON VANCE CAPITAL EXCHANGE FD MF	E	Dividend	P1	T					
26. - FEDERATED CAPITAL APPRECIATION EXCHANGE MF FUND MF # 1	E	Distribution			Merged (with line 27)	04/23/13	M		
27. - FEDERATED EQUITY INCM CL A MF	D	Distribution	M	T	Open	04/23/13	M		
28. - WELLS FARGO ADVISORS BANK DEPOSIT SWEEP M/M	A	Interest	K	T					
29. CHESTNUT STREET EXCHANGE FUND MF # 1	E	Dividend	O	T					
30. INVESCO VAN KAMPEN EXCHANGE FUND MF # 1	B	Dividend	L	T					
31. CHESTNUT STREET EXCHANGE FUND MF # 2	E	Dividend	O	T					
32. INVESCO VAN KAMPEN EXCHANGE FUND MF # 2	D	Dividend	N	T					
33. CITIENERGY LLC		None	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 = \$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	
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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	(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)

34. FOREXCO, INC.		None			Merged (with line 35)				NOTE D
35. AMERICAN ENERGY INCOME FUND LLC		None	J	T					
36. TRUST # 1	E	Dividend	O	T					NOTE A
37. - AIM GRWTH SER INVESCO GRWTH SER MF					Buy	06/06/13	K		
38.					Sold (part)	10/02/13	J	A	
39. - CALAMOS MARKET NEUTRAL MF									
40. - DODGE & COX INCOME FUND MF									
41. - DODGE & COX INTERNATIONAL MF					Sold (part)	03/15/13	J	D	
42.					Sold (part)	10/02/13	J	C	
43. - EXXON MOBILE CORP COMM									
44. - FEDERATED TREASURY OBLIGATIONS FD M/M					Sold	01/10/13	K		
45. - ING REAL ESTATE FUND MF					Sold (part)	03/15/13	J	D	
46.					Sold (part)	06/19/13	J	C	
47.					Sold (part)	10/02/13	J	D	
48. - HEARTLAND VALUE PLUS INST MF					Sold (part)	10/02/13	J	A	
49. - ISHARES TR RUSSELL 2000 GRWTH INDEX FUND MF					Buy	05/22/13	K		
50.					Sold (part)	10/02/13	J	A	

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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 \$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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51. - JANIS PERKINS MID CAP VALUE MF					Sold	05/20/13	K	B	
52. - JP MORGAN MC VALUE INSTL MF					Buy	05/20/13	K		
53.					Sold (part)	10/02/13	J	A	
54. - LOOMIS SAYLES BOND FUND MF					Sold	06/05/13	J	B	
55. - MATTHEWS ASIA PACIFIC DIVIDEND FD MF					Sold (part)	03/15/13	J	C	
56.					Sold (part)	10/02/13	J	B	
57. - OPPENHEIMER DEVELOPING MARKETS FUNDS CL Y MF									
58. - OPPENHEIMER SR FLOATING RATE FD CL Y MF					Buy	06/06/13	K		
59. - PIMCO EMERGING MARKETS BOND FUND MF									
60. - PIMCO HIGH YIELD FUND MF									
61. - PIMCO LOW DURATION FUND MF									
62. - PRUDENTIAL JENNISON MID CAP GROWTH FD INC CL Z MF					Sold (part)	10/02/13	J	A	
63. - PRUDENTIAL SHORT TERM CORPORATE BOND FD MF									
64. - RS GLOBAL NATURAL RESOURCES FUND MF									
65. - SCHRODER US OPPORTUNITY FD MF					Sold	05/20/13	K	B	
66. - VANGUARD SHORT TERM BOND INDEX FUND MF									
67. - WELLS FARGO ADVISORS INTRINSIC VALUE FUND MF					Sold (part)	06/05/13	K	B	

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	
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68.					Sold (part)	10/02/13	J	C	
69. - WELLS FARGO FDS TR LC GROWTH FDINSTL MF					Sold (part)	06/05/13	K	B	
70.					Sold (part)	10/02/13	J	D	
71. TRUST # 2	E	Dividend	O	T					NOTE B
72. - AIM GRWTH SER INVESCO GRWTH SER MF					Buy	06/06/13	K		
73. - CALAMOS MARKET NEUTRAL MF									
74. - COLUMBIA INCOME FUND MF									
75. - DODGE & COX INTNL FUND MF					Sold (part)	10/02/13	J	C	
76. - FEDERATED TREASURY OBLIGATIONS FD M/M					Sold	01/10/13	K		
77. - HARBOR CAPITAL APPRECIATION FD MF					Sold (part)	06/05/13	J	A	
78. - HEARTLAND VALUE PLUS INST MF									
79. - ING INTNL REAL ESTATE FD MF									
80. - ISHARES TR RUSSELL 2000 GRWTH INDES MF					Buy	05/22/13	K		
81. - JANUS MID CAP VALUE FD MF					Sold	05/20/13	K	E	
82. - JP MORGAN MC VALUE INSTL MF					Buy	05/20/13	K		
83.					Sold (part)	10/02/13	J	A	
84. - MATTHEWS ASIA PACIFIC DIVIDEND FD					Sold (part)	10/02/13	J	B	

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	
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85. - NUVEEN FLAGSHIP NC MUNI BOND FD MF									
86. - OPPENHEIMER DEVELOPING MKTS FDS CL Y MF									
87. - OPPENHEIMER SR FLOATING RATE FD CL Y MF					Buy	06/06/13	K		
88. - PARNASSUS EQUITY INCOME FUND MF					Sold (part)	06/05/13	J	B	
89. - PIMCO EMERGING MARKETS BOND FUND MF									
90. - PIMCO LOW DURATION FUND MF									
91. - PRUDENTIAL JENNISON MID CAP GROETH FD INC CL Z MF					Sold (part)	10/02/13	J	B	
92. - PRUDENTIAL SHORT TERM CORPORATE BOND FD MF									
93. - RS GLOBAL NATURAL RESOURCES FUND MF									
94. - SCHRODER US OPPORTUNITY FD MF					Sold	05/20/13	K	C	
95. - T ROWE PRICE REAL ESTATE FD MF					Sold (part)	10/02/13	J	D	
96. - VANGUARD SHORT TERM BOND INDEX FUND MF					Sold	06/15/13	K		
97. - WELLS FARGO ADVISORS INTRINSIC VALUE FUND MF					Sold (part)	06/05/13	K	B	
98. FOUNDATION # 1	E	Dividend	O	T					NOTE C
99. - AT&T INC COMM									
100. - ABBOTT LABORATORIES COMM									
101. - ABBVIE INC COMM					Spinoff (from line 100)	01/02/13	J		

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102. - BAXTER INTERNATIONAL INC COMM									
103. - BB&T CORP COMM									
104. - BP AMOCO COMM									
105. - CHEVRON CORPORATION COMM									
106. - DUKE ENERGY CORP NEW COMM									
107. - EXXON MOBIL CORP COMM									
108. - INTEL CORP COMM									
109. - ISHARES SILVER TRUST COMM					Buy	02/05/13	J		
110. - JOHNSON & JOHNSON COMM									
111. - JOHNSON CONTROLS INC COMM					Sold	02/01/13	J	B	
112. - MCDONALDS CORP COMM									
113. - NUVEEN MULTI-STRATEGY INCOME & GRTH FUND MF									
114. - PFIZER INC COMM									
115. - PIEDMONT NATURAL GAS COMM									
116. - SCANNA CORP COMM									
117. - SPECTRA ENERGY CORP COMM									
118. - VERIZON COMMUNICATIONS COMM									

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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)
119. - WELLS FARGO CO COMM									
120. - WELLS FARGO ADVISORS BANK DEPOSIT SWEEP M/M									
121.									

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 \$50,000,000	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

NOTE A - Under the distributive provisions of the Tust # 1, the income of said trust, within the sole and absolute discretion of the corporate trustee thereof, may be distributed in whole or in part to members. The class of potential distributees may be increased by the birth of additional members and by future marriage of members. The corporate trustee, in its sole discretion, may distribute all or any portion of the corpus of said trust to any one or more such beneficiaries if necessary to meet the reasonable needs of such beneficiary. James C. Fox was a co-trustee until his resignation and appointment of a successor trustee on August 16, 2006. James C. Fox has a testamentary limited power of appointment with regard to the corpus of the trust.

NOTE B - Under the distributive provisions of the Tust # 2, the income of said trust, within the sole and absolute discretion of the corporate trustee thereof, may be distributed in whole or in part to members. The class of potential distributees may be increased by the birth of additional members and by future marriage of members. The corporate trustee, in its sole discretion, may distribute all or any portion of the corpus of said trust to any one or more such beneficiaries if necessary to meet the reasonable needs of such beneficiary. James C. Fox was a co-trustee until his resignation and appointment of a successor trustee on August 16, 2006. James C. Fox has a testamentary limited power of appointment with regard to the corpus of the trust.

NOTE C - James C. Fox is a co-trustee of the Foundation # 1, a trust created and operated for charitable, religious, scientific and educational purposes. The assets of the trust approximated \$565,181 at December 31, 2013.

NOTE D - Forexco, Inc. was reorganized to become American Energy Income Fund LLC on 07/01/12.

NOTE E - Abbreviations used in the descriptions of assets, Part VII include the following: "COMM" designates common stock; "PREF" designates preferred stock; "M/M" designates a cash equivalent money market account; "BOND" designates a corporate bond; "MUNI" designates a tax exempt bond; and "MF" designates a mutual fund.

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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/ JAMES C. FOX

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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