

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 10/08/2019
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 01/01/2018 to 12/31/2018
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.	

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Name of Person Reporting

Tilley, Jr., Norwood C.

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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.)*

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. 2018

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

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.

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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.			

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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. Wells Fargo, 3 IRAs (CDs)	A	Interest	K	T					
2. First Citizens Bank & Trust IRA	A	Interest	J	T					
3. MFS Heritage IRA (Mutual), MFS Capital Opportunities Fund	A	Interest	K	T					
4. First Citizens Bank & Trust Savings Acct	A	Interest	J	T					
5. Truliant Federal Credit Union Checking Acct	A	Interest	J	T					
6. First Citizens Bank & Trust Quest Acct	A	Interest	M	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 (H)									
10. - Merrill Lynch Cash Account/Bank of America	A	Interest	L	T					
11. - Pinnacle Fuel Partners	A	Dividend	J	T					
12. - BB&T Corporation	A	Dividend	K	T					
13. - Bank of America Corp	A	Dividend	K	T					
14. - Coca Cola Com	A	Dividend	K	T					
15. - Comcast Corp New CL A	A	Dividend	J	T					
16. - Duke Energy Corp New	C	Dividend	L	T					
17. - Home Depot Inc	A	Dividend	K	T					

1. Income Gain Codes:	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
(See Columns B1 and D4)	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	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(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.)

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				
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18. - Leggett & Platt Inc. PV1CT	A	Dividend	J	T	Sold (part)	02/05/18	J	A	
19. - McDonalds Corp	A	Dividend	K	T					
20. - PepsiCo Inc	A	Dividend	J	T					
21. - Pfizer Inc	A	Dividend	J	T					
22. - Royal Dutch Shel PLC Spons ADR B	A	Dividend	J	T					
23. - FNB Corp	B	Dividend	K	T					
24. - Enbridge Inc	A	Dividend	J	T					
25. - Stryker Corp	A	Dividend	J	T					
26. - Sysco Corporation	A	Dividend	K	T					
27. - Zoetis Inc	A	Dividend	J	T					
28. - American Funds - High Income Trust CL A	A	Dividend	J	T					
29. - American Funds - Bond Fund of America CL A	A	Dividend	J	T					
30. - American Funds - Capital Income Builder Fund CL A	A	Dividend	J	T					
31. - American Funds - Capital World Growth & Income Fund CL A	A	Dividend	J	T					
32. - American Funds - Fundamental Investors CL A	A	Dividend	K	T					
33. - American Funds - Income Fund of America CL A	A	Dividend	J	T					
34. - American Funds - New Economy Fund CL A	A	Dividend	J	T					

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

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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. - Royal Dutch Shell PLC Spons ADR A	A	Dividend	J	T					
36. - Lord Abbett Growth Leaders Fund CL C	A	Dividend	J	T					
37. - Align Tech Inc	A	Dividend	J	T					
38. - Lord Abbett Short Duration Tax Free CL C	B	Dividend	M	T	Sold (part)	02/08/18	J	A	
39. - Columbia Emerging Mkts	A	Dividend			Sold	09/04/18	J	A	
40. - iShares Exponential Technologies ETF	A	Dividend	J	T					
41. Lexington Women's Investment Club (H)									
42. - 3M Co.	A	Dividend	J	T					
43. - Apple Inc	A	Dividend	J	T					
44. - Abbvie Inc	A	Dividend	J	T					
45. - AFLAC Incorporated	A	Dividend	J	T					
46. - Berkshire Hathaway Inc - B	A	Dividend	K	T	Buy (add'l)	03/28/18	K		
47. - Chevron Corporation	A	Dividend	J	T					
48. - Dassault Sys	A	Dividend	J	T					
49. - Duke Energy Corp	A	Dividend	J	T					
50. - Alphabet Inc - Class A	A	Dividend	J	T					
51. - HCP, Inc	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 = \$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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52. - Johnson & Johnson	A	Dividend	J	T					
53. - Old Dominion Freight Line, Inc	A	Dividend	J	T					
54. - Pepsico, Inc	A	Dividend	J	T					
55. - Proctor & Gamble Company	A	Dividend	J	T					
56. - Enbridge Inc	A	Dividend	J	T					
57. - Verizon Communications, Inc	A	Dividend	J	T					
58. - Visa Inc	A	Dividend	J	T					
59. - Annaly Capital Management Inc	A	Dividend	J	T					
60. - Walt Disney Co	A	Dividend	J	T					
61. - Allergan PLC	A	Dividend	J	T	Buy (add'l)	04/25/18	J		
62. - Valeant Pharmaceuticals International (now Bausch Health Cos Inc)	A	Dividend	J	T					
63. - Edward Jones Money Market Account	A	Interest	J	T					
64. - Align Technology Inc	A	Dividend	J	T					
65. - CVS Corporation	A	Dividend	J	T					
66. - Home Depot Inc	A	Dividend	J	T					
67. - Columbia Emerging Mkts	A	Dividend			Sold	09/27/18	J	A	
68. - Synchrony Financial	A	Dividend	J	T	Buy	03/28/18	J		

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69. - Micron Technology	A	Dividend	J	T	Buy	07/25/18	J		
70. - International Paper Co	A	Dividend	J	T	Buy	07/25/18	J		
71. - Amazon	A	Dividend	J	T	Buy	09/27/18	J		
72. - Sealed Air Corp New	A	Dividend	J	T	Buy	11/28/18	J		
73. Merrill Lynch IRA #1 (H)									
74. - Blackrock Equity Dividend Fund	A	Dividend	J	T					
75. - The Oakmark International Fund (Y)									
76. - iShares Russell 1000 Value	A	Dividend	J	T					
77. - iShares Core US Treasury Bond	A	Dividend	J	T					
78. - Vanguard Intermediate Term Corporate Bond	A	Dividend	J	T					
79. Merrill Lynch IRA #2 (H)									
80. - Merrill Lynch Cash Account/Bank of America	A	Interest	K	T					
81. - DJIA LIRN (Issuer BAC)	A	Dividend			Matured	09/28/18	K	B	
82. - American Growth Fund of America CL C	A	Dividend	J	T					
83. - American Growth Fund of America CL A	A	Dividend	K	T					
84. - American Investment Co of America CL A	A	Dividend	K	T					
85. - Blackrock Global Allocation Fund Inc C	A	Dividend	K	T					

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86. - Columbia Acorn Fund CL A	A	Dividend	K	T					
87. - Delaware Small Cap Core Fund CL C	A	Dividend	J	T					
88. - First Eagle Global Class C	A	Dividend	K	T					
89. - Franklin Income Fund CL C	A	Dividend	J	T					
90. - Lord Abbett Short Duration Income Fund C	A	Dividend	J	T					
91. - MFS Emerging Markets Debt Fund CL C	A	Dividend	J	T					
92. - Putnam Equity Income Fund CL A	A	Dividend	K	T					
93. - Lord Abbett Multi Asset Income Fund C	A	Dividend	J	T					
94. Merrill Lynch IRA #3 (H)									
95. - Blackrock Equity Dividend Fund	A	Dividend	J	T					
96. - The Oakmont International Fund	A	Dividend	J	T					
97. - iShares Russell 1000 Value	A	Dividend	J	T					
98. - iShares Core US Treasury Bond	A	Dividend	J	T					
99. - Oppenheimer International Growth Fund CL Y	A	Dividend	J	T					
100. - Merrill Lynch Cash Account/Bank of America	A	Interest	J	T					
101. - iShares Russell 1000 Growth	A	Dividend	J	T					
102. - iShares TR Core MSCI	A	Dividend	J	T					

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103. - MFS Value Fund CL 1	A	Dividend	J	T					
104. - TCW Total Return	A	Dividend	J	T					
105. - Vanguard Intermediate Term Corporate Bond	A	Dividend	J	T					
106. Inherited land in Davidson Co, NC (X)	A	Rent	O	V					

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

Part VII - Investments and Trusts - Lines 41-72: Each security held by the Lexington Women's Investment Club is being reported because the club's total investment in each security is above the reporting threshold. Spouse owns approximately 6% of the Investment Club, often meaning her personal investment in the securities actually falls below the reporting threshold.

Part VII - Investments and Trusts - Line 106: Value is based on assessed tax value per Davidson County, NC.

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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/ 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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544