

# UNITED STATES SENATE FINANCIAL DISCLOSURE REPORT FOR NEW EMPLOYEE AND CANDIDATE FILERS

☐ Amendment

Last Name	First Name and Middle Initial	New Employee Report	
Tillis	Thomas R.	Date of Employment (mm/dd/yy)	Senate Office / Agency in Which Employed
Senate / Candidate Office Address (Number, Street, City, State, and ZIP)	Senate / Candidate Office Telephone No.	Candidate Report	
16 West Jones Street Raleigh, North Carolina 27602	(919) 733-5828	Commencement of Candidacy (mm/dd/yy) 05/30/2013	State in which you are a candidate North Carolina Candidate Reporting Period

## AFTER READING THE INSTRUCTIONS – ANSWER EACH OF THESE QUESTIONS AND ATTACH THE RELEVANT PART

	YES	NO		YES	NO
Did you or your spouse have earned income (e.g., salaries or fees) or non-investment income of more than \$200 from any reportable source in the reporting period? If Yes, complete and attach PART II.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Did you hold any reportable positions during the reporting period? If Yes, complete and attach PART VIII.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Did you, your spouse, or dependent child hold any reportable asset worth more than \$1,000 at the end of the period or receive unearned or investment income of more than \$200 in the reporting period? If Yes, complete and attach PART IIIA and/or IIIB.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Did you have any reportable agreement or arrangement with an outside entity on the filing date? If Yes, complete and attach PART IX.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Did you, your spouse, or dependent child have any reportable liability (more than \$10,000) during the reporting period? If Yes, complete and attach PART VII.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Did you receive compensation of more than \$5,000 from a single source in the <u>two</u> prior years? If Yes, complete and attach PART X.	<input type="checkbox"/>	<input checked="" type="checkbox"/>

**Each question must be answered and the appropriate PART attached for each “YES” response.**

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SECRETARY OF THE SENATE

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Thomas R. Tillis

**PART II. EARNED AND NON-INVESTMENT INCOME**

1

Report the source (name and address), type, and amount of earned income to you from any source aggregating \$200 or more during the reporting period. For your spouse, report the source (name and address) and type of earned income which aggregate \$1,000 or more during the reporting period. No amount needs to be specified for your spouse. (See p.3, CONTENTS OF REPORTS Part B of Instructions.) Do not report income from employment by the U.S. Government for you or your spouse.

**Individuals not covered by the Honoraria Ban:**

For you and /or your spouse, report honoraria income received which aggregates \$200 or more by exact amount, give the date of, and describe the activity (speech, appearance or article) generating such honoraria payment. Do not include payments in lieu of honoraria reported on Part I.

Name of Income Source		Address (City, State)	Type of Income	Amount
Example:	JP Computers	Wash., DC	Salary	\$15,000
	MCI (Spouse)	Arlington, VA	Salary	Over \$1,000
1	North Carolina General Assembly	16 West Jones Street, Raleigh, NC 27602	Salary	\$38,151.00
2	North Carolina General Assembly	16 West Jones Street, Raleigh, NC 27602	Expense Allowance	\$16,956.00
3	Allen Tate Realtors	19460 Old Jetton Road, Cornelius, NC 28031	Salary	\$73,838.52
4	Allen Tate Realtors	19460 Old Jetton Road, Cornelius, NC 28031	Commission	\$1811.25
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## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Thomas R. Tillis

1

## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, *CONTENTS OF REPORTS Part B of Instructions*) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or  
(2) generated over \$200 in "unearned" income during the reporting period.

Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

## BLOCK B

## Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
Check the first column.

## BLOCK C

## Type and Amount of Income

		Type of Income										Amount of Income										Actual Amount Required if "Other" Specified
		None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000	
<b>Example:</b> S, IBM Corp. (stock)			X							Example		X										Example
DC, (S) Keystone Fund							X			Example	X											Example
1	J	IBM Corp. (stock - IBM)	X								X											
2	J	CVS Caremark (stock - CVS)	X								X											
3	J	MUNDER GROWTH OPPT CL A (Mutual Fund - MMNAX)	X								X											
4	J	Wells Fargo Money Market Account	X								X											
5	J	Wells Fargo Investment Acct <del>xx1004</del> - Harbor Capital APRCTION-INST #2012 (HACAX)	X								X											
6	J	Wells Fargo Investment Acct <del>xx1004</del> - PIMCO TOTAL RET FD-INST #35 (PTTRX)	X								X											
7	J	Wells Fargo Investment Acct <del>xx1004</del> - ISCHARES RUSSELL 1000 VALUE (IWD)	X								X											
8	J	Wells Fargo Investment Acct <del>xx1004</del> - DIAMOND HILL LONG-SHORT OF CL i #11 (DHLSX)	X								X											
9	J	Wells Fargo Investment Acct <del>xx1004</del> - VANGUARD INTERM TERM T/E FD-ADM #452 (VWIUX)	X								X											
10	J	Wells Fargo Investment Acct <del>xx1004</del> - NUVEEN HIGH YIELD MUNI BD-R #1668 (NHMRX)	X								X											

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

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## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

2

## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, *CONTENTS OF REPORTS Part B of Instructions*) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or  
(2) generated over \$200 in "unearned" income during the reporting period.

Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

## BLOCK B

## Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
Check the first column.

## BLOCK C

## Type and Amount of Income

traded asset held by you, your spouse, or your dependent child, (See p.3, CONTENTS OF REPORTS Part B of Instructions) for production of income or investment which: (1) had a value exceeding \$1,000 at the close of the reporting period; and/or (2) generated over \$200 in "unearned" income during the reporting period. Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.			Check the first column.										Type of Income							Amount of Income										Actual Amount Required if "Other" Specified				
			None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000		\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000
Example: S, DC, or J			IBM Corp. (stock)										Example							Example										Example				
			(S) Keystone Fund										Example							Example										Example				
1	J	Wells Fargo Investment Acct xx1004 - SECURED MARKET DEPOSIT ACCOUNT (SMDA)			X									X								Example	X											Example
2	J	Wells Fargo Investment Acct xx1005 - LAZARD EMERGING MKTS PTFD #638 (LZEMX)			X									X								Example	X											Example
3	J	Wells Fargo Investment Acct xx1006 -					X							X								Example	X											Example
4	J	Wells Fargo Managed IRA xx1007 - WESTPORT SELECT CAP FD- I #13 (WPSCX)					X							X								Example	X											Example
5	J	Wells Fargo Managed IRA xx1008 - DELAWARE POOLED TR INTL EQUITY #31 (DPIEX)					X							X								Example	X											Example
6	J	Wells Fargo Managed IRA xx1009 - ISHARES RUSSELL 1000 VALUE (IWD)					X							X								Example	X											Example
7	J	Wells Fargo Managed IRA xx1010 - HARBOR CAPITAL APRCTN-INST #2012 (HACAX)				X								X								Example	X											Example
8	J	Wells Fargo Managed IRA xx1011 - SSGA EMERGING MARKETS FD S #1510 (SEMSX)				X								X								Example	X											Example
9	J	Wells Fargo Managed IRA xx1012 - PIMCO TOTAL RET FD-INST #35 (PTTRX)			X									X								Example	X											Example
10	J	Wells Fargo Managed IRA xx1013 - SECURED MARKET DEPOSIT ACCOUNT (SMDA)			X									X								Example	X											Example

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

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### PART IIIB. NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

1

**BLOCK B**  
**Valuation of Assets**

At the close of reporting period.  
If None, or less than \$1,001,  
Check the first column.

Include the above report for each underlying asset, which is not incidental to the trade or business. Publicly traded assets held by non-public entity may be listed on Part IIIA.

None (or less than \$1,001)
\$1,001 - \$15,000
\$15,001 - \$50,000
\$50,001 - \$100,000
\$100,001 - \$250,000
\$250,001 - \$500,000
\$500,001 - \$1,000,000
Over \$1,000,000***
\$1,000,001 - \$5,000,000
\$5,000,001 - \$25,000,000
\$25,000,001 - \$50,000,000
Over \$50,000,000

BLOCK C

**Type and Amount of Income**

### Type of Income

### Amount of Income

None (or less than \$1,001)
\$1,001 - \$15,000
\$15,001 - \$50,000
\$50,001 - \$100,000
\$100,001 - \$250,000
\$250,001 - \$500,000
\$500,001 - \$1,000,000
Over \$1,000,000***
\$1,000,001 - \$5,000,000
\$5,000,001 - \$25,000,000
\$25,000,001 - \$50,000,000
Over \$50,000,000

None (or less than \$1,001)
\$1,001 - \$15,000
\$15,001 - \$50,000
\$50,001 - \$100,000
\$100,001 - \$250,000
\$250,001 - \$500,000
\$500,001 - \$1,000,000
Over \$1,000,000***
\$1,000,001 - \$5,000,000
\$5,000,001 - \$25,000,000
\$25,000,001 - \$50,000,000
Over \$50,000,000

None (or less than \$1,001)
\$1,001 - \$15,000
\$15,001 - \$50,000
\$50,001 - \$100,000
\$100,001 - \$250,000
\$250,001 - \$500,000
\$500,001 - \$1,000,000
Over \$1,000,000***
\$1,000,001 - \$5,000,000
\$5,000,001 - \$25,000,000
\$25,000,001 - \$50,000,000
Over \$50,000,000

None (or less than \$1,001)
\$1,001 - \$15,000
\$15,001 - \$50,000
\$50,001 - \$100,000
\$100,001 - \$250,000
\$250,001 - \$500,000
\$500,001 - \$1,000,000
Over \$1,000,000***
\$1,000,001 - \$5,000,000
\$5,000,001 - \$25,000,000
\$25,000,001 - \$50,000,000
Over \$50,000,000

None (or less than \$1,001)
\$1,001 - \$15,000
\$15,001 - \$50,000
\$50,001 - \$100,000
\$100,001 - \$250,000
\$250,001 - \$500,000
\$500,001 - \$1,000,000
Over \$1,000,000***
\$1,000,001 - \$5,000,000
\$5,000,001 - \$25,000,000
\$25,000,001 - \$50,000,000
Over \$50,000,000

None (or less than \$1,001)
\$1,001 - \$15,000
\$15,001 - \$50,000
\$50,001 - \$100,000
\$100,001 - \$250,000
\$250,001 - \$500,000
\$500,001 - \$1,000,000
Over \$1,000,000***
\$1,000,001 - \$5,000,000
\$5,000,001 - \$25,000,000
\$25,000,001 - \$50,000,000
Over \$50,000,000

None (or less than \$1,001)
\$1,001 - \$15,000
\$15,001 - \$50,000
\$50,001 - \$100,000
\$100,001 - \$250,000
\$250,001 - \$500,000
\$500,001 - \$1,000,000
Over \$1,000,000***
\$1,000,001 - \$5,000,000
\$5,000,001 - \$25,000,000
\$25,000,001 - \$50,000,000
Over \$50,000,000

None (or less than \$1,001)
\$1,001 - \$15,000
\$15,001 - \$50,000
\$50,001 - \$100,000
\$100,001 - \$250,000
\$250,001 - \$500,000
\$500,001 - \$1,000,000
Over \$1,000,000***
\$1,000,001 - \$5,000,000
\$5,000,001 - \$25,000,000
\$25,000,001 - \$50,000,000
Over \$50,000,000

None (or less than \$1,001)
\$1,001 - \$15,000
\$15,001 - \$50,000
\$50,001 - \$100,000
\$100,001 - \$250,000
\$250,001 - \$500,000
\$500,001 - \$1,000,000
Over \$1,000,000***
\$1,000,001 - \$5,000,000
\$5,000,001 - \$25,000,000
\$25,000,001 - \$50,000,000
Over \$50,000,000

None (or less than \$1,001)
\$1,001 - \$15,000
\$15,001 - \$50,000
\$50,001 - \$100,000
\$100,001 - \$250,000
\$250,001 - \$500,000
\$500,001 - \$1,000,000
Over \$1,000,000***
\$1,000,001 - \$5,000,000
\$5,000,001 - \$25,000,000
\$25,000,001 - \$50,000,000
Over \$50,000,000

None
Dividends
Rent
Interest
Capital Gains
Excepted Investment Fund
Excepted Trust
Qualified Blind Trust
Other (Specify Type)

None (or less than \$201)	Actual Amount  Required if "Other" Specified
\$201 - \$1,000	
\$1,001 - \$2,500	
\$2,501 - \$5,000	
\$5,001 - \$15,000	
\$15,001 - \$50,000	
\$50,001 - \$100,000	
\$100,001 - \$1,000,000	
Over \$1,000,000***	
\$1,000,001 - \$5,000,000	
Over \$5,000,000	

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

Click...to create an additional page for this part.

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## PART VII. LIABILITIES

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Report liabilities over \$10,000 owed by you, your spouse, or dependent child (See p.3, CONTENTS OF REPORTS, Part B of Instructions), to any one creditor at any time during the reporting period. Check the highest amount owed during the reporting period. Exclude: (1) mortgages on your personal residences unless rented (**except for Senators**); (2) loans secured by automobiles, household furniture or appliances; and (3) liabilities owed to certain relatives listed in Instructions. See Instructions for reporting revolving charge accounts.

Name of Creditor			Address	Type of Liability			Dis Mort		\$10,00	\$15,00	\$50,00	\$100,0	\$250,0	\$500,0	Over \$	\$1,000	\$5,000	\$25,00	Over \$
Example:	S, DC, or J	First District Bank	Wash., DC	Mortgage on undeveloped land	1992	13%	1 pt	25 yrs			X		E	X	A	M	P	L	E
		(J) John Jones	Wash., DC	Promissory Note	2000	10%	n/a	On dmd				X	E	X	A	M	P	L	E
1	J	Wells Fargo	Cornelius, NC	Home Equity Loan secured against Huntersville rental house	2005	2.75%	10	30 yrs					X						
2	J	Wells Fargo	Cornelius, NC	Mortgage on Huntersville rental house	2005	3.25%	0	30 yrs					X						
3	J	Wells Fargo	Cornelius, NC	Loan secured by Wells Fargo investment accounts	2013	3.75%	n/a	3 yrs					X						
4	S	Ford Motor Credit	Omaha, NE	Wife is co-signer for daughter's auto loan	2012	1.9%	n/a	5 yrs		X									
5	S	Ford Motor Credit	Omaha, NE	Wife is co-signer for son's auto loan	2012	1.9%	n/a	5 yrs		X									
6																			
7																			
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10																			
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12																			

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

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## PART VIII. POSITIONS HELD OUTSIDE U.S. GOVERNMENT

Thomas R. Tillis

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Report any positions held by you during the applicable reporting period whether compensated or not. Positions include, but are not limited to those of an officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise or any non-profit organization or educational institution. Both the year and month must be reported for the period of time that the position was held.

**Exclude:** Positions with federal government, religious, social, fraternal, or political entities, and those solely of an honorary nature.

Name of Organization		Address (City, State)	Type of Organization	Position Held	From (Mo/Yr)	To (Mo/Yr)
Example:	National Assn. of Rock Collectors	NY,NY <b>EXAMPLE</b>	Non-profit education	President	6 / 91	Present
	Jones & Smith	Hometown, USA <b>EXAMPLE</b>	Law Firm	Partner	7 / 96	11 / 1X
1	NONE					
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Compensation in excess of \$200 from any position must be reported in Part II.

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# PART IX. AGREEMENTS OR ARRANGEMENTS

Report your agreements or arrangements for future employment (including agreements with a publisher for writing a book or sale of other intellectual property), leaves of absence, continuation of payment by a former employer (including severance payments), or continuing participation in an employee benefit plan. See Instructions regarding the reporting of negotiations for any of these arrangements or benefits.

## Status and Terms of any Agreement or Arrangement

## Parties

## Date

Example:

Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share calculated on services performed through 11/0X and retained pension benefits (diversified, independently managed, fully funded, defined contribution plan)

Jones & Smith, Hometown, USA **EXAMPLE**

1 / 94

Employment agreement with XYZ Co. to become Vice President of Government Relations. Terms of agreement include salary between \$50,001-\$100,000, signing bonus between \$2,501-\$5,000 and stock options

XYZ Co., Bethesda, MD **EXAMPLE**

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1 NONE

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**PART X. COMPENSATION IN EXCESS OF \$5,000 PAID BY ONE SOURCE****FIRST TIME FILERS ONLY: (Except Candidate Reports - All Candidate Reports Must Include Part X If Applicable)**

Report sources of compensation received by you or your business affiliation for services provided directly by you during the reporting period. This includes the names of clients and customers of any corporation, firm, partnership, or other business enterprise, or any non-profit organization when you directly provided the services to the clients and/or customers of the firm that generated a fee or payment of more than \$5,000. You need not report the U.S. Government as a source.

Name of Source		Address of Source	Brief Description of Duties
Example:	Jones & Smith	Hometown, TX	Legal Services <b>EXAMPLE</b>
	Metro University (client of Jones & Smith)	Moneytown, USA	Legal Services in connection with university construction <b>EXAMPLE</b>
1	NONE		
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UNITED STATES SENATE  
SELECT COMMITTEE ON ETHICS  
WASHINGTON, DC 20510-6425

OFFICIAL BUSINESS

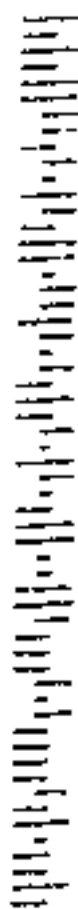
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