

Financial Disclosures

Annual Report for Calendar 2016

The Honorable Thomas R Tillis (Tillis, Thom)

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The following statements were checked before filing:

- I certify that the statements I have made on this form are true, complete and correct to the best of my knowledge and belief.
- I understand that reports cannot be edited once filed. To make corrections, I will submit an *electronic* amendment to this report.
- I omitted assets because they meet the three-part test for exemption.

Part 1. Honoraria Payments or Payments to Charity in Lieu of HonorariaDid any individual or organization pay you or your spouse more than \$200 or donate any amount to a charity on your behalf, for an article, speech, or appearance? **No****Part 2. Earned and Non-Investment Income**Did you or your spouse have reportable earned income or non-investment income? **Yes**

#	Who Was Paid	Type	Who Paid	Amount Paid
1	Spouse	Salary	Allen Tate Realtors Cornelius, NC	> \$1,000
2	Self	Salary	United States Senate Washington, DC	\$175,000.00

Part 3. AssetsDid you, your spouse, or dependent child own any asset worth more than \$1000, have a deposit account with a balance over \$5,000, or receive income of more than \$200 from an asset? **Yes**

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
1	IBM - International Business Machines Corporation (NYSE)	Corporate Securities Stock	Joint	\$50,001 - \$100,000	None,	None (or less than \$201)

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
2	<u>CVS</u> - CVS Caremark Corporation (NYSE)	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
3	<u>MMNAX</u> - MassMutual Premier Internationa (NASDAQ)	Mutual Funds Mutual Fund	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
4	Wells Fargo - 3230 (Cornelius, NC) Type: Checking,	Bank Deposit	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
5	SMDA Wells Fargo secured market deposit account	Brokerage/Managed Account	Joint	\$15,001 - \$50,000	None,	None (or less than \$201)
6	Wells Fargo Investment Account 1004	Brokerage/Managed Account	Joint			
6.1	Wells Fargo Bank (Charlotte, North Carolina) Type: Money Market Account,	Bank Deposit	Joint	\$100,001 - \$250,000	Interest,	None (or less than \$201)
6.2	<u>EIBLX</u> - Eaton Vance Floating Rate I (NASDAQ)	Mutual Funds Mutual Fund	Joint	\$1,001 - \$15,000	None, Dividends,	\$201 - \$1,000
6.3	<u>NHMRX</u> - Nuveen High Yield Municipal Bond I (NASDAQ)	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	None, Dividends,	\$1,001 - \$2,500
6.4	<u>PTLDX</u> - PIMCO Low Duration Instl (NASDAQ)	Mutual Funds Mutual Fund	Joint	\$100,001 - \$250,000	None, Dividends,	\$1,001 - \$2,500
6.5	<u>VWIUX</u> - Vanguard Interm-Term Tx- Ex Adm (NASDAQ)	Mutual Funds Mutual Fund	Joint	\$50,001 - \$100,000	None, Dividends,	\$2,501 - \$5,000

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
6.6	<u>IXN</u> - iShares Global Tech (NYSEArca)	Corporate Securities Stock	Joint	\$15,001 - \$50,000	None,	None (or less than \$201)
6.7	<u>HACAX</u> - Harbor Capital Appreciation Instl (NASDAQ)	Mutual Funds Mutual Fund	Joint	\$250,001 - \$500,000	None,	\$201 - \$1,000
6.8	<u>IWD</u> - iShares Russell 1000 Value (NYSEArca)	Mutual Funds Mutual Fund	Joint	\$100,001 - \$250,000	None,	\$2,501 - \$5,000
6.9	<u>IEMFX</u> - T. Rowe Price Instl Emerging Mkts Eq (NASDAQ)	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	None,	None (or less than \$201)
6.10	<u>LCMAX</u> - Driehaus Active Income (NASDAQ)	Mutual Funds Mutual Fund	Joint	\$50,001 - \$100,000	None,	\$1,001 - \$2,500
6.11	<u>CRSOX</u> - Credit Suisse Commodity Return Strat I (NASDAQ)	Mutual Funds Mutual Fund	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
6.12	<u>VNQ</u> - Vanguard REIT ETF (NYSEArca)	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	None,	\$201 - \$1,000
6.13	<u>IWM</u> - iShares Russell 2000	Mutual Funds Mutual Fund	Joint	\$100,001 - \$250,000	None,	\$1,001 - \$2,500
6.14	<u>PCBIX</u> - Principal MidCap Institutional	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	None,	\$201 - \$1,000
6.15	<u>DPIEX</u> - Mondrian International Equity	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	None,	None (or less than \$201)
7	Wells Fargo Managed IRA - Secured Market Deposit Account 2961	Brokerage/Managed Account	Joint			

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
7.1	Wells Fargo (Charlotte, North Carolina) Type: Money Market Account,	Bank Deposit	Joint	\$15,001 - \$50,000	None,	None (or less than \$201)
7.2	<u>PTLDX</u> - PIMCO Low Duration Instl (NASDAQ)	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	Dividends,	None (or less than \$201)
7.3	<u>IXN</u> - iShares Global Tech (NYSEArca)	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
7.4	<u>DHLSX</u> - Diamond Hill Long-Short I (NASDAQ)	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
7.5	<u>HACAX</u> - Harbor Capital Appreciation Instl (NASDAQ)	Corporate Securities Stock	Joint	\$50,001 - \$100,000	None,	None (or less than \$201)
7.6	<u>IWD</u> - iShares Russell 1000 Value (NYSEArca)	Corporate Securities Stock	Joint	\$100,001 - \$250,000	None,	None (or less than \$201)
7.7	<u>OTCFX</u> - T. Rowe Price Small-Cap Stock (NASDAQ)	Corporate Securities Stock	Joint	\$100,001 - \$250,000	None,	None (or less than \$201)
7.8	<u>DPIEX</u> - Delaware Pooled International Equity (NASDAQ)	Mutual Funds Mutual Fund	Joint	\$50,001 - \$100,000	None,	None (or less than \$201)

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
7.9	<u>DODFX</u> - Dodge & Cox International Stock (NASDAQ)	Mutual Funds Mutual Fund	Joint	\$50,001 - \$100,000	None,	None (or less than \$201)
7.10	<u>IEMFX</u> - T. Rowe Price Instl Emerging Mkts Eq (NASDAQ)	Mutual Funds Mutual Fund	Joint	\$50,001 - \$100,000	None,	None (or less than \$201)
7.11	<u>CRSOX</u> - Credit Suisse Commodity Return Strat I (NASDAQ)	Mutual Funds Mutual Fund	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
7.12	<u>VNO</u> - Vanguard REIT ETF (NYSEArca)	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	None,	None (or less than \$201)
7.13	<u>WACPX</u> - Western Asset Core Plus Bond I	Mutual Funds Mutual Fund	Joint	\$100,001 - \$250,000	None,	None (or less than \$201)
7.14	<u>PCBIX</u> - Principal MidCap Institutional	Mutual Funds Mutual Fund	Joint	\$100,001 - \$250,000	None,	None (or less than \$201)
8	Aquesta Bank (Cornelius, NC) Type: Checking,	Bank Deposit	Joint	\$1,001 - \$15,000	Interest,	None (or less than \$201)
9	Rental Property <i>Description:</i> Condo Rental (Davidson, NC)	Real Estate Residential	Joint	\$100,001 - \$250,000	Rent/Royalties,	\$5,001 - \$15,000
10	Rental Property <i>Description:</i> Condo (Nashville, TN)	Real Estate Residential	Joint	\$50,001 - \$100,000	Rent/Royalties,	\$2,501 - \$5,000

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
11	Variable Group Universal Life <i>Provider: Securian Financial SVCS</i>	Life Insurance Universal	Joint	\$1,000,001 - \$5,000,000	None,	None (or less than \$201)
12	Aquesta Bank - Founders investment private stock <i>Description: Community Bank (Cornelius, NC)</i>	Other Securities	Joint	\$50,001 - \$100,000	None,	None (or less than \$201)
13	Real Estate <i>Description: Personal Residence (Huntersville, NC)</i>	Real Estate Residential	Joint	\$1,000,001 - \$5,000,000	None,	None (or less than \$201)
14	NC 401(k) Plan - General Assembly	Retirement Plans Defined Contribution Pension Plan	Self			
14.1	NC Fixed Income Fund	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
14.2	NC Large Cap Index Fund	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
14.3	NC Large Cap Growth Fund	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
14.4	NC Large Cap Value Fund	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	None,	None (or less than \$201)

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
14.5	NC SMID Growth Fund	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
14.6	NC SMID Value Fund	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
14.7	NC Global Equity Fund	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	None,	\$201 - \$1,000
14.8	NC International Fund	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
14.9	NC INFL RESP FD	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
14.10	NC Stable Value Fund	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
14.11	NC Fixed Income Index Fund	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
15	NC State Employees Pension Plan	Retirement Plans Defined Benefit Pension Plan	Self	\$15,001 - \$50,000	None,	None (or less than \$201)
16	Real Estate - Condo <i>Description:</i> Residence Washington DC (Washington, DC)	Real Estate Residential	Joint	\$250,001 - \$500,000	None,	None (or less than \$201)

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
17	Aquesta Bank (Cornelius, North Carolina) Type: Checking,	Bank Deposit	Spouse	\$15,001 - \$50,000	None,	None (or less than \$201)

Part 4a. Periodic Transaction Report Summary

In this section, electronically filed periodic transaction report (PTR) transactions are displayed for you. Have you filed any paper-based PTRs in this period? **No**

Part 4b. Transactions

Did you, your spouse, or dependent child buy, sell, or exchange an asset that exceeded \$1,000? **No**

Part 5. Gifts

Did you, your spouse, or dependent child receive any reportable gift during the reporting period? **No**

Part 6. Travel

Did you, your spouse, or dependent child receive any reportable travel or reimbursements for travel? **No**

Part 7. Liabilities

Did you, your spouse, or dependent child have a liability worth more than \$10,000 at any time? **Yes**

#	Incurred	Debtor	Type	Points	Rate (Term)	Amount	Creditor	Comments
1	2005	Joint	Home Equity Line of Credit	-	2.75% (30 years)	\$250,001 - \$500,000	Wells Fargo Cornelius, NC	Account 9261
2	2005	Joint	Mortgage	0	3.5% (30 years)	\$100,001 - \$250,000	Wells Fargo Cornelius, NC	Account 1562
3	2015	Joint	Line of Credit	-	3% (3 years)	\$250,001 - \$500,000	Wells Fargo Cornelius, North Carolina	Account 4697

Part 8. Positions

Did you hold any outside positions during the reporting period? **Yes**

#	Position Dates	Position Held	Entity	Entity Type	Comments
1	Jan 2007 to present	Partner	TRT Holdings LLC Charlotte, North Carolina	Corporation	

Part 9. Agreements

Did you have any reportable agreement or arrangement with an outside entity? **Yes**

#	Date	Parties Involved	Type	Status and Terms
1	Jan 2007	State of North Carolina - General Assembly Raleigh, North Carolina	Continuing participation in an employee benefit plan	Vested for lifetime medical benefits after attaining age 60. Vested after five years of service in the General Assembly 2007-2014.

Part 10. Compensation

If this is your first report, or you are a candidate did you receive compensation of more than \$5,000 from a single source in the **two** prior years? **This is not my first report.**

Attachments & Comments

No attachments added.

No comments added.