

**FINANCIAL DISCLOSURE REPORT  
FOR CALENDAR YEAR 2012**

*Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)*

<b>1. Person Reporting (last name, first, middle initial)</b>  Voorhees, Richard L.	<b>2. Court or Organization</b>  District Court-North Carolina	<b>3. Date of Report</b>  05/10/2013
<b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b>  U. S. Judge-Active	<b>5a. Report Type (check appropriate type)</b> <input type="checkbox"/> Nomination      Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final <b>5b.</b> <input type="checkbox"/> Amended Report	<b>6. Reporting Period</b>  01/01/2012 to 12/31/2012
<b>7. Chambers or Office Address</b>  Charles R. Jonas Federal Building 401 West Trade Street, Suite 250 Charlotte, N. C. 28202		

**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.	_____	_____
2.	_____	_____
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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**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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> <i>(yours, not spouse's)</i>
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2012	The Carie E. and Lena V. Glenn Foundation, Inc.-Salary
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. American Conference Institute 23rd National Advanced Forum on Bad Faith Litigation	11/28-12 thru 11/29/12	Orlando, Florida	Guest Speaker	Airfare, transportation, food and tips
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.	American Express	Credit Card	J
2.	Wells Fargo	Credit Card	J
3.	Bank of America	Credit Card	J
4.	Citi-Sears	Credit Card	J
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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. AT&T	A	Dividend			Sold	5/20/12	J	A	
2. Wells Fargo Bank	A	Dividend	J	T					
3. Mountain Federal Credit Union(Checking and Savings	A	Interest	J	T					
4. Vanguard Prime Money Market Fund	A	Dividend	J	T					
5. Vanguard Asset Allocation Fund R/O IRA	A	Dividend			Merged (with line 7)	2/10/12	J	A	See Part VIII
6. Vanguard Balanced Index Fund R/O IRA	A	Dividend			Merged (with line 7)	9/5/12	J	A	See Part VIII
7. Vanguard Balanced Index Fund Admiral Shares R/O IRA	A	Dividend	J	T					See Part VIII
8. Vanguard GNMA Fund R/O IRA Investor Shares	A	Dividend	K	T					
9. Vanguard Prime Money Market Rollover IRA	A	Dividend	J	T					
10. Vanguard Total Stock Market Ind. Fund-R/O IRA-Admiral Shares	A	Dividend	K	T	Sold (part)	01/10/12	J	A	
11. Vanguard Wellington Fund R/O IRA Investor Shares	A	Dividend	K	T	Sold (part)	3/23/12	J	A	See Part VIII
12. Vanguard Wellington Fund Non-R/O IRA Investor Shares	A	Dividend	K	T					
13. Southern Company	A	Dividend	J	T					
14. Vanguard Group Individual Investment (H)									
15. (a) Vanguard Prime Money Market Fund	A	Dividend	J	T	Buy (add'l)	01/17/12	J		See Part VIII
16. (b) Vanguard Windsor II Fund	A	Dividend	J	T					
17. Fidelity Cash Reserves	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)
	18. Fidelity Equity-Income Fund	C	Dividend	M	T				
19. Fidelity Investment Co., IRA Traditional Individ. Assets (H)									
20. (a) RBS Citizens Deposit Account	A	Dividend	J	T					
21. (b) Fidelity Floating Bond	B	Dividend	L	T					
22. (c) Fidelity Total Bond	C	Dividend	L	T					
23. (d) Fidelity Strategic Bond	C	Dividend	L	T					
24. Vanguard Group-R/O-IRA I (H)									
25. (a) Windsor II Fund	A	Dividend	K	T					
26. (b) US Growth Fund	A	Dividend	K	T					
27. (c) Total Stock Market Index Admiral Shares	A	Dividend	K	T					
28. (d) 500 Index Fund Admiral Shares	A	Dividend	J	T					
29. Vanguard Group-Rollover IRA II (H)									
30. (a) Prime Money Market	A	Dividend	J	T	Buy (add'l)	1/11/12	J		See Part VIII
31. (b) International Growth Investors	A	Dividend	K	T	Sold (part)	1/11/12	J	A	See Part VIII
32. (c) International Value Investors	A	Dividend	K	T	Sold (part)	1/11/12	J	A	See Part VIII
33. (d) Emerging Markets Index Fund-Admiral	A	Dividend	K	T	Buy	5/11/12	J		See Part VIII
34. Vanguard Group-Traditional IRA (H)									

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; I12=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; 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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35. (a) Captial Opportunity Fund	A	Dividend	K	T					
36. (b) Stragetic Equity Fund	A	Dividend	K	T					
37. (c) REIT Index Fund-Admiral Shares	A	Dividend	K	T					
38. (d) Wellington Fund-Admiral Shares	B	Dividend	L	T					
39. Wells Fargo	A	Dividend	J	T					
40.									
41.									
42.									
43.									
44.									
45.									
46.									

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.)*

Part VII-Line 5-- Vanguard Asset Allocation Fund R/O IRA merged with Vanguard Balanced Index Fund on 2/10/12, Line 6.

Part VII-Line 7-- On 9/5/12 Vanguard Balanced Index Fund converted to Vanguard Balanced Index Fund-Admiral Shares R/O IRA. Because the report does not have a convert prompt I used merged. I originally tried to merge Line 5 to Line 6 and Line 6 to Line 7. However, the report will not let you reference a sequence like I attempted, because Line 5 reflects Line 6, as well as, and Line 6 reflects Line 7.

Part VII--Line 7-The audit reflects Column D(1) should be completed for each transaction. However, the transaction are reflected in Lines 5 & 6, which were converted over to Vanguard Balanced Index Fund-Admiral Shares R/O IRA, as stated above.

Part VII-Line 11--This was supposed to be on last year's report but was inadvertently omitted.

Part VII-Line 15--The Vanguard Prime Money Market Fund under the Vanguard Group Individual Investment (Line 14) account receives funds on the 17th every month transferred from a checking account.

Part VII-Line 31 & 32- Sold part of each on January 11, 2012. Put the money into the Prime Money Market account, Line 30.

Part VII-Line 33-On May 11, 2012, a new investment, Emerging Markets Index Fund-Admiral was created by funds that were withdrawn out of Prime Money Market account, Row 30.

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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/ Richard L. Voorhees**

**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
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