AO 10
Rev. 1/2022

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

*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) | 2. Court or Organization | 3. Date of Report |
|---|---|---|
| Tilley, Jr., Norwood C. | U.S. District Court, MDNC | 07/28/2022 |
| **4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)** | **5a. Report Type (check appropriate type)** | **6. Reporting Period** |
| U.S. District Judge (Senior Status) | ☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☐ Amended Report | 01/01/2021 **to** 12/31/2021 |
| **7. Chambers or Office Address** | | |
| PO Box 3443, Room 303<br>324 West Market Street<br>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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ NONE *(No reportable positions.)*

| | POSITION | NAME OF ORGANIZATION/ENTITY |
|---|---|---|
| 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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements )*

☑ NONE *(No reportable agreements.)*

| | DATE | PARTIES AND TERMS |
|---|---|---|
| 1. | | |
| 2. | | |
| 3. | | |

## III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

### 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 |
|---|---|---|
| 1. | 2021 | 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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable reimbursements.)*

| | SOURCE | DATES | LOCATION | PURPOSE | ITEMS PAID OR PROVIDED |
|---|---|---|---|---|---|
| 1. | | | | | |
| 2. | | | | | |
| 3. | | | | | |
| 4. | | | | | |
| 5. | | | | | |

## V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

| | SOURCE | DESCRIPTION | VALUE |
|---|---|---|---|
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

## VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

| | CREDITOR | DESCRIPTION | VALUE CODE |
|---|---|---|---|
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Tilley, Jr., Norwood C.** | 07/28/2022 |

## VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

| A<br>Description of Assets (including trust assets)<br><br>Place "(X)" after each asset exempt from prior disclosure | | B<br>Income during reporting period<br>(1) Amount Code 1 (A-H) | B<br>(2) Type (e g , div , rent, or int ) | C<br>Gross value at end of reporting period<br>(1) Value Code 2 (J-P) | C<br>(2) Value Method Code 3 (Q-W) | D<br>Transactions during reporting period<br>(1) Type (e g , buy, sell, redemption) | D<br>(2) Date mm/dd/yy | D<br>(3) Value Code 2 (J-P) | D<br>(4) Gain Code 1 (A-H) | |
|---|---|---|---|---|---|---|---|---|---|---|
| 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 | L | T | | | | | |
| 4. | First Citizens Bank & Trust Savings Acct | A | Interest | K | T | | | | | |
| 5. | Truliant Federal Credit Union Checking Acct | A | Interest | J | T | | | | | |
| 6. | First Citizens Bank & Trust Quest Acct | A | Interest | M | T | | | | | |
| 7. | First National Bank Checking Acct | A | Interest | K | T | | | | | |
| 8. | State Employees Credit Union Money Market Acct | A | Interest | L | T | | | | | |
| 9. | Merrill Lynch Investment Acct (H) | | | | | | | | | |
| 10. | - Merrill Lynch Cash Acct/Bank of America | A | Interest | K | T | | | | | |
| 11. | - Pinnacle Fncl Partners | A | Dividend | J | T | | | | | |
| 12. | - Truist Finl Corp | 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 | C | Dividend | M | T | | | | | |
| 17. | - Home Depot Inc | A | Dividend | L | T | | | | | |

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

| Name of Person Reporting | Date of Report |
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| **Tilley, Jr., Norwood C.** | 07/28/2022 |

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☐ NONE *(No reportable income, assets, or transactions.)*

| A | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
| Place "(X)" after each asset exempt from prior disclosure | (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) | |
| 18. - Leggett & Platt Inc. PVICT | A | Dividend | J | T | | | | | |
| 19. - McDonalds Corp | A | Dividend | K | T | | | | | |
| 20. - PepsiCo Inc | A | Dividend | J | T | | | | | |
| 21. - Pfizer Inc | A | Dividend | K | 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 | B | 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 | K | 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 | K | T | | | | | |
| 34. - American Funds - New Economy Fund CL A | A | Dividend | J | T | | | | | |

| | | | | | |
|---|---|---|---|---|---|
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| | F =$50,001 - $100,000 | G =$100,001 - $1,000,000 | H1 =$1,000,001 - $5,000,000 | H2 =More than $5,000,000 | |
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| | 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 | |
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|---|---|---|---|---|---|---|---|---|---|
| 35. - Royal Dutch Shell PLC Spons ADR A | A | Dividend | J | T | | | | | |
| 36. - Lord Abbett Growth Leaders Fund CL C | A | Dividend | K | T | | | | | |
| 37. - Align Tech Inc | A | Dividend | K | T | | | | | |
| 38. - Lord Abbett Short Duration Tax Free CL C | B | Dividend | M | T | | | | | |
| 39. - iShares Exponential Technologies ETF | A | Dividend | J | T | | | | | |
| 40. - BlackRock Liquidity Mutual Fund | A | Dividend | J | T | | | | | |
| 41. - Amazon Com Inc | A | Dividend | J | T | | | | | |
| 42. - Apple Inc | A | Dividend | K | T | | | | | |
| 43. - Berkshire Hathaway Inc - B | A | Dividend | K | T | | | | | |
| 44. Lexington Women's Investment Club (H) | | | | | | | | | |
| 45. - 3M Co. | A | Dividend | J | T | | | | | |
| 46. - Apple Inc | A | Dividend | J | T | | | | | |
| 47. - Abbvie Inc | A | Dividend | J | T | | | | | |
| 48. - AFLAC Incorporated | A | Dividend | J | T | | | | | |
| 49. - Berkshire Hathaway Inc - B | A | Dividend | J | T | | | | | |
| 50. - Dassault Sys | A | Dividend | J | T | | | | | |
| 51. - Duke Energy Corp | A | Dividend | J | T | | | | | |

| | | | | | |
|---|---|---|---|---|---|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =$1,000 or less<br>F =$50,001 - $100,000 | B =$1,001 - $2,500<br>G =$100,001 - $1,000,000 | C =$2,501 - $5,000<br>H1 =$1,000,001 - $5,000,000 | D =$5,001 - $15,000<br>H2 =More than $5,000,000 | E =$15,001 - $50,000 |
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|---|---|---|---|---|---|---|---|---|---|
| 52. - Alphabet Inc - Class A | A | Dividend | J | T | | | | | |
| 53. - HealthPeak Properties, Inc. | A | Dividend | J | T | | | | | |
| 54. - Johnson & Johnson | A | Dividend | J | T | | | | | |
| 55. - Old Dominion Freight Line, Inc. | A | Dividend | J | T | | | | | |
| 56. - Pepsico, Inc | A | Dividend | J | T | | | | | |
| 57. - Proctor & Gamble Company | A | Dividend | J | T | | | | | |
| 58. - Enbridge Inc | A | Dividend | | | Sold | 07/29/21 | J | A | |
| 59. - Verizon Communications | A | Dividend | J | T | | | | | |
| 60. - Visa Inc | A | Dividend | J | T | | | | | |
| 61. - Walt Disney Co | A | Dividend | J | T | | | | | |
| 62. - Bausch Health Cos Inc | A | Dividend | J | T | | | | | |
| 63. - Edward Jones Money Market Acct | A | Interest | J | T | | | | | |
| 64. - Align Technology Inc | A | Dividend | J | T | | | | | |
| 65. - Home Depot Inc | A | Dividend | J | T | | | | | |
| 66. - Amazon | A | Dividend | J | T | | | | | |
| 67. - TG Therapeutics Inc | A | Dividend | J | T | Buy (add'l) | 10/27/21 | J | | |
| 68. - Bristol-Myers Squibb Co | A | Dividend | J | T | Buy | 02/24/21 | J | | |

| | | | | | |
|---|---|---|---|---|---|
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|---|---|---|---|---|---|---|---|---|---|
| 69. - Intel Corp | A | Dividend | J | T | Buy | 10/27/21 | J | | |
| 70. - Williams Companies | A | Dividend | J | T | Buy | 10/27/21 | J | | |
| 71. Merrill Lynch IRA #1 (H) | | | | | | | | | |
| 72. - Blackrock Equity Dividend Fund | A | Dividend | J | T | | | | | |
| 73. - iShares Russell 1000 Value | A | Dividend | J | T | | | | | |
| 74. - iShares Core US Treasury Bond | A | Dividend | | | Matured | 06/07/21 | J | A | |
| 75. - Vanguard Intermediate Term Corporate Bond | A | Dividend | J | T | | | | | |
| 76. - iShares Russell 1000 Growth | A | Dividend | J | T | | | | | |
| 77. Merrill Lynch IRA #2 (H) | | | | | | | | | |
| 78. - Merrill Lynch Cash Acct/Bank of America | A | Interest | J | T | | | | | |
| 79. - American Growth Fund of America CL C | A | Dividend | K | T | | | | | |
| 80. - American Growth Fund of America CL A | A | Dividend | L | T | | | | | |
| 81. - Blackrock Global Allocation Fund Inc C | A | Dividend | K | T | | | | | |
| 82. - Columbia Dividend Income CL A | A | Dividend | K | T | | | | | |
| 83. - Delaware Small Cap Core Fund CL C | A | Dividend | J | T | | | | | |
| 84. - First Eagle Global Class C | A | Dividend | K | T | | | | | |
| 85. - Franklin Income Fund CL C | A | Dividend | J | T | | | | | |

| | | | | | |
|---|---|---|---|---|---|
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|---|---|---|---|---|---|---|---|---|---|
| 86. - Lord Abbett Short Duration Income Fund C | A | Dividend | J | T | | | | | |
| 87. - Putnam Equity Income Fund CL A | A | Dividend | K | T | | | | | |
| 88. - American Mutual Fund CL A | A | Dividend | J | T | | | | | |
| 89. - American Balanced Fund CL A | A | Dividend | J | T | | | | | |
| 90. - Lord Abbett Bond Debenture Fund CL A | A | Dividend | J | T | | | | | |
| 91. - MFS Diversified Income CL A | A | Dividend | J | T | | | | | |
| 92. Merrill Lynch IRA #3 (H) | | | | | | | | | |
| 93. - Blackrock Equity Dividend Fund | A | Dividend | J | T | | | | | |
| 94. - The Oakmont International Fund | A | Dividend | J | T | | | | | |
| 95. - iShares Russell 1000 Value | A | Dividend | J | T | | | | | |
| 96. - iShares Core US Treasury Bond | A | Dividend | | | Matured | 11/04/21 | J | A | |
| 97. - Merrill Lynch Cash Acct/Bank of America | A | Interest | J | T | | | | | |
| 98. - iShares Russell 1000 Growth | A | Dividend | J | T | | | | | |
| 99. - iShares TR Core MSCI | A | Dividend | J | T | | | | | |
| 100. - MFS Value Fund CL I | A | Dividend | J | T | | | | | |
| 101. - TCW Total Return Bond | A | Dividend | | | Matured | 07/21/21 | J | A | |
| 102. - Vanguard Intermediate Term Corporate Bond | A | Dividend | J | T | | | | | |

| | | | | | |
|---|---|---|---|---|---|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =$1,000 or less<br>F =$50,001 - $100,000 | B =$1,001 - $2,500<br>G =$100,001 - $1,000,000 | C =$2,501 - $5,000<br>H1 =$1,000,001 - $5,000,000 | D =$5,001 - $15,000<br>H2 =More than $5,000,000 | E =$15,001 - $50,000 |
| 2 Value Codes<br>(See Columns C1 and D3) | J =$15,000 or less<br>N =$250,001 - $500,000<br>P3 =$25,000,001 - $50,000,000 | K =$15,001 - $50,000<br>O =$500,001 - $1,000,000 | L =$50,001 - $100,000<br>P1 =$1,000,001 - $5,000,000<br>P4 =More than $50,000,000 | M =$100,001 - $250,000<br>P2 =$5,000,001 - $25,000,000 | |
| 3 Value Method Codes<br>(See Column C2) | Q =Appraisal<br>U =Book Value | R =Cost (Real Estate Only)<br>V =Other | S =Assessment<br>W =Estimated | T =Cash Market | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Tilley, Jr., Norwood C.** | 07/28/2022 |

## VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

| A | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
| Place "(X)" after each asset exempt from prior disclosure | (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) | |
| 103. - Clearbridge Large Cap Growth Fund | A | Dividend | J | T | | | | | |
| 104. - Fuller & Thaler Behvrl Small Cap Eq Fund | A | Dividend | J | T | | | | | |
| 105. - T Rowe Price Emerging Mkts Stock Fund | A | Dividend | J | T | | | | | |
| 106. - Pimco Investment Grade Credit Bond Fund CL 12 | A | Dividend | J | T | | | | | |
| 107. - Edgewood Growth Fund | A | Dividend | J | T | | | | | |
| 108. - GS GQG Partners | A | Dividend | J | T | | | | | |
| 109. - Doubleline Total Return Bond Fund CL I | A | Dividend | J | T | Buy | 10/28/21 | J | | |
| 110. Inherited land in Davidson Co, NC | A | Rent | O | V | | | | | |
| 111. | | | | | | | | | |
| 112. | | | | | | | | | |
| 113. | | | | | | | | | |
| 114. | | | | | | | | | |
| 115. | | | | | | | | | |
| 116. | | | | | | | | | |
| 117. | | | | | | | | | |
| 118. | | | | | | | | | |
| 119. | | | | | | | | | |

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

| Name of Person Reporting | Date of Report |
|---|---|
| **Tilley, Jr., Norwood C.** | 07/28/2022 |

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

Part VII - Investments and Trusts - Lines 44-70: Each security held by the Lexington Women's Investment Club is being reported because the club's total investment in each is above the reporting threshold. [redacted] owns approximately 6% of the Investment Club, often meaning [redacted] personal investment in the securities actually falls below the reporting threshold.

Part VII - Investments and Trusts - Line 110: Value is based on assessed tax value per Davidson County, NC.

| Name of Person Reporting | Date of Report |
|---|---|
| **Tilley, Jr., Norwood C.** | 07/28/2022 |

## 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
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