



**NORTH CAROLINA STATE ETHICS COMMISSION
2012 STATEMENT OF ECONOMIC INTEREST**

919-715-2071

www.ethicscommission.nc.gov

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MAY 14 2012

COMPLETE THIS FORM AND MAIL SIGNED, ORIGINAL TO
STATE ETHICS COMMISSION, 1324 MAIL SERVICE CENTER, RALEIGH, NC 27699-1324

STATE ETHICS COMMISSION

FILER'S NAME (FIRST, MIDDLE, LAST)

First Name	Middle Name	Last Name	Suffix
Mary	Ann	Maxwell	

MAILING ADDRESS, CITY, STATE, ZIP+4¹

Address	City	State	Zip
616 Lakeshore Drive	Goldsboro	NC	27534

HOME ADDRESS, CITY, STATE, ZIP+4

Same as Mailing Address

Address	City	State	Zip

CURRENT EMPLOYER

JOB TITLE

Self employed

NATURE OF BUSINESS

Interior decorating

DAYTIME PHONE NUMBER

ALTERNATE PHONE NUMBER

919-778-5521

919-705-3219

E-MAIL ADDRESS

amax2@suddenlink.net

REASON FOR FILING (SELECT ALL THAT APPLY)

STATE GOVERNMENT JOB (Please specify the agency for which you work)

BOARD/COMMISSION (Please list all boards on which you are serving)

University of North Carolina

JUDICIAL OFFICER (Please specify the office you hold)

LEGISLATOR (Please specify the legislative branch - House or Senate)

Do other immediate family members reside in your household?²

Yes No

FULL NAME ³	RELATIONSHIP	EMPLOYER	JOB TITLE	NATURE OF BUSINESS

¹ With the exception of judicial officers (including Justices or judges of the General Court of Justice, district attorneys, and clerks of court), persons holding or seeking an elected office with a residency requirement must provide a home address.

² Immediate family includes your spouse (unless legally separated), minor children, and members of your extended family (your and your spouse's adult children, grandchildren, parents, grandparents, and siblings, and the spouses of each of those persons) that reside in your household.

³ Filers may use the initials of unemancipated children instead of those children's names. If initials are used, the children's names should be provided on a (non-public) supplement form available from the Commission upon request.

I. \$10,000 PLUS DISCLOSURES

If you, your spouse, or members of your immediate family have assets or liabilities with a market value of at least \$10,000 in the following categories, please provide the requested information as of December 31st of the preceding year unless another time period is specified in the question.

- ▶ Do not list the value of those assets or liabilities.
- ▶ Do not list assets or liabilities held in a blind trust⁴ established by or for the benefit of you or an immediate family member.

1. Do you, your spouse, or members of your immediate family have an ownership interest in North Carolina real estate with a market value of \$10,000 or more?

Yes No

Owner of Real Estate	% Ownership Interest	Location by City	Location by County
Mary Ann Maxwell	100%	Goldsboro	Wayne
Mary Ann Maxwell	100%	Morehead City	Carteret

2. Do you, your spouse, or members of your immediate family lease or rent to or from the State real estate with a market value of \$10,000 or more?

Yes No

Name of Lessor	Name of Lessee (Renter)	Location by City	Location by County

3. Within the preceding two years, have you, your spouse, or members of your immediate family sold to or bought from the State personal property with a market value of \$10,000 or more?

Yes No

Name of Purchaser	Name of Seller	Type of Property

4. Do you, your spouse, or members of your immediate family currently lease or rent to or from the State personal property with a market value of \$10,000 or more?

Yes No

Name of Lessor	Name of Lessee (Renter)	Type of Property

⁴ A "blind trust" is a trust that meets all of the following criteria: (a) the owner of the trust's assets has no knowledge of the trust's holdings and sources of income, (b) the individual or entity managing the trust's assets ("the trustee") is not a member of the covered person's extended family and is not associated with or employed by the covered person or his or her immediate family, and (c) the trustee has sole discretion to manage the trust's assets. G.S. 138A-3(1).

5(a). Do you, your spouse, or members of your immediate family own interests (generally stock) valued at \$10,000 or more in a publicly owned company?

Yes No

▶ Do not list ownership interests in a widely held investment fund (including mutual funds, regulated investment companies, or pension or deferred compensation plans) if (i) the fund is publicly traded or its assets are widely diversified and (ii) neither you nor an immediate family member are able to control the assets held in the mutual fund, investment company, or pension or deferred compensation plan.

Owner of Interest	Full Name of Company (Do not use a ticker symbol)
See attached	

5(b). Do you, your spouse, or members of your immediate family hold stock options valued at \$10,000 or more in a company or business?

Yes No

Owner of Stock Option	Full Name of Company (Do not use a ticker symbol)

6(a). Do you, your spouse, or members of your immediate family have financial interests valued at \$10,000 or more in a non-publicly owned company or business entity (including interests in sole proprietorships, partnerships, limited partnerships, joint ventures, limited liability companies, limited liability partnerships, and closely held corporations)?

Yes No

Owner of Interest	Name of Business Entity
See attached	

6(b). For each of those non-publicly owned companies or business entities identified in question 6(a) (the "primary company"), please list the names of *any other companies* in which the primary company owns securities or equity interests valued at over \$10,000, *if known*.

Non-Publicly Owned Company (the Primary Company)	Other Companies in which the Primary Company Owns Security or Equity Interests
<input type="checkbox"/> None or Not Known	
See attached	

6(c). If you know that any company or business entity listed in 6(a) or (b) above has any material business dealings or business contracts with the State, or is regulated by the State, provide a brief description of that business activity.

Name of Company or Business Entity	Description of Business Activity with the State
<input type="checkbox"/> None or Not Known	
Maxwell Foods, LLC (Goldsboro Hog Farms)	Regulated by DENR

7. Are you, your spouse, or members of your immediate family the beneficiaries of a vested trust with a value of \$10,000 or more that is created, established, or controlled by you?

Yes No

▶ Do not list blind trusts⁴.

Name and Address of Trustee	Description of the Trust	Your Relationship to the Trust

8. Do you, your spouse, or members of your immediate family have a liability (debt) of \$10,000 or more, excluding indebtedness (mortgage) on your primary personal residence? Examples include credit card debts, auto loans, and student loans.

Yes No

Name of Debtor (You, Spouse, Immediate Family Member)	Type of Creditor (Commercial Bank, Credit Union, Individual, etc.)

II. OTHER DISCLOSURES

9(a). During the preceding calendar year, were you, your spouse or members of your immediate family a director, officer, governing board member, employee, independent contractor, or registered lobbyist of a nonprofit corporation or organization operating in the State primarily for religious, charitable, scientific, literary, public health and safety, or educational purposes?

Yes No

- ▶ Do not list State boards or entities, or entities created by a political subdivision of the State.
- ▶ Do not list organizations of which you are a mere member or subscriber.

Name of Person	His/Her Position	Name of Nonprofit Corporation or Organization	Nature of Business or Purpose of Organization

9(b). If the listed nonprofit corporations or organizations do business with the State or receive State funds, please provide a brief description of the nature of that business, if known, or with which due diligence could reasonably be known.

Name of Nonprofit Corporation or Organization	Describe State Business or State Funding
<input type="checkbox"/> None or Not Known	

10. List all sources of income (not specific amounts) of more than \$5,000 received by you, your spouse, or members of your immediate family during the preceding calendar year. Include salary, wages, state/local government retirement, professional fees, honoraria, interest, dividends, rental income, and business income.

Do not include income received from the following sources:

- ▶ Capital gains
- ▶ Federal government retirement
- ▶ Military retirement
- ▶ Social security income/SSDI

Recipient of Income	Name of Source	Type of Business/Industry	Type of Income
<input type="checkbox"/> I had no reportable income over \$5,000 in the preceding calendar year.			
Mary Ann Maxwell	various	Banks, etc	Interest
Mary Ann Maxwell	various	Marketable securities	Dividends
Mary Ann Maxwell	various	Agriculture	S Corp, partnerships

11. Are you a practicing attorney?

- Yes No Judicial Officer/State Attorney

If "Yes", check each category of legal representation in which you or the law firm with which you are associated has earned legal fees of \$10,000 or more during the preceding calendar year.

- | | | | |
|---|---|--|-----------------------------------|
| <input type="checkbox"/> Administrative | <input type="checkbox"/> Admiralty | <input type="checkbox"/> Corporate | <input type="checkbox"/> Criminal |
| <input type="checkbox"/> Decedent's Estates | <input type="checkbox"/> Environmental | <input type="checkbox"/> Insurance | <input type="checkbox"/> Labor |
| <input type="checkbox"/> Local Government | <input type="checkbox"/> Real Property | <input type="checkbox"/> Securities | <input type="checkbox"/> Tax |
| <input type="checkbox"/> Tort litigation (including negligence) | <input type="checkbox"/> Utilities Regulation | <input type="checkbox"/> Other category not listed or did not earn legal fees of \$10,000 or more during the preceding calendar year | |

12. Are you (1) a licensed professional (other than an attorney) or do you provide consulting services individually or as a member of a professional association and (2) did you charge or were you paid over \$10,000 for those services during the preceding calendar year?

- Yes No

Type of Business	Nature of Services Rendered

Licensed by the State board or employing entity with which you are or will be associated **or**
Regulated by the State board or employing entity with which you are or will be associated **or**
Have a business relationship with the State board or employing entity with which you are or will be associated?

Yes No Legislator/Judicial Officer - You are not required to complete this question if you are filing because you are a legislator or a judicial officer ("judicial officer" is defined in footnote 1) or you are filing as an appointee to those offices.

Name of Person	Name of Employer (if applicable)	Type of Relationship (Licensing, Regulatory, Business)

14. During the preceding calendar year, were you, your spouse, or members of your immediate family a director, officer, or governing board member of any society, organization, or advocacy group which has an interest pertaining to subject matter areas over which your agency or board may have jurisdiction?

Yes No Legislator/Judicial Officer - You are not required to complete this question if you are filing because you are a legislator or a judicial officer or you are filing as an appointee to those offices.

▶ Do not list organizations of which you are only a member (not a leadership role).

Name of Person	Name of Society, Organization or Advocacy Group	Leadership Position (Director, Officer, Board Member)

15. Have you ever been convicted of a felony for which you have not received either (i) a pardon of innocence or (ii) an order of expungement regarding that conviction?

Yes No

Offense	Date of Conviction	County of Conviction	State of Conviction

16. During any calendar quarter in the preceding year (but only the time period after you were appointed, employed or filed or were nominated as a candidate), did you

receive any gift(s) exceeding \$200 per quarter from a person or group of persons acting together, **and**
when both you and those person(s) were outside North Carolina at the time you accepted the gift(s), **and**
the gift(s) were given under circumstances that would lead a reasonable person to conclude that they were given for lobbying?

Yes No

▶ Do not report gifts given by members of your extended family.

▶ Do not report gifts that have previously been reported by you to the Department of the Secretary of State on the "Expense Report for Exempted Persons."

Date Item Received	Name and Address of Donor(s)	Describe Item Received	Estimated Market Value

17. During the preceding year (but only the time period after you were appointed, employed, or filed or were nominated as a candidate) have you accepted a "scholarship" exceeding \$200 from a person or group of persons acting together and those person(s) were outside North Carolina and the scholarship was related to your public position? A "scholarship" is a grant-in-aid to attend a conference, meeting, or similar event.

Yes No Judicial Officer - You are not required to complete this question if you are a judicial officer or you are filing as a judicial officer appointee.

► Do not report gifts that have previously been reported by you to the Department of the Secretary of State on the "Expense Report for Exempted Persons."
 ► Legislators are not required to report scholarships paid by a nonpartisan legislative organization of which the legislator or the General Assembly is a member or participant or an affiliate of that organization.

Date of Scholarship	Name and Address of Donor(s)	Describe Event	Estimated Market Value

18. Are you or a member of your immediate family currently registered as a lobbyist or lobbyist principal or were you registered as such within the preceding 12 months?

Yes No

Name of Lobbyist	Lobbyist's Principal	Date of Registration	Registration Expiration

19(a). List the name of each business with which you are associated where you or a member of your immediate family is an employee, director, officer, partner, proprietor, or member or manager.

Name of Person	Relationship to Filer	Name of Company	Role of Person
<input type="checkbox"/> No Business Associations			
See attached			

19(b). If you know that any company or business entity listed in 19(a) above has any material business dealings or business contracts with the State, or is regulated by the State, provide a brief description of that business activity.

Name of Company or Business Entity	Description of Business Activity with the State
<input type="checkbox"/> Not applicable (No entities listed on #19a) <input type="checkbox"/> No relationship / Not known	
See attached	

- ▶ Governor
- ▶ State Auditor
- ▶ Attorney General
- ▶ Commissioner of Insurance
- ▶ Lt. Governor
- ▶ State Treasurer
- ▶ Commissioner of Agriculture
- ▶ Secretary of State
- ▶ Superintendent of Public Instruction
- ▶ Commissioner of Labor

Yes No

If "Yes", list all contributions you (not immediate family members) made during the preceding calendar year with a cumulative total of more than \$1,000 to the Council of State member who appointed you.

▶ Contributions are defined in N.C.G.S. 163-278.6(6) and include, but are not limited to, "any advance, conveyance, deposit, distribution, transfer of funds, loan, payment, gift, pledge or subscription of money or anything of value whatsoever."

Date	Amount	Contributed to
<input type="checkbox"/> No contribution(s) with a cumulative total of more than \$1,000		

21. Are you now, or are you a prospective appointee to:

<p>a. the head of a principal state department (e.g. cabinet secretary) appointed by the Governor; or</p> <p>b. a North Carolina Supreme Court Justice, Court of Appeals, Superior or District Court Judge; or</p> <p>c. a member of any of the following boards:</p> <ul style="list-style-type: none"> ABC Commission Coastal Resources Commission State Board of Education State Board of Elections Employment Security Commission Environmental Management Commission Industrial Commission State Personnel Commission Rules Review Commission Board of Transportation UNC Board of Governors Utilities Commission Wildlife Resources Commission 	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If "No", proceed to question 22.</p>
<p>d. If so, were you appointed to, or are you being considered for, appointment to your public position by a Council of State Member (Governor, Lt. Governor, Secretary of State, State Auditor, State Treasurer, Superintendent of Public Instruction, Attorney General, Commissioner of Agriculture, Commissioner of Labor, or Commissioner of Insurance)?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>If "No", proceed to question 22.</p>
<p>e. If so, you must indicate whether during the preceding calendar year you (not immediate family members) engaged in any of the following activities with respect to or on behalf of the candidate or campaign committee of the Council of State member who appointed you to your public position:</p> <p>i. Collected contributions from multiple contributors, took possession of such multiple contributions, and transferred or delivered those collected contributions to the candidate or committee? Contributions are defined in N.C.G.S. 163-278.6(6) and include, but are not limited to, "any advance, conveyance, deposit, distribution, transfer of funds, loan, payment, gift, pledge or subscription of money or anything of value whatsoever."</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>ii. Hosted a fundraiser at your residence or place of business?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>iii. Volunteered for campaign-related activities, which include, but are not limited to, phone banks, event assistance, mailings, canvassing, surveying, or any other activity that advances the campaign of a candidate?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>

Submit SIGNED, ORIGINAL documents.

Signature

Mary C Maxwell

Printed Name

Mary Ann Maxwell

Date

May 9, 2012

Notarization is no longer required

I Agree

A filing person who provides false information on a statement of economic interest as required under this Article knowing that the information is false is guilty of a Class H felony and shall be subject to disciplinary action under G.S. 138A-45 (2006-201, s. 1.)

§ 138A-27. Penalty for false information.

A filing person who knowingly conceals or knowingly fails to disclose information that is required to be disclosed on a statement of economic interest under this Article shall be guilty of a Class 1 misdemeanor and shall be subject to disciplinary action under G.S. 138A-45, (2006-201, s. 1.)

§ 138A-26. Concealing or failing to disclose material information.

N.C.G.S. 138A-27 regarding providing false information:

I acknowledge that I have read and understand N.C.G.S. 138A-26 regarding concealing or failing to disclose material information and

I understand that my Statement of Economic Interest and any attachments or supplements thereto are public record.

I also certify that I have not transferred, and will not transfer, any asset, interest, or property for the purpose of concealing it from disclosure while retaining an equitable interest.

I affirm that the information provided in this Statement of Economic Interest and any attachments hereto are true, complete, and accurate to the best of my knowledge and belief.

AFFIRMATION

Yes No

22. Are you aware of any other information that you believe may assist the State Ethics Commission in advising you concerning your compliance with the State Government Ethics Act?

5(a)

Owner of Interest	Full Name of Company
Mary Ann Maxwell	Abbott Labs
Mary Ann Maxwell	Altria Group
Mary Ann Maxwell	American International Group
Mary Ann Maxwell	Bank of America Corporation
Mary Ann Maxwell	CapStone Bank
Mary Ann Maxwell	E. I. Dupont
Mary Ann Maxwell	Eli Lilly Company
Mary Ann Maxwell	Exxon-Mobil
Mary Ann Maxwell	Fifth Third Bancorp
Mary Ann Maxwell	First Citizens Bank
Mary Ann Maxwell	General Electric
Mary Ann Maxwell	Johnson & Johnson
Mary Ann Maxwell	Kraft Foods
Mary Ann Maxwell	Lincoln National
Mary Ann Maxwell	Medco Health Solutions
Mary Ann Maxwell	Merck & Company
Mary Ann Maxwell	Norfolk Southern Corporation
Mary Ann Maxwell	Nucor
Mary Ann Maxwell	Old Republic International
Mary Ann Maxwell	Pepsico Inc.
Mary Ann Maxwell	Pfizer Inc
Mary Ann Maxwell	Phillip Morris
Mary Ann Maxwell	Royal Bank of Canada
Mary Ann Maxwell	Royal Dutch Petroleum
Mary Ann Maxwell	St. Joe Company
Mary Ann Maxwell	Sunoco, Inc.
Mary Ann Maxwell	Union Pacific Railroad
Mary Ann Maxwell	Valero Energy Corp.
Mary Ann Maxwell	Wal-Mart Stores
Mary Ann Maxwell	Walt Disney
Mary Ann Maxwell	Wells Fargo
Mary Ann Maxwell	Yum! Brands

6(a) Non-Public Companies

Owner of Interest	Name of Business Entity
Mary Ann Maxwell and family	Goldsboro Milling Company
Mary Ann Maxwell and family	Sleepy Creek Farms, Inc.
Mary Ann Maxwell and family	Bear Creek Farms, Inc.
Mary Ann Maxwell and family	Maxwell Farms of Indiana, Inc.
Mary Ann Maxwell and family	Goldsboro Milling Grain Company, LLC
Mary Ann Maxwell and family	Maxwell Milling of Indiana, Inc.
Mary Ann Maxwell and family	Maxwell Farms of Missouri, LLC
Mary Ann Maxwell and family	Six Maxwells, LLC
Mary Ann Maxwell and family	Walnut Creek Developers, LLC
Mary Ann Maxwell and family	Wayne Investment Group, LLC

6(b) Non-Publicly Owned Company

Non-Publicly Owned Company	Other Companies
Sleepy Creek Farms, Inc.	Sleepy Creek Turkeys, Inc.
Sleepy Creek Farms, Inc.	Chimney Creek Ranch, LLC
Sleepy Creek Turkeys, Inc.	Goldsboro Laboratories, LLC (3%)
Maxwell Farms of Indiana, Inc.	Maxwell Foods, LLC
Maxwell Farms of Indiana, Inc.	Maxwell Farms, LLC
Maxwell Foods, LLC	Goldsboro Laboratories, LLC (94%)
Maxwell Farms, LLC	Butterball, LLC

19(a) Business Associations

Identity Person	Relationship to Filer	Company	Role of Person
J. L. Maxwell, Jr.	Father	Goldsboro Milling Company	Chairman, Director
J. L. Maxwell, Jr.	Father	Sleepy Creek Farms, Inc.	President, Director
J. L. Maxwell, Jr.	Father	Sleepy Creek Turkeys, Inc.	President, Director
J. L. Maxwell, Jr.	Father	Bear Creek Farms, Inc.	Director
J. L. Maxwell, Jr.	Father	Chimney Creek Ranch, LLC	Manager
James L. Maxwell III	Brother	Goldsboro Milling Company	Secretary Treasurer
James L. Maxwell III	Brother	Sleepy Creek Farms, Inc.	Vice President
James L. Maxwell III	Brother	Sleepy Creek Turkeys, Inc.	Vice President
James L. Maxwell III	Brother	Bear Creek Farms, Inc.	Secretary Treasurer
James L. Maxwell III	Brother	Maxwell Farms, LLC	Manager
James L. Maxwell III	Brother	Maxwell Foods, LLC	Manager
James L. Maxwell III	Brother	Goldsboro Milling Grain Company, LLC	Manager
James L. Maxwell III	Brother	Maxwell Farms of Indiana, Inc.	President, Director
James L. Maxwell III	Brother	Maxwell Milling of Indiana, Inc.	President, Director
James L. Maxwell III	Brother	Maxwell Farms of Missouri, LLC	Manager
James L. Maxwell III	Brother	Chimney Creek Ranch, LLC	Manager
James L. Maxwell III	Brother	Six Maxwells, LLC	Manager
James L. Maxwell III	Brother	Walnut Creek developers, LLC	Manager
James L. Maxwell III	Brother	Butterball, LLC	Director

19(b) Company or Business Dealings With State

Company	Nature of Relationship
Maxwell Foods, LLC	Regulated by DENR