

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) PHILLIPS, KEITH L.	2. Court or Organization RICHMOND DIVISION - US BANKRUPTCY COURT - EASTERN DIVISION VA	3. Date of Report 01/29/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US BANKRUPTCY JUDGE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address 701 EAST BROAD STREET, 5TH FLOOR RICHMOND, VA 23219		
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.	GENERAL PARTNER	EKP ASSOCIATES, L.C.
2.	LLC MEMBER	BLVD, LLC
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. 2013	ORAL AGREEMENT WITH FORMER LAW FIRM TO RECEIVE COMPENSATION FOR LEGAL SERVICES RENDERED PRIOR TO BECOMING A JUDGE. NO CONTROL IN FORMER LAW FIRM.
2. 2013	ORAL AGREEMENT WITH SUCCESSOR CHAPTER 7 TRUSTEES TO RECEIVE COMMISSIONS EARNED FOR SERVICES PERFORMED PRIOR TO BECOMING A JUDGE. NO CONTROL OVER TRUSTEE CASES.
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> (yours, not spouse's)
1. 2014	PHILLIPS & FLECKENSTEIN, LLC (RESIDUAL SALARY)	\$30,000.00
2. 2014	TRUSTEE INCOME (GROSS)	\$60,000.00
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.	
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. Federal Government	08/12/14 - 08/17/14	Boston, MA	National Workshop for Bankruptcy Judges	Air Fare/Lodging/Food/Transportation/Parking/Baggage/Mileage
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.	JPMORGAN CHASE BANK	MORTGAGE - RENTAL PROPERTY #1/RICHMOND, VA (PT VII, LINE 1)	K
2.	CITIMORTGAGE	MORTGAGE - EKP ASSOCIATES - RENTAL PROPERTY #1/ RICHMOND, VA (PT VII, LINE 2)	K
3.	CITIMORTGAGE	MORTGAGE - EKP ASSOCIATES - RENTAL PROPERTY #2/ RICHMOND, VA (PT VII, LINE 2)	K
4.	CITIMORTGAGE	MORTGAGE - EKP ASSOCIATES - RENTAL PROPERTY #3/ RICHMOND, VA (PT VII, LINE 2)	K
5.	OCWEN MORTGAGE	MORTGAGE - EKP ASSOCIATES - RENTAL PROPERTY #4/ RICHMOND, VA (PT VII, LINE 2)	K

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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)
1. RENTAL PROPERTY #1/RICHMOND, VA 2002 - \$36,750 (50%)	D	Rent	L	R					
2. EKP ASSOCIATES LC - RENTAL PROPERTIES/RICHMOND, VA (50%)	E	Rent	N	U					
3. BLVD, LLC (50% OWNERSHIP)	B	Distribution	M	U					
4. WELLS FARGO - CHECKING ACCOUNT	A	Int./Div.	K	T					
5. BB&T #1 - CHECKING ACCOUNT		None	J	T					
6. BB&T #2 - CHECKING ACCOUNT		None	K	T					
7. FIDELITY INVESTMENTS - CASH ACCOUNT	A	Int./Div.	K	T					
8. (H) FIDELITY INVESTMENTS									
9. CIT BK SALT LAKE CITY UT		None	J	T	Buy	11/14/14	J		
10. GE CAP BK INC RETAIL CD		None	J	T	Buy	11/06/14	J		
11. SALLIE MAE BK SLT LAKE CITY UT		None	J	T	Buy	12/02/14	J		
12. STATE BK INDIA CHICAGO ILL		None	J	T	Buy	11/14/14	J		
13. GOLDMAN SACHS BK USA NY		None	J	T	Buy	11/06/14	J		
14. SALLIE MAE BK SLT LAKE CITY UT		None	J	T	Buy	11/06/14	J		
15. GE CAP RETAIL BK DRAPER UTAH	A	Int./Div.	J	T	Buy	11/06/14	J		
16. GE CAP BK IN RETAIL CD		None	J	T	Buy	11/06/14	J		
17. STATE BK INDIA NEW YORK NY		None	J	T	Buy	12/02/14	J		

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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☐ 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. GE CAP RETAIL BK DRAPER UTAH	A	Int./Div.	K	T	Buy	11/06/14	K		
19. AMERICAN EXP FED SVGS BK INSTL		None	J	T	Buy	11/06/14	J		
20. GE CAP RETAIL BK DRAPER UTAH		None	J	T	Buy	11/06/14	J		
21. BANK INTERNET USA SAN DIEGO CA	A	Int./Div.	J	T	Buy	11/06/14	J		
22. GE CAP BK INC RETAIL CD		None	J	T	Buy	11/06/14	J		
23. GE CAP BK INC CD	A	Int./Div.	J	T	Buy	11/06/14	J		
24. GE CAP RETAIL BK DRAPER UTAH	A	Int./Div.	J	T	Buy	11/06/14	J		
25. FIDELITY INVESTMENTS CASH ACCOUNT	A	Int./Div.	K	T	Buy	11/06/14	K		
26. (H) JANNEY MONTGOMERY SCOTT LLC #1									
27. CLEARBRIDGE VALUE		None	J	T					
28. COLUMBIA MARS - STOCK	A	Dividend	J	T					
29. IVY ASSET STRAT	B	Dividend	J	T	Buy (add'l)	12/12/14	J		
30. MFS TTL RET A	A	Dividend	J	T					
31. ROYCE PA MUTL CONSULT - STOCK	B	Dividend	J	T					
32. TAYLOR CAP A PERPTL PFD	A	Dividend			Sold	08/14/14	J		
33. JANNEY INSURED SWP	A	Int./Div.	L	T					
34. VA ST RES AUTH - TAX EXEMPT OID	B	Int./Div.	K	T					

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35. (H) JANNEY MONTGOMERY SCOTT LLC #2									
36. GLOBAL X CHINA FINANCIALS ETF	A	Dividend	J	T	Buy	08/15/14	J		
37. ISHARES	A	Dividend			Buy	01/16/14	J		
38.					Sold	08/15/14	J	A	
39. ISHS CORE S&P MDCP	A	Dividend	J	T					
40. MKT VECT INTRM MUN	A	Dividend	J	T					
41. PWRSH VRDO TAX FR WK	A	Dividend	J	T					
42. SECTOR ENERGY SELECT	A	Dividend	J	T					
43. SECTOR FINANCIAL SELECT	A	Dividend	J	T	Buy	08/15/14	J		
44. SECTOR TECHNOLOGY	A	Dividend	J	T					
45. SPDR S&P 500	A	Dividend	J	T					
46. VANGUARD HEALTH CARE	A	Dividend	J	T	Buy	08/15/14	J		
47. WSDMTR JPN HEDG EQ	A	Dividend	J	T					
48. WSDMTR TRUST EUROPE HEADGE FUND	A	Dividend	J	T	Buy	11/25/14	J		
49. DOMINION VIRGINIA POWER		None			Sold	01/14/14	K	D	
50. DOMINION VIRGINIA POWER		None			Sold	01/14/14	J	A	
51. VIRGINIA 529 PREPAID PLAN #1 - 8 SEMESTER TIER I		None	K	V					

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
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52. VIRGINIA 529 PREPAID PLAN #2 - 8 SEMESTER TIER I		None	K	V					
53. VIRGINIA 529 PREPAID PLAN #3 - 8 SEMESTER TIER I		None	J	V					
54. IRA #1	D	Dividend	M	T					
55. - CASH ACCOUNT									
56. - INVESCO EQUALLY WEIGHTED S&P FUND					Buy	11/25/14	J		
57. - ALLIANCE BERNSTEIN GLOBAL THEMATIC GROWTH FUND									
58. - COHEN AND STEERS INTERNATIONAL REALTY FUND									
59. - COLUMBIA MARSICO FOCUSD EQUITY FUND									
60. - FIRST TRUST FINANCIAL ALPHADDEX ETF									
61. - FIRST TRUST INDUSTRIAL PRODUCER DURABLE ALPHADDEX ETF					Buy	02/28/14	J		
62. - GOLDMAN SACHS MLP INCOME OPPORTUNITIES FUND									
63. - HENDERSON EUROPEAN FOCUS FUND					Buy	01/06/14	J		
64. -HENDERSON EUROPEAN FOCUS FUND					Buy (add'l)	02/18/14	J		
65. - CLEARBRIDGE VALUE FUND									
66. - CLEARBRIDGE SPECIAL INVESTMENT FUND									
67. - MILLER INCOME OPPORTUNITY FUND					Buy	03/17/14	J		
68. - LEGG MASON OPPORTUNITY FUND									

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69. - MFS GROWTH FUND									
70. - MFS INVESTORS GROWTH FUND									
71. - PIMCO REAL RETURN FUND									
72. - PIMCO TOTAL RETURN					Sold	05/30/14	J		
73. - PIMCO INCOME FUND					Buy	11/25/14	J		
74. - WESTERN ASSET CORE BOND FUND									
75. IRA #2	B	Int./Div.	M	T					
76. - CASH DEPOSIT ACCOUNTS									
77. - SCHWAB VALUE ADVANTAGE									
78. - SCHWAB DIVIDEND EQUITY FUND									
79. - SCHWAB FUNDAMENTAL US LARGE CO INDEX									
80. - SCHWAB MARKETTRACK GROWTH									
81. - SCHWAB S&P 500 INDEX FUND									
82. - SCHWAB TOTAL STOCK MKT INDEX									
83. - SCHWAB 1000 INDEX FUND									
84. - T ROWE PRICE RETIREMENT 2030 FUND									
85. - VANGUARD WELLESLEY INCOME FD INVESTOR SHARE									

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

PART VII, LINE 40 - VALUE IS BASED ON REFUNDABLE VALUE PROVIDED BY THE VIRGINIA529 COLLEGE SAVINGS PLAN

PART VII, LINE 41 - VALUE IS BASED ON REFUNDABLE VALUE PROVIDED BY THE VIRGINIA529 COLLEGE SAVINGS PLAN

PART VII, LINE 42 - VALUE IS BASED ON REFUNDABLE VALUE PROVIDED BY THE VIRGINIA529 COLLEGE SAVINGS PLAN

PART VII, VARIOUS LINES - ON THE INITIAL REPORT, ASSETS WERE LISTED UNDER JANNEY MONTGOMERY SCOTT LLC #2 THAT SHOULD NOT HAVE BEEN LISTED. IN REVIEWING THE DATA WITH SUE IN THE COMMITTEE OFFICE, IT WAS DETERMINED THAT MANY OF THE ASSETS THAT WERE LISTED ON THE INTIAL REPORT HAD A VALUE UNDER \$1,000 AND INCOME UNDER \$200. THE ASSETS THAT WERE DELETED ORIGINALLY APPEARED ON THE INITIAL REPORT ON LINES 18-21; 23-29; 31; 36-37 AND 39.

PART VII, LINES 49, 50 AND 72 - DOMINION VIRGINIA POWER AND PIMCO TOTAL RETURN WERE NOT LISTED ON THE INTTIAL REPORT BECAUSE THEY WERE SOLD BETWEEN 01/01/14 AND THE END DATE OF 05/31/14. DOMINION VIRGINIA POWER WAS SOLD ON 01/17/14 AND PIMCO TOTAL RETURN (ACCORDING TO THE BROKER) WAS SOLD AT VARIOUS TIMES FROM 01/01/14 - 05/30/14 (THE 2014 REPORT INDICATED THAT THE SALE TOOK PLACE 11/25/14; THAT HAS BEEN CHANGED TO REFLECT 05/30/14 - THE LAST WORKING DAY OF THE INITIAL REPORT). THEREFORE, NEITHER DOMINION VIRGINIA POWER OR PIMCO TOTAL RETURN HAD A VALUE REPORTABLE ON THE INITIAL REPORT.

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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/ **KEITH L. PHILLIPS**

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