

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) PHAM, TU M.	2. Court or Organization US DISTRICT COURT WD TENNESSEE	3. Date of Report 05/12/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) FULL TIME - MAGISTRATE JUDGE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address TU M PHAM, MAGISTRATE JUDGE 167 N MAIN STREET ROOM 338 MEMPHIS, TN. 38103		
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. BOARD MEMBER	FEDERAL BAR ASSOCIATION-MEMPHIS MID-SOUTH CHAPTER
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. 1997	401(K) WITH VANGUARD GROUP THROUGH PRIOR EMPLOYMENT WITH KIRKLAND & ELLIS LAW FIRM
2. 1997	DEFINED CONTRIBUTION PLAN WITH VANGUARD GROUP THROUGH PRIOR EMPLOYMENT WITH KIRKLAND & ELLIS LAW FIRM
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.		
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. 2013	SHELBY COUNTY TENNESSEE SCHOOLS - 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. JUDGES' GENERAL AUTHORIZATION FUND	02/22/13-02/23/13	OXFORD, MISSISSIPPI	JUDGES' RETREAT	TRANSPORTATION
2. FEDERAL BAR ASSOCIATION	05/30/13	JACKSON, TENNESSEE	MAGISTRATE WORKSHOP	TRANSPORTATION
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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
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) 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. FEDERAL BUILDING FEDERAL CREDIT UNION	B	Int/Div.	L	T					
2. SHELBY COUNTY SCHOOLS VALIC 403(B)									
3. -DAVID NY VENTURE FUND	A	Int/Div.			Sold	02/06/13	J	A	
4. -COLUMBIA SMALL CAP VAL II	A	Int/Div.			Sold	02/06/13	J	A	
5. -AMERICAN FUNDS EUROPAC	A	Int/Div.			Sold	02/06/13	J	A	
6. -PIMCO TOTAL RET A	A	Int/Div.	K	T	Buy (add'l)	02/06/13	K		
7. CHICAGO PUBLIC SCHOOLS VALIC 403(B)									
8. -LEGG MASON CAP MGMT	A	Int/Div.			Sold	02/06/13	J	A	
9. -PRIMECAP ODYSSEY AGGR GROWTH	A	Int/Div.	J	T	Sold (part)	02/06/13	J	A	
10. -BRIDGEWAY AGGRESSIVE INV PORTFOLIO	A	Int/Div.			Sold	02/05/13	J	A	
11. -WEITZ HICKORY FUND	A	Int/Div.			Sold	02/05/13	J	A	
12. PIMCO TOTAL RET A	A	Int/Div.	J	T	Buy	02/06/13	J		
13. WEITZ PARTNERS III OPPORTUNITY FUND	A	Int/Div.	J	T	Buy	02/06/13	J		
14. VANGUARD DEF CONTR 401(K) HEALTH CARE FUND	A	Int/Div.	K	T	Sold (part)	02/05/13	K	A	
15. VANGUARD DEF CONTR 401(K) RETIREE SAVINGS TRUST III	A	Int/Div.	J	T	Buy	05/05/13	J		
16. IRA #1 VANGUARD PRIMECAP CORE FUND	A	Int/Div.	J	T					
17. IRA #11 LEGG MASON OPPORTUNITY TRUST FUND	A	Int/Div.	J	T					

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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
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 \$5,000,000	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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18. IRA #6 WEITZ HICKORY FUND	A	Int./Div.			Sold	02/05/13	J	A	
19. IRA #7 PRIMECAP ODYSSEY AGGRESSIVE	A	Int./Div.	K	T					
20. IRA #8 MAIRS & POWER GROWTH FUND	A	Int./Div.	J	T					
21. IRA #9 MAIRS & POWER GROWTH FUND	A	Int./Div.	J	T					
22. WEITZ PARTNERS III OPPORTUNITY FUND IRA #6A	A	Int./Div.	J	T	Buy	02/06/13	J		
23. WEITZ SHORT TERM INVESTMENT IRA #6B	A	Int./Div.	J	T	Buy	02/06/13	J		
24. COVERDELL #2 PRIMECAP ODYSSEY AGGRESSIVE GROWTH FUND	A	Int./Div.	J	T					
25. COVERDELL #3 PRIMECAP ODYSSEY AGGRESSIVE GROWTH FUND	A	Int./Div.	J	T					
26. COVERDELL ESA #1 MAIRS & POWER GROWTH FUND	A	Int./Div.	J	T					
27. COVERDELL ESA #2 MAIRS & POWER GROWTH FUND	A	Int./Div.	J	T					
28. VASCULAR TECHNOLOGIES INC	A	Int./Div.	L	W					
29. PERRITT ULTRA MICRO CAP FUND	A	Int./Div.	J	T					
30. BRIDGEWAY AGGRESSIVE INVESTORS 1 FUND IRA#10	A	Int./Div.	J	T					
31. BRIDGEWAY AGGRESSIVE INVESTORS 1 FUND IRA #12	A	Int./Div.	J	T					
32. CHICAGO PUBLIC SCHOOLS VALIC 403(B)									
33. SCHWAB MONEY MARKET	A	Int./Div.	J	T					
34.									

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of 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/ TU M. PHAM

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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