

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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, Thomas W.	2. Court or Organization Eastern District of Tennessee	3. Date of Report 05/01/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address 800 Market Street Suite 145 Knoxville, TN 37902		
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. Insert signature on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Member, Board of Trustees	Berea College, Berea, KY
2.	
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Phillips, Thomas W.

Date of Report

05/01/2012

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.)*DATESOURCE AND TYPEINCOME

(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.)*DATESOURCE AND TYPE

1. 2011

ONEIDA INDEPENDENT SCHOOL SYSTEM (RETIRED TEACHER) 0.00

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Phillips, Thomas W.

Date of Report

05/01/2012

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.	ATTEND ANNUAL REVIEW SEMINAR W/O CHARGE	TENNESSEE LAW INSTITUTE	\$500.00
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.			
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Phillips, Thomas W.

Date of Report

05/01/2012

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. CD-1ST NAT'L BANK, ONEIDA, TN	A	Int./Div.			Sold	06/10/11	J	A	
2. CD-1ST NAT'L BANK, ONEIDA, TN	B	Interest			Redeemed	09/15/11	K	B	
3. AMERIPRISE BROCKERAGE ACCOUNT (CASH EQUIVALENT)	A	Interest	J	T					
4. CBRL GROUP, INC.	A	Dividend	J	T					
5. AMEX TRUST CO. - IRA	D	Int./Div.	M	T					
6. --AMERIPRISE INS MONEY MARKET	A	Interest	J	T					
7. --ISHARES MSCI EMERGING MARKETS INDEX	A	Dividend			Sold	08/08/11	K	A	
8. --ISHARES S&P 500 GROWTH INDEX FUNDS	B	Dividend			Sold	07/25/11	K	B	
9. --ISHARES MSCI EAFE INDEX FUND	A	Dividend			Sold	09/09/11	K	A	
10. --ISHARES RUSSELL 1000 VALUE INDEX FUND	B	Dividend			Sold	10/04/11	K	A	
11. --ISHARES IBOXX HIGH YIELD CORPORATE BOND FUND	B	Dividend			Sold	08/05/11	K	B	
12. --ISHARES LEHMAN 1-3 YEAR CREDIT BOND FUND	B	Dividend			Sold	07/25/11	K	B	
13. --SPDR DJ WILSHIRE MID CAP VALUE ETF	A	Dividend			Sold	10/11/11	K	A	
14. --VANGUARD MID-CAP GROWTH INDEX FUND	A	Dividend			Sold	10/03/11	K	A	
15. --COLUMBIA FUNDS GROUP	B	Dividend	K	T					
16. --ISHARES LEHMAN 1-3 YR CREDIT	A	Dividend	K	T					
17. --ISHARES LEHMAN 1-3 YR CREDIT	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		

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

Phillips, Thomas W.

Date of Report

05/01/2012

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. --J. HANCOCK FLOAT RATE-A	A	Dividend	K	T	Buy	07/28/11	K		
19. --AUTOMATIC DATA PROCESSING, INC.	A	Dividend	J	T	Buy	09/21/11	J		
20. --SOUTHERN CO.	A	Dividend	J	T	Buy	09/21/11	J		
21. --SPDR S&P DIVIDEND ETF	C	Dividend			Buy	10/11/11	L		
22.					Sold	12/09/11	K	B	
23. --ALTRIA GROUP, INC.	A	Dividend			Buy	09/21/11	J		
24.					Sold	12/22/11	J	A	
25. --MCDONALDS CORP	A	Dividend			Buy	12/21/11	J		
26.					Sold	12/29/11	J	A	
27. --FRK MUT GLB DISCOVERY-A	B	Dividend	K	T	Buy	09/21/11	K		
28. --PIMCO TOTAL RETURN-A	B	Dividend	K	T	Buy	09/21/11	K		
29. AMEX - TRUST CO. IRA	C	Int./Div.	M	T					
30. --AMERIPRISE INS MONEY MARKET	A	Interest	J	T					
31. --ISHARES MSCI EMERGING MARKETS INDEX	A	Dividend			Sold	08/08/11	J	A	
32. --ISHARES S&P 500 GROWTH INDEX FUND	A	Dividend			Sold	07/25/11	J	A	
33. --ISHARES MSCI EAFE INDEX FUND	A	Dividend			Sold	09/09/11	J	A	
34. --ISHARES RUSSELL 1000 VALUE	A	Dividend			Sold	10/04/11	J	A	

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

Phillips, Thomas W.

Date of Report

05/01/2012

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)

35. --ISHARES IBOXX HIGH YIELD	A	Dividend			Sold	08/05/11	J	A	
36. --ISHARES LEHMAN 1-3 YEAR CREDIT BOND FUND	A	Dividend			Sold	07/25/11	K	B	
37. --SPDR DJ WILSHIRE MID CAP VALUE ETF	B	Dividend	K	T	Sold (part)	08/08/11	J	A	
38. --VANGUARD MID-CAP GROWTH INDEX FUND	A	Dividend			Sold	10/03/11	J	A	
39. --COLUMBIA FUNDS GROUP	A	Dividend	K	T					
40. --ISHARES LEHMAN 1-3 YR CREDIT	A	Dividend	K	T					
41. --J. HANCOCK FLOAT RATE-A	B	Dividend	K	T	Buy	07/29/11	K		
42. --PIMCO TOTAL RETURN-A	A	Dividend	J	T	Buy	09/21/11	J		
43. --FRK MUT GLB DISCOVERY-A	A	Dividend	J	T	Buy	09/21/11	J		
44. --PDR S&P DIVIDEND ETF	A	Dividend	J	T	Buy	10/11/11	J		
45. --44 SPDR S&P 400 MID CAP VALUE	A	Dividend	J	T	Buy	10/11/11	J		
46. --SPDR S&P DIVIDEND ETF	A	Dividend	J	T	Buy	09/21/11	J		
47. RVS STRAT INC ALLOC - A RIVERSOURCE MUTUAL FUNDS	B	Dividend	K	T					
48. GLD STRAT INCOME -A GOLDMAN SACHS ASSET MGMT	B	Dividend	K	T	Sold (part)	07/15/11	K	A	
49. ISHARES MSCI EMERGING MARKETS INDEX	A	Dividend			Sold	08/11/11	J	A	
50. ISHARES S&P 500 GROWTH INDEX FUND	A	Dividend	K	T					
51. ISHARES MSCI EAFE INDEX FUND	A	Dividend			Sold	09/09/11	J	A	

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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

Phillips, Thomas W.

Date of Report

05/01/2012

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)

52. ISHARES RUSSELL 1000 VALUE	A	Dividend			Sold	10/04/11	K	B	
53. ISHARES IBOXX HIGH YIELD CORPORATE BOND FUND	A	Dividend			Sold	08/05/11	J	A	
54. ISHARES LEHMAN 1-3 YEAR CREDIT BOND FUND	A	Dividend	J	T					
55. COLUMBIA FUNDS GROUP A	B	Dividend	K	T					
56. ISHARES LEHMAN 1-3 YR CREDIT	B	Dividend			Sold	07/25/11	K	B	
57. SPDR S&P DIVIDEND ETF	B	Dividend	K	T	Buy	10/11/11	K		
58. SPDR S&P 400 MID CAP VALUE	A	Dividend			Buy	10/11/11	J		
59.					Sold	12/15/11	J	A	
60. GLD STRAT INCOME-A GOLDMAN SACHS ASSET MGMT	B	Dividend	K	T	Buy	09/21/11	K		
61. GLD STRAT INCOME-A GOLDMAN SACHS ASSET MGMT	B	Dividend	K	T	Sold (part)	10/14/11	K	B	
62. FRK TN MUNI BOND-A FRANKLIN GROUP FUNDS	A	Dividend	J	T	Buy	09/21/11	J		
63. FRK MUT GLB DISCOVERY -A FRANKLIN GROUP FUNDS	A	Dividend	J	T	Buy	09/21/11	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Phillips, Thomas W.

Date of Report

05/01/2012

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

Did not teach in 2011.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Phillips, Thomas W.

Date of Report

05/01/2012

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/ Thomas W. 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