

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) Phillips, Mary E.	2. Court or Organization U.S. District Court, Western District of Missouri	3. Date of Report 05/05/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge - Active	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 400 East 9th Street Suite 7452 Kansas City, MO 64105		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
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.	

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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.)*

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 AND TYPE

1. 2013

State of Missouri - 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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.

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.)*

	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.	U.S. Bank	Mortgage on Rental Property, Kansas City, Missouri (Pt. VII, Line 4)	M
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. Country Club Bank Account	A	Interest	M	T					
2. Rental Property, Kansas City, Missouri (\$170,000-2007)	E	Rent	M	R					
3. Mass. Mutual Virable Life - Fidelity VIP Contrafund	A	Int./Div.	J	T					
4. Mass. mutual Virable Life - MML Equity Index Division	A	Int./Div.	J	T					
5. 457(b) Plan #1 (H)									
6. American Century Value Fund		None			Closed	02/08/13	J	A	
7. Drey Appreciation Fund		None			Closed	02/08/13	J	A	
8. Northwestern Fund D		None			Closed	02/08/13	J	A	
9. Northwestern International Index A		None			Closed	02/18/13	J	A	
10. Invesco (X)		None			Closed	02/08/13	J	A	
11. Vanguard Total Stock Market Index Fund (IRA)	A	Int./Div.			Merged (with line 64)	02/05/13	J		
12. T. Rowe Price Small Cap Value Fund (IRA)		None			Sold (part)	05/21/13	K	C	
13.					Sold	5/31/13	J	C	
14. 457(b) Plan #2 (H)									
15. ING Black Rock Large Cap Gr. Port - Inst		None			Closed	01/31/13	J	A	
16. ING Templeton Foreign Equity Port - Ins		None			Closed	01/31/13	J	A	
17. 457 (b) Plan #3 - MO 2035 Fund		None	L	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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

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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 I (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. Vanguard Select Value	A	Dividend			Merged (with line 25)	02/07/13	K		
19. Vanguard Primecap Core Fund	A	Dividend			Merged (with line 60)	02/07/13	J		
20. Adorn Inc. (2007)		None	K	W					
21. Om Financial Fixed Index Annuity- Prosperity Plus		None			Redeemed	06/01/13	J	C	
22. National Western Life Ins. Equity Indexed Annuity		None			Redeemed	06/01/13	K	C	
23. Alcatel Lucent		None			Sold	05/24/13	J	A	
24. Brokerage Account #1 (H)									
25. Vanguard Select Value	C	Int./Div.	L	T					
26. UNTS Gugg Flah Crum Prfd - bond	C	Int./Div.	L	T	Buy (add'l)	05/21/13	K		
27. Missouri Env Imp Ener SRB - bond		None			Sold	12/19/13	K	A	
28. Missouri Env Imp Ener RV Pref		None	K	T	Buy	12/19/13	K		
29. Kansas City Mo SRA BE/R	A	Int./Div.	J	T	Buy	03/19/13	J		
30. Platte Cnty Mo Reorg - bond	A	Int./Div.	K	T					
31. Kansas City Mo San Swr S - bond	A	Int./Div.	K	T					
32. St. Louis MO MFC Leasehld Assur RV CAV6.34 - bond	A	Int./Div.	K	T					
33. Aflac Inc	A	Int./Div.	K	T	Buy (add'l)	06/13/13	J		
34. Boeing	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 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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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. Clorox Co	A	Int./Div.	J	T	Buy (add'l)	06/12/13	J		
36.					Buy (add'l)	06/13/13	J		
37. Colgate Palmolive	A	Int./Div.	J	T	Buy (add'l)	06/12/13	J		
38. CSX Corporation	A	Int./Div.	J	T					
39. Diageo Plc New GB Spon ADR	A	Int./Div.	J	T	Buy (add'l)	06/12/13	J		
40.					Buy (add'l)	06/13/13	J		
41. Intel Corp	A	Int./Div.	J	T					
42. Johnson & Johnson Com	A	Int./Div.	J	T					
43. Medtronic	A	Int./Div.	J	T					
44. Occidental Petroleum CRP	A	Int./Div.	J	T					
45. Unilever PLC Amer Shs New Spon	A	Int./Div.	J	T	Buy (add'l)	06/12/13	J		
46.					Buy (add'l)	06/13/13	J		
47. United Parcel Service Inc CL B	A	Int./Div.	J	T					
48. Ishares Trust DJ US Real State - (IYR)	A	Int./Div.	K	T					
49. Vanguard Index funds Mid-cap Growth (VOT)	A	Int./Div.	L	T					
50. Vanguard Index Funds Mid-Cap Value (VOE)	A	Int./Div.	L	T					
51. Vanguard MSCI Emerging Markets (VWO)	A	Int./Div.	K	T					

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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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52. Vanguard Scottsdale (VONG)	A	Int./Div.	M	T					
53. Matthews Intl Pacific Tiger Fund (MAPTX)	A	Int./Div.	K	T					
54. Vanguard Tax-Managed Sm Cap Fund (VTMSX)	A	Int./Div.	K	T					
55. Greenspring Fd Inc (GRSPX)	A	Int./Div.	J	T					
56. Vanguard Scottsdale (VTWV)	A	Int./Div.	K	T	Buy (add'l)	03/19/13	J		
57. Vanguard Scottsdale (VTWG)	A	Int./Div.	K	T	Buy (add'l)	03/19/13	J		
58. Vanguard MSCI ETF (VEA)	A	Int./Div.	L	T					
59. Powershares DB Commodity Index (DBC)	A	Int./Div.	K	T					
60. Vanguard Primecap Core	A	Int./Div.	K	T					
61. T Rowe Price Intl Fds (TROSX)	A	Int./Div.	J	T	Buy	05/31/13	J		
62. Oakmark Intl Fund Class I (OAKIX)	A	Int./Div.	J	T	Buy	02/27/13	J		
63. Wells Fargo Premier Lg Co Gr (EKJCX)	A	Int./Div.	J	T	Buy	02/27/13	J		
64. Vanguard total Stock Mkt Inx (VTSMX)	A	Int./Div.	J	T					
65. UBS Deposit account		None	J	T	Open	01/15/13	J		
66. Mass. Mutual Variable Life Policy- Oppenheimer Cap Appr	A	Int./Div.	J	T					
67.									
68.									

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69.									
70.									
71.									
72.									
73.									

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

1. Part VII, Line 53 - This asset was inadvertently listed as sold in line 37 of the 2012 disclosure
2. Part VII, Line 54 - This asset was inadvertently listed as sold in line 41 of the 2012 disclosure
3. Part VII, Line 55 - This asset was inadvertently listed as sold in line 33 of the 2012 disclosure
4. Part VII, Line 64 - The asset in line 11 was merged with line 64, and previously reported on line 14 of 2012 disclosure

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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/ Mary E. 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