

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 08/11/2017
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 01/01/2016 to 12/31/2016
7. Chambers or Office Address 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

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.)

DATE

PARTIES AND TERMS

1. 1997	DEFINED CONTRIBUTION 401(K) PLAN WITH KIRKLAND & ELLIS (FORMER LAW FIRM)
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.)*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. 2016

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.)*SOURCEDATESLOCATIONPURPOSEITEMS 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.)*

	<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.	Citibank	Citi Mastercard	J
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. FED TRUST FEDERAL BUILDING FEDERAL CREDIT UNION	A	Interest	K	T					
2. VASCULAR TECHNOLOGIES INC		None	J	T					
3. 403(B) ACCOUNT #1 (H)									
4. T ROWE PRICE RET 2020 ADV		None			Sold	05/16/16	L		
5. T ROWE PRICE FD 2030 ADV	C	Dividend	L	T	Buy	05/18/16	L		
6. 403(B) ACCOUNT #2 (H)									
7. SCHWAB MONEY MARKET FUND (Y)									
8. COHEN & STEERS REAL ASSETS (RAPAX)	A	Dividend			Buy	05/26/16	J		
9.					Sold	09/06/16	J	A	
10. DODGE & COX GLOBAL D FD (DODLX)	A	Dividend	J	T	Buy	06/02/16	J		
11. FIDELITY TOTAL BOND FUND (FTBFX)	A	Dividend	J	T	Buy	08/02/16	J		
12. FPA CRESCENT FUND (FPC1Z)		None			Sold	05/23/16	K		
13. MAIRS & POWER GROWTH (MPGFX)	A	Dividend	J	T	Buy	05/24/16	J		
14.					Sold (part)	05/25/16	J		
15. MAIRS & POWERS SM CAP (MSCFX)	A	Dividend	J	T	Buy	05/26/16	J		
16.					Sold (part)	06/02/16	J	A	
17. OAKMARK EQUITY AND INCOME (OAKBK)		None			Sold (part)	05/23/16	K		

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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18.					Sold	05/25/16	J		
19. OAKMARK INTL FD CLASS	A	Dividend	K	T	Buy	05/25/16	J		
20.					Buy (add'l)	05/26/16	J		
21. OPPENHEIMER DEV MKTS	A	Dividend	J	T	Buy	06/03/16	J		
22. PRIMECAP ODYSSEY AGGR GROWTH (POAGX)	B	Dividend	K	T					
23. T ROWE PRICE REAL ASSETS (PRAFX)	A	Dividend	J	T	Buy	09/07/16	J		
24. VANGUARD CORE BD (VCORX)	A	Dividend			Buy	05/26/16	J		
25.					Sold (part)	06/01/16	J		
26.					Sold	08/01/16	J	A	
27. VANGUARD HIGH DIV YIELD INDEX (VHDYX)	A	Dividend	J	T	Buy	05/24/16	J		
28.					Sold (part)	05/25/16	J	A	
29. 401K ACCOUNT (H)									
30. VANGUARD HEALTH CARE FUND	A	Dividend	K	T	Sold (part)	05/27/16	K		
31.					Sold (part)	06/06/16	J		
32.					Buy (add'l)	06/14/16	J		
33. VANGUARD REIT IDX FD	A	Dividend	K	T	Buy	05/27/16	J		
34.					Buy (add'l)	06/06/16	J		

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35.					Buy (add'l)	06/09/16	J		
36. VANGUARD ENERGY FD ADMIRAL	A	Dividend	K	T	Buy	05/27/16	J		
37.					Buy (add'l)	06/06/16	J		
38.					Buy (add'l)	06/09/16	J		
39. VANGUARD EMERGING MKTS STK IX	A	Dividend	K	T	Buy	06/06/16	J		
40.					Buy (add'l)	06/09/16	J		
41. FIRST EAGLE GLOBAL I		None			Buy	05/27/16	J		
42.					Sold	06/06/16	J		
43. INFLA-PROTECTED SEC INST		None			Buy	06/06/16	J		
44.					Buy (add'l)	06/07/16	J		
45.					Sold (part)	06/09/16	J		
46.					Sold	06/14/16	J		
47. PRECIOUS METALS & MINING		None			Buy	06/06/16	J		
48.					Sold	06/07/16	J		
49. TEMPLETON FOREIGN FUND R6		None			Buy	05/27/16	J		
50.					Sold	06/06/16	J		
51. IRA #1 (H)									

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52. BRIDGEWAY AGGRESSIVE INVESTORS 1 FUND (BRAGX)	A	Dividend			Sold	05/04/16	J		
53. COLUMBIA DIV INCOME FUND (LBSAX)	A	Dividend	J	T					
54. FIRST EAGLE GLOBAL FUND (SGENX)	A	Dividend	K	T	Buy	05/31/16	J		
55.					Buy (add'l)	06/21/16	J		
56. Vanguard Healthcare Fund (VGHCX)	B	Dividend	K	T	Sold (part)	06/21/16	J		
57. Schwab Bank Deposit Account (CASH) (Y)									
58. BROKERAGE #1 (H)									
59. Schwab Bank Deposit Account	A	Interest	L	T					
60. PERRITT ULTRA MICRO CAP FUND (PREOX)		None			Sold	05/04/16	J		
61. EOG COMMON STOCK	A	Dividend	J	T					
62. EBAY COMMON STOCK		None	J	T					
63. SBUX COMMON STOCK	A	Dividend			Sold	09/09/16	J		
64. TRN COMMON STOCK	A	Dividend	J	T					
65. DIS COMMON STOCK	A	Dividend			Sold	10/13/16	J		
66. NKE COMMON STOCK	A	Dividend			Sold	10/13/16	J		
67. PYPL COMMON STOCK		None	J	T					
68. SPY	A	Dividend			Buy	02/12/16	J		

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69.					Sold	10/13/16	J		
70. EGLIX	A	Dividend	K	T	Buy	03/18/16	K		
71. VFSTX	A	Dividend	K	T	Buy	04/19/16	K		
72. SWSSX	A	Dividend	J	T	Buy	06/21/16	J		
73. MDYV	A	Dividend	J	T	Buy	07/13/16	J		
74. MSCFX	A	Dividend	J	T	Buy	09/02/16	J		
75. ETW	A	Dividend	J	T	Buy	12/07/16	J		
76. IRA #2 (H)									
77. BRIDGEWAY AGGRESSIVE INVESTORS 1 FUND (BRAGX)		None			Sold (part)	03/01/16	J		
78.					Sold	05/04/16	J		
79. PRIMECAP ODYSSEY AGGRESSIVE (POAGX)	C	Dividend	K	T					
80. MAIRS & POWER GROWTH FUND MPGFX)	B	Dividend	K	T					
81. JPMORGAN MID CAP VALUE (FLMVX)	A	Dividend	J	T	Buy	03/01/16	J		
82. OPPENHEIMER DEVELOPING MARKETS (ODMAX)	A	Dividend	J	T	Buy	05/31/16	J		
83. EDUCATIONAL ACCOUNT #1 (H)									
84. MAIRS & POWER GROWTH FUND (MPGFX)	A	Dividend	J	T					
85. PRIMECAP ODYSSEY AGGRESSIVE GROWTH FUND (POAGX)	A	Dividend	J	T					

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86. EDUCATIONAL ACCOUNT #2 (H)									
87. MAIRS & POWER GROWTH FUND (MPGFX)	A	Dividend	J	T					
88. PRIMECAP ODYSSEY AGGRESSIVE GROWTH FUND (POAGX)	A	Dividend	J	T					
89. 529 COLLEGE SAVINGS #1(H)									
90. 1ST TN INTEREST BEARING ACCT (Y)									
91. TN DFA LARGE CAP INTERNATIONAL	A	Int./Div.	J	T					
92. TN PRIMECAP ODYSSEY AGGR GROWTH	A	Int./Div.	J	T					
93. TN VANGUARD INTERMEDIATE TERM INVES	A	Int./Div.	J	T					
94. TN VANGUARD INT TERM TREASURY	A	Int./Div.	J	T					
95. TN VANGUARD WELLINGTON ADM	A	Int./Div.	J	T					
96. TN VANGUARD TOTAL BOND ADMIRAL	A	Int./Div.			Sold	05/31/16	J		
97. TN DFA ENHANCED US LARGE COMPANY	A	Int./Div.	J	T					
98. TN VANGUARD TOTAL BOND MARKET INST	A	Int./Div.	J	T	Buy	05/31/16	J		
99. 529 COLLEGE SAVINGS #2 (H)									
100. 1ST TN INTEREST BEARING ACCT (Y)									
101. TN PRIMECAP ODYSSEY AGGR GROWTH	A	Int./Div.	J	T					
102. TN DFA LARGE CAP INTERNATIONAL	A	Int./Div.	J	T					

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103. TN VANGUARD INTERMEDIATE TERM INVES	A	Int./Div.	J	T					
104. TN VANGUARD INT TERM TREASURY	A	Int./Div.	J	T					
105. TN VANGUARD WELLINGTON ADM	A	Int./Div.	J	T					
106. TN VANGUARD TOTAL BOND ADMIRAL	A	Int./Div.			Sold	05/31/16	J		
107. TN DFA ENHANCED US LARGE COMPANY	A	Int./Div.	J	T					
108. TN VANGUARD TOTAL BOND MARKET INST	A	Int./Div.	J	T	Buy	05/31/16	J		
109. 529 COLLEGE SAVINGS #3 (H)									
110. 1ST TN INTEREST BEARING ACCT (Y)									
111. TN VANGUARD TOTAL BOND MARKET INST	A	Dividend	J	T	Buy	05/31/16	J		

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Name of Person Reporting

PHAM, TU M.

Date of Report

08/11/2017

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

Part II, line 1: See Part VII, line 28.

This report reflects the movement of assets between accounts. As a result, some assets are listed under different headers than in 2015. This is based only upon a restructuring of positions, not reportable transactions.

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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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Washington, D.C. 20544