

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 08/15/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
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.		

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.	

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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. _____

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.	Ameriprise SPS Advisor IRA	Oneida Middle School	\$500.00
2.	Ameripris SPS Advisor IRA	ALQI	\$2,000.00
3.	Ameriprise SPS Advisor IRA	First Presbyterian Church	\$7,500.00
4.	Ameriprise SPS Advisor IRA	Berea College	\$7,500.00
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.			

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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. Ameriprise SPS NQ Account									
2. -Ameriprise Cash		None	J	T					
3. -Columbia Balanced Fund A (CBALX)	A	Int./Div.			Sold (part)	12/01/17	J	A	
4. -Lord Abbett Floating Rate (LFRFX)	A	Int./Div.	J	T	Buy	07/24/17	J		
5. -Blackrock Strategic Income (BSIIX)	A	Int./Div.	J	T	Buy	07/24/17	J		
6. -Ishares S&P Mid Cap 400 (IJK)	A	Dividend	J	T	Buy	07/24/17	J		
7. -Vanguard Total Stock Market (VIT)	A	Dividend	J	T					
8. -Ishares Russell 2000 (IWN)	A	Dividend	J	T	Buy	07/24/17	J		
9. -Ishares Russell Mid Cap (IWS)	A	Dividend	J	T	Buy	07/24/17	J		
10. -Ishares Gold Trust (IAU)		None	J	T	Buy	07/24/17	J		
11. -Pimco Income (PONAX)	A	Int./Div.	J	T	Buy	07/24/17	J		
12. -Prudential Short Term Corp. Short Term Bond (PIFZX)	A	Int./Div.	J	T	Buy	07/24/17	J		
13. -Vanguard Growth (VUG)	A	Dividend	J	T	Buy	07/24/17	J		
14. Ameriprise ONE Account									
15. -Cash-Amperiprise Insured Money Market Account (AIMMA)	A	Interest	J	T					
16. Ameriprise Turst Co. IRA									
17. -Cash-Dryfus Government Cash Management (MMF)	A	Interest	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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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 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. -BlackRock Strat. Income Opps Institutional Shares (BSHX)	A	Int./Div.			Sold (part)	02/16/17	J	A	
19. -Columbia Strategic Income CL Z (LSIZX)	A	Int./Div.			Sold	02/16/17	K	A	
20. -Columbia US Govt Mortgage CL Z (CUGZX)	A	Int./Div.			Sold	02/16/17	J	A	
21. -MFS Total Return Bond CL I (MRBIX)	A	Int./Div.			Sold (part)	02/16/17	J	A	
22. -Fidelity Advisor Short Term Bond Fund Class I (FBNIX)	A	Int./Div.			Sold	02/16/17	J	A	
23. -Prudential Short Term Corp Bond CL Z (PIFZX)	A	Int./Div.			Sold (part)	02/16/17	J	A	
24. -AT&T Inc (T) Common Stock	A	Dividend			Sold	02/16/17	J	A	
25. -Apple (AAPL) Common Stock	A	Dividend			Sold (part)	02/16/17	J	A	
26. -Ford (F) Common Stock	A	Dividend			Sold	02/16/17	J	A	
27. -Ishares MSCI EAFE ETF (EFA)	A	Dividend			Sold	02/16/17	K	B	
28. -Starbucks Corp (SBUX) Common Stock	A	Dividend			Sold	02/16/17	J	A	
29. -Valero Energy Corp (VLO) Common Stock	A	Dividend			Sold	02/16/17	J	A	
30. -Vanguard Mid-Cap ETF (VO)	A	Dividend			Sold (part)	02/16/17	J	A	
31. -Vanguard Growth ETF (VUG)	A	Dividend			Sold (part)	02/16/17	J	A	
32. -Vanguard Value ETF (VTI)	A	Dividend			Sold (part)	02/16/17	J	B	
33. -Vanguard Small Cap ETF (VB)	A	Dividend			Sold (part)	02/16/17	J	A	
34. -Lord Abbett Floating Rate Fund Class F (LFRFX)	A	Int./Div.	J	T	Buy	02/16/17	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	
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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)

35. -Cisco (CSCO) Common Stock	A	Dividend	J	T	Buy	02/16/17	J		
36. -Ishares S&P Midcap 400 Growth (IJK)	A	Dividend	J	T	Buy	02/16/17	J		
37. -Ishares Russell 2000 Value ETF (IWN)	A	Dividend	J	T	Buy	02/16/17	J		
38. -Ishares Russell Mid Cap Value ETF (IWS)	A	Dividend	J	T	Buy	02/16/17	J		
39. -Ishares MSCI EAFE Value ETF (EFV)	A	Dividend	J	T	Buy	02/16/17	J		
40. -Ishares MSCI EAFE Growth ETF (EFG)	A	Dividend	J	T	Buy	02/16/17	J		
41. -Ishares TIPS Bond ETF (TIP)	A	Int./Div.	J	T	Buy	02/16/17	J		
42. -PIMCO Income Class A (PONAX)	A	Int./Div.	K	T	Buy	02/16/17	K		
43. -Vanguard FTSE All World EX US Small Cap ETF (VSS)	A	Dividend	J	T	Buy	02/16/17	J		
44. -Vanguard FTSE Emerging Markets ETF (VWO)	A	Dividend	J	T	Buy	02/16/17	J		
45. -Vanguard Small Gap Growth ETF (VBK)	A	Dividend	J	T	Buy	02/16/17	J		
46. -Citigroup, Inc. (C) Common Stock	A	Dividend	J	T	Buy	03/31/17	J		
47. -Citigroup, Inc. (C) Common Stock	A	Dividend			Sold	09/12/17	J	A	
48. -General Electric (GE) Common Stock	A	Dividend	J	T	Buy	03/31/17	J		
49. -General Electric (GE) Common Stock	A	Dividend			Sold	09/12/17	J	A	
50. -Nike (NKE) Common Stock	A	Dividend	J	T	Buy	04/11/17	J		
51. -Lord Abbett Floating Rate (LFRFX)	A	Int./Div.			Sold (part)	09/12/17	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. -Apple (AAPL) Common Stock	A	Dividend			Sold (part)	09/12/17	J	A	
53. -Ishares Russell 2000 (IWN)	A	Dividend			Sold	09/12/17	J	A	
54. -Ishares Russell Mid Cap (IWS)	A	Dividend			Sold (part)	09/12/17	J	A	
55. -Ishares TIPS Bond ETF (TIP)	A	Int./Div.			Sold	09/12/17	J	A	
56. -MFS Total Return Bond CL I (MRBIX)	A	Int./Div.			Sold (part)	09/12/17	J	A	
57. -Nike (NKE) Common Stock	A	Dividend			Sold	09/12/17	J	A	
58. -PIMCO Income Class A (PONAX)	A	Int./Div.			Sold (part)	09/12/17	J	A	
59. -Prudential Short Term Corp Bond CL Z (PIFZX)	A	Int./Div.			Sold (part)	09/12/17	J	A	
60. -Vanguard FTSE All World EX US Small Cap ETF (VSS)	A	Dividend			Sold (part)	09/12/17	J	A	
61. -Vanguard Small Gap Growth ETF (VBK)	A	Dividend			Sold	09/12/17	J	A	
62. -Vanguard Value ETF (VTV)	A	Dividend			Sold (part)	09/12/17	J	A	
63. -Blackrock Strategic Income (BSIIX)	A	Int./Div.	J	T	Buy (add'l)	09/15/17	J		
64. -Cisco (CSCO) Common Stock	A	Dividend	J	T	Buy (add'l)	09/18/17	J		
65. -Ishares S&P Midcap 400 Growth (IJK)	A	Dividend	K	T	Buy (add'l)	09/18/17	K		
66. -Ishares MSCI EAFE Value ETF (EFV)	A	Dividend	J	T	Buy (add'l)	09/18/17	J		
67. -Ishares MSCI EAFE Growth ETF (EFG)	A	Dividend	J	T	Buy (add'l)	09/18/17	J		
68. -Vanguard FTSE Emerging Markets ETF (VWO)	A	Dividend	J	T	Buy (add'l)	09/18/17	J		

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69. -Vanguard Growth ETF (VUG)	A	Dividend	J	T	Buy (add'l)	09/18/17	J		
70. -Vanguard Small Corp ETF (VB)	A	Dividend	K	T	Buy (add'l)	09/18/17	K		
71. Ameriprise Brokerage Account									
72. -Cash-Ameriprise Insured Money Market Account (AIMMA) (X)	A	Interest	J	T					
73. -DC Industrial Liquidating Trust	A	Int./Div.			Sold	12/27/17	J	A	
74. -Industrial Property REIT	A	Int./Div.	K	T					
75. -Carey Watermark Investors REIT	A	Int./Div.	K	T					
76. Riversource RAVA 5 Advantage Variable Annuity									
77. -Columbia VP-Managed Volatility Growth Fund	A	Int./Div.	M	T					
78. Ameriprise Trust Co. ROTH IRA									
79. -Cash-Dreyfus Government Cash (MMF)	A	Interest	J	T					
80. -Columbia Balanced CL Z (CBALX)	A	Int./Div.			Sold	02/16/17	J	A	
81. -Columbia Strategic Income CL Z (LSIZX)	A	Int./Div.			Sold	02/16/17	J	A	
82. -MFS Total Return Bond CL Z (MRBIX)	A	Int./Div.			Sold (part)	02/16/17	J	A	
83. -Prudential Short Term Corp Bond CL Z (PIFZX)	A	Int./Div.			Sold	02/16/17	J	A	
84. -Lord Abbett Floating Rate CL F (LFRFX)	A	Int./Div.	J	T	Buy	02/16/17	J		
85. -Ishares MSCI EAFE ETF (EFA)	A	Int./Div.	J	T	Buy (add'l)	02/16/17	J		

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86. -PIMCO Income CL A (PONAX)	A	Int./Div.	J	T	Buy	02/16/17	J		
87. -Vanguard FTSE Emerging Markets ETF (VWO)	A	Int./Div.	J	T	Buy	02/16/17	J		
88. -Vanguard Mid-Cap ETF (VO)	A	Dividend	J	T	Buy (add'l)	02/16/17	J		
89. -Vanguard Small Corp ETF (VB)	A	Dividend	J	T	Buy	02/16/17	J		
90. Vanguard Total Stock Market (VTI)	A	Dividend	J	T	Buy (add'l)	02/16/17	J		
91. -Ishares MSCI EAFE ETF (EFA)	A	Int./Div.			Sold (part)	09/12/17	J	A	
92. -Vanguard FTSE Emerging Markets ETF (VWO)	A	Int./Div.			Sold (part)	09/12/17	J	A	
93. -Lord Abbett Floating Rate CL F (LFRFX)	A	Int./Div.	J	T	Buy (add'l)	09/15/17	J		
94. -MFS Total Return Bond CL Z (MRBIX)	A	Int./Div.	J	T	Buy (add'l)	09/15/17	J		
95. -PIMCO Income Class A (PONAX)	A	Int./Div.	J	T	Buy (add'l)	09/15/17	J		
96. -Prudential Short Term Corp Bond CL Z (PIFZX)	A	Int./Div.	J	T	Buy (add'l)	09/15/17	J		
97. -Vanguard Mid-Cap ETF (VO)	A	Dividend	J	T	Buy (add'l)	09/18/17	J		
98. -Vanguard Small Corp ETF (VB)	A	Dividend	J	T	Buy (add'l)	09/18/17	J		
99. Ameriprise SPS IRA									
100. -Cash-Dreyfus Government Cash (MMF)	A	Interest	J	T					
101. -AT&T Inc (T) Common Stock	A	Dividend			Sold	02/16/17	J	A	
102. -Apple (AAPL) Common Stock	A	Dividend			Sold (part)	02/16/17	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	

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Name of Person Reporting

Phillips, Thomas W.

Date of Report

08/15/2018

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)
103. -Blackrock Strategic Income (BSHX)	A	Int./Div.			Sold (part)	02/16/17	J	A	
104. -Columbia Strategic Income CL Z (LSIZX)	A	Int./Div.			Sold	02/16/17	J	A	
105. -Columbia US Govt Mortgage CL Z (CUGZX)	A	Int./Div.			Sold	02/16/17	J	A	
106. -Fidelity Advisor Short Term Bond Fund Class I (FBNIX)	A	Int./Div.			Sold	02/16/17	J	A	
107. -Ford (F) Common Stock	A	Dividend			Sold	02/16/17	J	A	
108. -Ishares MSCI EAFE ETF (EFA)	A	Int./Div.			Sold	02/16/17	J	A	
109. -MFS Total Return Bond CL Z (MRBIX)	A	Int./Div.			Sold (part)	02/16/17	J	A	
110. -Prudential Short Term Corp Bond CL Z (PIFZX)	A	Int./Div.			Sold (part)	02/16/17	J	A	
111. -Starbucks Corp (SBUX) Common Stock	A	Dividend			Sold	02/16/17	J	A	
112. -Valero Energy Corp (VLO) Common Stock	A	Dividend			Sold	02/16/17	J	A	
113. -Vanguard Mid-Cap ETF (VO)	A	Dividend			Sold (part)	02/16/17	J	A	
114. -Vanguard Growth ETF (VUG)	A	Dividend			Sold (part)	02/16/17	J	A	
115. -Vanguard Value ETF (VTV)	A	Dividend			Sold (part)	02/16/17	J	A	
116. -Vanguard Small Corp ETF (VB)	A	Dividend			Sold (part)	02/16/17	J	A	
117. Lord Abbett Floating Rate CL F (LFRFX)	A	Int./Div.	J	T	Buy	02/16/17	J		
118. -Cisco (CSCO) Common Stock	A	Dividend	J	T	Buy	02/16/17	J		
119. -Ishares S&P Midcap 400 Growth (IJK)	A	Dividend	J	T	Buy	02/16/17	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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Name of Person Reporting

Phillips, Thomas W.

Date of Report

08/15/2018

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)
120. -Ishares Russell 2000 (IWN)	A	Dividend	J	T	Buy	02/16/17	J		
121. -Ishares Russell Mid Cap (IWS)	A	Dividend	J	T	Buy	02/16/17	J		
122. -Ishares MSCI EAFE Value ETF (EFV)	A	Dividend	J	T	Buy	02/16/17	J		
123. -Ishares MSCI EAFE Growth ETF (EFG)	A	Dividend	J	T	Buy	02/16/17	J		
124. -Ishares TIPS Bond ETF (TIP)	A	Dividend	J	T	Buy	02/16/17	J		
125. -PIMCO Income Class A (PONAX)	A	Int./Div.	K	T	Buy	02/16/17	K		
126. -Vanguard FTSE All World EX US Small Cap ETF (VSS)	A	Int./Div.	J	T	Buy	02/16/17	J		
127. -Vanguard FTSE Emerging Markets ETF (VWO)	A	Int./Div.	J	T	Buy	02/16/17	J		
128. -Vanguard Small Cap Growth ETF (VBK)	A	Dividend	J	T	Buy	02/16/17	J		
129. -Citigroup, Inc. (C) Common Stock	A	Dividend	J	T	Buy	03/31/17	J		
130. -General Electric (GE) Common Stock	A	Dividend	J	T	Buy	03/31/17	J		
131. -Nike (NKE) Common Stock	A	Dividend	J	T	Buy	04/11/17	J		
132. -Apple (AAPL) Common Stock	A	Dividend			Sold (part)	09/12/17	J	A	
133. -Citigroup, Inc. (C) Common Stock	A	Dividend			Sold (part)	09/12/17	J	A	
134. -General Electric (GE) Common Stock	A	Dividend			Sold	09/12/17	J	A	
135. -Ishares Russell 2000 (IWN)	A	Dividend			Sold	09/12/17	J	A	
136. -Ishares TIPS Bond ETF (TIP)	A	Dividend			Sold	09/12/17	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 = \$50,001 - \$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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Name of Person Reporting

Phillips, Thomas W.

Date of Report

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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)
137. -Nike (NKE) Common Stock	A	Dividend			Sold	09/12/17	J	A	
138. -PIMCO Income Class A (PONAX)	A	Int./Div.			Sold (part)	09/12/17	J	A	
139. -Vanguard FTSE All World EX US Small Cap ETF (VSS)	A	Int./Div.			Sold (part)	09/12/17	J	A	
140. -Vanguard Small Gap Growth ETF (VBK)	A	Dividend			Sold	09/12/17	J	A	
141. Lord Abbett Floating Rate CL F (LFRFX)	A	Int./Div.	J	T	Buy (add'l)	09/15/17	J		
142. -Blackrock Strategic Income (BSHX)	A	Int./Div.	J	T	Buy (add'l)	09/15/17	J		
143. -MFS Total Return Bond CL Z (MRBIX)	A	Int./Div.	J	T	Buy (add'l)	09/15/17	J		
144. -Prudential Short Term Corp Bond CL Z (PIFZX)	A	Int./Div.	J	T	Buy (add'l)	09/15/17	J		
145. -Cisco (CSCO) Common Stock	A	Dividend	J	T	Buy (add'l)	09/18/17	J		
146. -Ishares S&P Midcap 4300 Growth (IJK)	A	Dividend	J	T	Buy (add'l)	09/18/17	J		
147. -Ishares Russell Mid Cap (IWS)	A	Dividend	J	T	Buy (add'l)	09/18/17	J		
148. -Ishares MSCI EAFE Value ETF (EFV)	A	Dividend	J	T	Buy (add'l)	09/18/17	J		
149. -Ishares MSCI EAFE Growth ETF (EFG)	A	Dividend	J	T	Buy (add'l)	09/18/17	J		
150. -Vanguard FTSE Emerging Markets ETF (VWO)	A	Dividend	J	T	Buy (add'l)	09/18/17	J		
151. -Vanguard Growth ETF (VUG)	A	Dividend	J	T	Buy (add'l)	09/18/17	J		
152. -Vanguard Value ETF (VTV)	A	Dividend	J	T	Buy (add'l)	09/18/17	J		
153. -Vanguard Small Corp ETF (VB)	A	Dividend	J	T	Buy	09/18/17	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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Name of Person Reporting

Phillips, Thomas W.

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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)

154. -Blackrock Strategic Income (BSIIX)	A	Int./Div.			Sold (part)	11/03/17	J		
155.									
156.									
157.									
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169.									
170.									

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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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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Name of Person Reporting

Phillips, Thomas W.

Date of Report

08/15/2018

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)
171.									
172.									
173.									
174.									
175.									
176.									
177.									
178.									
179.									
180.									
181.									

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 \$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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Phillips, Thomas W.

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

CBLAX was on the report from last year. That security had a ticker change and is on this report as CBALX.

In the 2016 report all lines that stated Fidelity Advisor Short Fixed Income Class A (FSFAX) were supposed to be Fidelity Advisor Short-Term Fund Class I (FBNIX), Line 14 and 113 in the 2016 report. In the 2017 report these were listed correctly.

In the 2016 report it shows in line 109 a sell of all shares of Bank of America (BAC), this is why BAC is not reported in 2017.

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Name of Person Reporting

Phillips, Thomas W.

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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/ 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