

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 08/12/2016
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 01/01/2015 to 12/31/2015
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.)

<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	DEFINED CONTRIBUTION PLAN THROUGH PRIOR EMPLOYMENT WITH KIRKLAND & ELLIS LAW FIRM
2. 1997	401(K) 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.)*

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. 2015

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1. Vietnamese - American Bar
Association of Greater DC05/18/2015 :
05/19/2015

Washington, DC

Speaker

TRANSPORTATION, LODGING,
FOOD2. GA Asian-Pacific American
Bar Association02/19/2015 :
02/20/2015

Atlanta, GA

Speaker

TRANSPORTATION, LODGING,
FOOD

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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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. FED TRUST FEDERAL BUILDING FEDERAL CREDIT UNION	A	Interest	K	T					
2. 403(B) ACCOUNT #1 (H)									
3. T ROWE PRICE RET INC ADV	A	Dividend			Sold	03/23/15	L	B	
4. T ROWE PRICE RET 2020 ADV	C	Dividend	L	T	Buy	03/23/15	L		
5. 403(B) ACCOUNT #2 (H)									
6. PIMCO TOTAL RET A	A	Dividend			Sold	03/06/15	J	A	
7. PRIMECAP ODYSSEY AGGR GROWTH	B	Dividend	K	T	Buy (add'l)	03/09/15	J		
8. WEITZ PARTNERS III OPPORTUNITY FUND					Sold	03/17/15	K	B	
9. OAKMARK EQUITY AND INCOME	B	Dividend	K	T	Buy	03/18/15	K		
10. SCHWAB MONEY MARKET FUND	A	Interest	K	T	Buy (add'l)	04/13/15	K		
11. FPA CRESCENT FUND	A	Dividend	K	T					
12. 401K ACCOUNT (H)									
13. VANGUARD HEALTH CARE FUND	D	Dividend	L	T					
14. BROKERAGE ACCOUNT #1(H)					Closed	10/21/15			
15. PERRITT ULTRA MICRO CAP FUND			J	T	Closed	10/21/15			
16. BRIDGEWAY AGGRESSIVE INVESTORS 1 FUND IRA#10			J	T	Closed	10/21/15			
17. BRIDGEWAY AGGRESSIVE INVESTORS 1 FUND IRA#12			J	T	Closed	10/21/15			

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 = \$5,001 - \$15,000	D = \$15,001 - \$50,000 E = \$50,001 - \$100,000
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	H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	H2 = 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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☐ 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. IRA #7 PRIMECAP ODYSSEY AGGRESSIVE			K	T	Closed	10/21/15			
19. IRA #8 MAIRS & POWER GROWTH FUND	A	Dividend			Sold	04/01/15	K	E	
20. IRA #9 MAIRS & POWER GROWTH FUND	A	Dividend	K	T	Closed	10/21/15			
21. IRA #11 LEGGMASON OPPORTUNITY TRUST FUND					Sold	03/17/15	K	C	
22. IRA #1 VANGUARD PRIMECAP CORE FUND					Sold	03/23/15	J	A	
23. IRA #6A Weitz Partners III Opportunity Fund					Sold	03/17/15	K	D	
24. IRA #13 VANGUARD HEALTHCARE FUND	A	Dividend	K	T	Buy	03/19/15	K		
25.					Buy (add'l)	03/23/15	K		
26.					Closed	10/21/15			
27. IRA #14 VANGUARD PRIME MONEY MKT	A	Interest	J	T	Buy	03/27/15	J		
28.					Sold	04/07/15	J	A	
29. IRA #15 VANGUARD PRIME MONEY MKT	A	Interest	J	T	Buy	04/07/15	J		
30.					Closed	10/21/15			
31. VANGUARD PRIME MONEY MKT	A	Interest	M	T	Buy	03/31/15	K		
32.					Buy (add'l)	06/11/15	L		
33.					Sold	10/21/15	M	A	
34. EOG Common Stock	A	Dividend	J	T	Open	06/22/15			

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		

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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)

35.					Closed	10/21/15			
36. Ebay Common Stock			J	T	Open	06/22/15			
37.					Closed	10/21/15			
38. PYPL Common Stock			J	T	Buy	07/21/15	J		
39.					Buy (add'l)	07/23/15	J		
40.					Closed	10/21/15			
41. SBUX Common Stock	A	Dividend	J	T	Open	06/22/15			
42.					Closed	10/21/15			
43. TRN Common Stock	A	Dividend	J	T	Open	06/22/15			
44.					Closed	10/21/15			
45. DIS Common Stock	A	Dividend	J	T	Open	06/22/15			
46.					Closed	10/21/15			
47. NKE Common Stock	A	Dividend	J	T	Open	06/22/15			
48.					Closed	10/21/15			
49. BROKERAGE ACCOUNT #3 (H)					Open	10/21/15			
50. PERRITT ULTRA MICRO CAP FUND	A	Dividend	J	T	Open	10/21/15			
51. BRIDGEWAY AGGRESSIVE INVESTORS 1 FUND IRA#10	A	Dividend	J	T	Open	10/21/15			

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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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. BRIDGEWAY AGGRESSIVE INVESTORS 1 FUND IRA#12	A	Dividend	J	T	Open	10/21/15			
53. IRA #7 PRIMECAP ODYSSEY AGGRESSIVE	B	Dividend	K	T	Open	10/21/15			
54. IRA #9 MAIRS & POWER GROWTH FUND	B	Dividend	K	T	Open	10/21/15			
55. Schwab Bank Deposit Account	A	Interest	M	T	Open	10/21/15			
56. EOG COMMON STOCK			J	T	Open	10/21/15			
57. EBAY COMMON STOCK			J	T	Open	10/21/15			
58. SBUX COMMON STOCK	A	Dividend	J	T	Open	10/21/15			
59. TRN COMMON STOCK			J	T	Open	10/21/15			
60. DIS COMMON STOCK			J	T	Open	10/21/15			
61. NKE COMMON STOCK			J	T	Open	10/21/15			
62. PYPL COMMON STOCK			J	T	Open	10/21/15			
63. IRA #16 COLUMBIA DIV INCOME FUND			J	T	Buy	12/24/15	J		
64. IRA #13 Vanguard Healthcare Fund	B	Dividend	K	T	Open	10/21/15			
65. IRA #15 Schwab Bank Deposit Account	A	Interest	J	T	Buy	10/21/15	J		
66. BROKERAGE ACCOUNT #2 (H)									
67. COVERDELL ESA #1 MAIRS & POWER GROWTH FUND	A	Dividend	J	T					
68. COVERDELL ESA #2 MAIRS & POWER GROWTH FUND	A	Dividend	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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69. COVERDELL #3 PRIMECAP ODYSSEY AGGRESSIVE GROWTH FUND	A	Dividend	J	T					
70. COVERDELL #4 PRIMECAP ODYSSEY AGGRESSIVE GROWTH FUND	A	Dividend	J	T					
71. MONEY MARKET	A	Interest	J	T	Closed	06/22/15			
72. EOG COMMON STOCK	A	Dividend	J	T	Closed	06/22/15			
73. EBAY COMMON STOCK			J	T	Closed	06/22/15			
74. SBUX COMMON STOCK	A	Dividend	J	T	Closed	06/22/15			
75. TRN COMMON STOCK	A	Dividend	J	T	Closed	06/22/15			
76. DIS COMMON STOCK	A	Dividend	J	T	Closed	06/22/15			
77. NKE COMMON STOCK	A	Dividend	J	T	Closed	06/22/15			
78. 529 COLLEGE SAVINGS #1(H)									
79. TN DFA LARGE CAP INTERNATIONAL	A	Int./Div.	J	T					
80. TN PRIMECAP ODYSSEY AGGR GROWTH	A	Int./Div.	J	T					
81. TN VANGUARD INTERMEDIATE TERM INVES	A	Int./Div.	J	T					
82. TN VANGUARD INT TERM TREASURY	A	Int./Div.	J	T					
83. TN VANGUARD WELLINGTON ADM	A	Int./Div.	J	T					
84. TN VANGUARD TOTAL BOND ADMIRAL	A	Int./Div.	J	T					
85. TN DFA ENHANCED US LARGE COMPANY	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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	(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)

86. 1ST TN INTEREST BEARING ACCT	A	Interest	J	T	Buy	12/18/15	J		
87. 529 COLLEGE SAVINGS #2 (H)									
88. TN PRIMECAP ODYSSEY AGGR GROWTH	A	Int./Div.	J	T					
89. TN DFA LARGE CAP INTERNATIONAL	A	Int./Div.	J	T					
90. TN VANGUARD INTERMEDIATE TERM INVES	A	Int./Div.	J	T					
91. TN VANGUARD INT TERM TREASURY	A	Int./Div.	J	T					
92. TN VANGUARD WELLINGTON ADM	A	Int./Div.	J	T					
93. TN VANGUARD TOTAL BOND ADMIRAL	A	Int./Div.	J	T					
94. TN DFA ENHANCED US LARGE COMPANY	A	Int./Div.	J	T					
95. 1ST TN INTEREST BEARING ACCT	A	Interest	J	T	Buy	12/18/15	J		
96. 529 COLLEGE SAVINGS #3 (H)					Open	12/18/15			
97. 1ST TN INTEREST BEARING ACCT	A	Interest	J	T	Buy	12/18/15	J		
98. VASCULAR TECHNOLOGIES INC		None	L	W					

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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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544