

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 12/19/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US District Judge Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address 800 Market Square 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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
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.)*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. Ameriprise SPS NQ Account									
2. -Ameriprise Cash		None	J	T					
3. -Blackrock Strategic Income (BSIIX)	A	Int./Div.	J	T	Sold (part)	03/29/18	J	A	
4. -Ishares Russell Mid Cap (IWS)	A	Dividend			Sold	03/29/18	J	A	
5. -Pimco Income CL A (PONAX)	A	Int./Div.	J	T	Sold (part)	03/29/18	J	A	
6. -Lord Abbett Floating Rate CL F (LFRFX)	A	Int./Div.	J	T	Buy (add'l)	03/29/18	J		
7. -American Century Emerging Markets Investor Class (TWMIX)	A	Int./Div.	J	T	Buy	03/29/18	J		
8. -Columbia Balanced Fund A (CBALX)	A	Int./Div.	J	T	Buy (add'l)	03/29/18	J		
9. -Ivy International Core Equity Fund Class I (ICEIX)	A	Int./Div.	J	T	Buy	03/29/18	J		
10. -Columbia Balanced Fund A (CBALX)	A	Int./Div.	J	T	Sold (part)	12/03/18	J	A	
11. Ameriprise ONE Account									
12. -Cash- Ameriprise Insured Money Market Account (AIMMA)	A	Interest	J	T					
13. Ameriprise Trust Co. IRA									
14. -Cisco (CSCO) Common Stock	A	Dividend			Sold	02/02/18	J	C	
15. -Citigroup, Inc. (C) Common Stock	A	Dividend			Sold	02/02/18	J	B	
16. -Ishares S&P Mid Cap 400 (IJK)	A	Dividend			Sold	02/02/18	K	C	
17. -Ishares Russell Mid Cap (IWS)	A	Dividend			Sold	02/02/18	K	B	

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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☐ 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. -Pimco Income (PONAX)	A	Int./Div.	K	T	Sold (part)	02/02/18	J	A	
19. -Prudential Short Term Corp Bond CL Z (PIFZX)	A	Int./Div.			Sold (part)	02/02/18	J	A	
20. -Prudential Short Term Corp Bond CL Z (PIFZX)	A	Int./Div.			Sold	09/07/18	J	A	
21. -Vanguard FTSE All World EX US Small Cap ETF (VSS)	A	Int./Div.			Sold	02/02/18	J	B	
22. -Vanguard Emerging Markets Stock Index Fund (VWO)	A	Int./Div.	J	T	Sold (part)	02/02/18	J	A	
23. -Vanguard Growth ETF (VUG)	A	Dividend	K	T	Sold (part)	02/02/18	J	C	
24. -Vanguard Value ETF (VTV)	A	Dividend	K	T	Sold (part)	02/02/18	J	A	
25. -Vanguard Small-Cap Index Fund (VB)	A	Dividend	K	T	Sold (part)	02/02/18	J	A	
26. -Lord Abbett Floating Rate (LFRFX)	A	Int./Div.	J	T	Buy	02/02/18	J		
27. -Apple (AAPL) Common Stock	A	Dividend	J	T	Buy (add'l)	02/02/18	J		
28. -Blackrock Strategic Income (BSIIX)	A	Int./Div.	J	T	Buy (add'l)	02/02/18	J		
29. -Ishares MSCI EAFE Value ETF (EFV)	A	Int./Div.	J	T	Buy (add'l)	02/02/18	J		
30. -Ishares MSCI EAFE Growth ETF (EFG)	A	Int./Div.	J	T	Buy (add'l)	02/02/18	J		
31. -MFS Total Return Bond CL Z (MRBIX)	A	Int./Div.	J	T	Buy (add'l)	02/02/18	J		
32. -Vanguard Financials ETF (VFH)	A	Dividend	J	T	Buy	02/02/18	J		
33. -Vanguard Health Care ETF (VHT)	A	Dividend	J	T	Buy	02/02/18	J		
34. -Vanguard Materials ETF (VAW)	A	Dividend	J	T	Buy	02/02/18	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 P1 = \$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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☐ 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. -Vanguard Mid-Cap Index Fund (VO)	A	Dividend	K	T	Buy (add'l)	02/02/18	K		
36. -Blackrock Strategic Income (BSIIX)	A	Int./Div.	K	T	Sold (part)	03/29/18	J	A	
37. -MFS Total Return Bond CL Z (MRBIX)	A	Int./Div.			Sold (part)	03/29/18	J	A	
38. -MFS Total Return Bond CL Z (MRBIX)	A	Int./Div.			Sold	09/07/18	J	A	
39. -Pimco Income (PONAX)	A	Int./Div.	K	T	Sold (part)	03/29/18	J	A	
40. -Vanguard Mid-Cap Index Fund ETF (VO)	A	Dividend	K	T	Sold (part)	03/29/18	J	A	
41. -Lord Abbett Floating Rate (LFRFX)	A	Int./Div.	J	T	Sold (part)	09/07/18	J	A	
42. -Apple (AAPL) Common Stock	A	Dividend			Sold (part)	09/07/18	J	B	
43. -Apple (AAPL) Common Stock	A	Dividend			Sold	12/28/18	J	B	
44. -Ishares MSCI EAFE Value ETF (EFV)	A	Int./Div.			Sold	09/07/18	K	A	
45. -Pimco Income (PONAX)	A	Int./Div.	K	T	Sold (part)	09/07/18	J	A	
46. -Prudential Short Term Corp Bond CL Z (PIFZX)	A	Int./Div.			Sold	09/07/18	J	A	
47. -Vanguard Financials ETF (VFH)	A	Dividend			Sold (part)	09/07/18	J	A	
48. -Vanguard Financials ETF (VFH)	A	Dividend			Sold	12/28/18	J	A	
49. -Vanguard Health Care ETF (VHT)	A	Dividend			Sold	09/07/18	J	A	
50. -Vanguard Materials ETF (VAW)	A	Dividend			Sold (part)	09/07/18	J	A	
51. -Vanguard Materials ETF (VAW)	A	Dividend			Sold	12/28/18	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	
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 Mid-Cap Index Fund ETF (VO)	A	Dividend			Sold (part)	09/07/18	J	A	
53. -Vanguard Value ETF (VTV)	A	Dividend			Sold (part)	09/07/18	J	B	
54. -Blackrock Strategic Income (BSIIX)	A	Int./Div.	J	T	Buy (add'l)	09/07/18	J		
55. -Ishares MSCI EAFE Growth ETF (EFG)	A	Int./Div.	J	T	Buy	09/07/18	J		
56. -Lord Abbett Short Duration Income CL F (LDLFX)	A	Int./Div.	K	T	Buy	09/07/18	K		
57. -Vanguard Emerging Markets Stock Index Fund (VWO)	A	Int./Div.	J	T	Buy (add'l)	09/07/18	J		
58. -Vanguard Growth ETF (VUG)	A	Dividend	J	T	Buy (add'l)	09/07/18	J		
59. -Vanguard Small-Cap Index Fund (VB)	A	Dividend	J	T	Buy (add'l)	09/07/18	J		
60. -Lord Abbett Floating Rate (LFRFX)	A	Int./Div.	J	T	Sold (part)	12/28/18	J	A	
61. -Ishares MSCI EAFE Growth ETF (EFG)	A	Int./Div.	J	T	Sold (part)	12/28/18	K	A	
62. -Vanguard Emerging Markets Stock Index Fund (VWO)	A	Int./Div.	J	T	Sold (part)	12/28/18	J	A	
63. -Vanguard Growth ETF (VUG)	A	Dividend	K	T	Sold (part)	12/28/18	J	C	
64. -Blackrock Strategic Income (BSIIX)	A	Int./Div.	J	T	Buy (add'l)	12/28/18	J		
65. -Ishares Barclays Treasury Bond Fund (IEF)	A	Interest	J	T	Buy	12/28/18	J		
66. -Lord Abbett Short Duration Income CL F (LDLFX)	A	Int./Div.	J	T	Buy (add'l)	12/28/18	J		
67. -Pimco Income (PONAX)	A	Int./Div.	J	T	Buy (add'l)	12/28/18	J		
68. -Vanguard Health Care ETF (VHT)	A	Dividend	J	T	Buy (add'l)	12/28/18	J		

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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☐ 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				
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69. -Vanguard Mid-Cap Index Fund ETF (VO)	A	Dividend	J	T	Buy (add'l)	12/28/18	J		
70. -Vanguard Value ETF (VTV)	A	Dividend	K	T	Buy (add'l)	12/28/18	K		
71. -Vanguard Small-Cap Index Fund (VB)	A	Dividend	J	T	Buy (add'l)	12/28/18	J		
72. Ameriprise Brokerage									
73. -Cash-Ameriprise Insured Money Market Account (AIMMA)	A	Interest	J	T					
74. -Industrial Property REIT	A	Int./Div.	K	T					
75. -Cary 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. -Pimco Income (PONAX)	A	Int./Div.	J	T	Sold (part)	02/02/18	J	A	
81. -Prudential Short Term Corp Bond CL Z (PIFZX)	A	Int./Div.			Sold	02/02/18	J	A	
82. -Vanguard Emerging Markets Stock Index Fund (VWO)	A	Int./Div.			Sold (part)	02/02/18	J	A	
83. -Vanguard Emerging Markets Stock Index Fund (VWO)	A	Int./Div.			Sold (part)	09/07/18	J	A	
84. -Vanguard Emerging Markets Stock Index Fund (VWO)	A	Int./Div.			Sold	12/28/18	J	A	
85. -Vanguard Mid-Cap Index Fund ETF (VO)	A	Dividend	J	T	Sold (part)	02/02/18	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
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86. -Vanguard Small-Cap Index Fund (VB)	A	Dividend	K	T	Sold (part)	02/02/18	J	A	
87. -Vanguard Total Stock Market (VTI)	A	Dividend	K	T	Sold (part)	02/02/18	J	A	
88. -Lord Abbett Floating Rate (LFRFX)	A	Int./Div.	J	T	Buy (add'l)	02/02/18	J		
89. -Blackrock Strategic Income (BSIIX)	A	Int./Div.	J	T	Buy	02/02/18	J		
90. -MFS Total Return Bond CL Z (MRBIX)	A	Int./Div.	J	T	Buy (add'l)	02/02/18	J		
91. -Lord Abbett Floating Rate (LFRFX)	A	Int./Div.	J	T	Sold (part)	09/07/18	J	A	
92. -Ishares MSCI EAFE ETF (EFA)	A	Int./Div.			Sold (part)	09/07/18	J	A	
93. -Ishares MSCI EAFE ETF (EFA)	A	Int./Div.			Sold	12/28/18	J	A	
94. -MFS Total Return Bond CL Z (MRBIX)	A	Int./Div.			Sold	09/07/18	J	A	
95. -Pimco Income (PONAX)	A	Int./Div.	J	T	Sold (part)	09/07/18	J	A	
96. -Vanguard Mid-Cap ETF (VO)	A	Int./Div.	J	T	Sold (part)	09/07/18	J	B	
97. -Vanguard Total Stock Market (VTI)	A	Dividend	K	T	Sold (part)	09/07/18	J	A	
98. -Blackrock Strategic Income (BSIIX)	A	Int./Div.	J	T	Buy (add'l)	09/07/18	J		
99. -Lord Abbett Short Duration Income CL F (LDLFX)	A	Int./Div.	J	T	Buy	09/07/18	J		
100. -Vanguard Small Cap ETF (VB)	A	Dividend	J	T	Buy (add'l)	09/07/18	J		
101. -Lord Abbett Floating Rate (LFRFX)	A	Int./Div.	J	T	Sold (part)	12/28/18	J	A	
102. -Pimco Income (PONAX)	A	Int./Div.	J	T	Sold (part)	12/28/18	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 P1 = \$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

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Name of Person Reporting

Phillips, Thomas W.

Date of Report

12/19/2019

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 (BSIIX)	A	Int./Div.	J	T	Buy (add'l)	12/28/18	J		
104. -Ishasres Barclays Treasury Bond Fund (IEF)	A	Interest	J	T	Buy	12/28/18	J		
105. -Lord Abbett Short Duration Income CL F (LDLFX)	A	Int./Div.	J	T	Buy	12/28/18	J		
106. -Vanguard Mid-Cap Index Fund ETF (VO)	A	Dividend	J	T	Buy (add'l)	12/28/18	J		
107. -Vanguard Small-Cap Index Fund (VB)	A	Dividend	J	T	Buy (add'l)	12/28/18	J		
108. -Vanguard Total Stock Market (VTI)	A	Dividend	J	T	Buy (add'l)	12/28/18	J		
109. Ameriprise S/PS IRA									
110. -Cash-Dreyfus Government Cash (MMF)	A	Interest	J	T					
111. -(CSCO)-Cisco (CSCO) Common Stock	A	Dividend			Sold	02/02/18	J	B	
112. -Citigroup, Inc. (C) Common Stock	A	Dividend			Sold	02/02/18	J	B	
113. -Ishares S&P Midcap 400 Growth (IJK)	A	Dividend			Sold	02/02/18	K	B	
114. -Ishares Russell Mid Cap (IWS)	A	Dividend			Sold	02/02/18	J	A	
115. -Pimco Income (PONAX)	A	Int./Div.	J	T	Sold (part)	02/02/18	J	A	
116. -Prudential Short Term Corp Bond Cl Z (PIFZX)	A	Int./Div.			Sold (part)	02/02/18	J	A	
117. -Prudential Short Term Corp Bond Cl Z (PIFZX)	A	Int./Div.			Sold	09/07/18	J	A	
118. -Vanguard FTSE All World EX US Small Cap ETF (VSS)	A	Int./Div.			Sold	02/02/18	J	A	
119. -Vanguard Emerging Markets Stock Index Fund (VWO)	A	Int./Div.	J	T	Sold (part)	02/02/18	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

12/19/2019

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. -Vanguard Growth ETF (VUG)	A	Dividend	J	T	Sold (part)	02/02/18	J	B	
121. -Vanguard Balue ETF (VTV)	A	Dividend	K	T	Sold (part)	02/02/18	J	A	
122. -Vanguard Small-Cap Index Fund (VB)	A	Dividend	J	T	Sold (part)	02/02/18	J	A	
123. -Lord Abbett Floating Rate (LFRFX)	A	Int./Div.	J	T	Buy	02/02/18	J		
124. -Apple (AAPL) Common Stock	A	Dividend	J	T	Buy (add'l)	02/02/18	J		
125. -Blackrock Strategic Income (BSIIX)	A	Int./Div.	J	T	Buy (add'l)	02/02/18	J		
126. -Ishares MSCI EAFE Value ETF (EFV)	A	Int./Div.	J	T	Buy (add'l)	02/02/18	J		
127. -Ishares MSCI EAFE Growth ETF (EFG)	A	Int./Div.	J	T	Buy (add'l)	02/02/18	J		
128. -MFS Total Return Bond CL Z (MRBIX)	A	Int./Div.	J	T	Buy (add'l)	02/02/18	J		
129. -Vanguard Financials ETF (VFH)	A	Dividend	J	T	Buy	02/02/18	J		
130. -Vanguard Health Care ETF (VHT)	A	Dividend	J	T	Buy	02/02/18	J		
131. -Vanguard Materials ETF (VAW)	A	Dividend	J	T	Buy	02/02/18	J		
132. -Vanguard Mid-Cap Index Fund ETF (VO)	A	Dividend	K	T	Buy	02/02/18	K		
133. -Lord Abbett Floating Rate (LFRFX)	A	Int./Div.	J	T	Sold (part)	09/07/18	J	A	
134. -Apple (AAPL) Common Stock	A	Dividend			Sold (part)	09/07/18	J	A	
135. -Apple (AAPL) Common Stock	A	Dividend			Sold	12/28/18	J	A	
136. -Ishares MSCI EAFE Value ETF (EFV)	A	Int./Div.			Sold	09/07/18	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.

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12/19/2019

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. -MFS Total Return Bond CL Z (MRBIX)	A	Int./Div.			Sold	09/07/18	J	A	
138. -Pimco Income (PONAX)	A	Int./Div.	J	T	Sold (part)	09/07/18	J	A	
139. -Vanguard Health Care ETF (VHT)	A	Dividend	J	T	Sold (part)	09/07/18	J	A	
140. -Vanguard Mid-Cap Index Fund ETF (VO)	A	Dividend	K	T	Sold (part)	09/07/18	J	A	
141. -Vanguard Value ETF (VTV)	A	Dividend	K	T	Sold (part)	09/07/18	J	A	
142. -Blackrock Strategic Income (BSIIX)	A	Int./Div.	J	T	Buy (add'l)	09/07/18	J		
143. -Ishares MSCI EAFE Growth ETF (EFG)	A	Int./Div.	J	T	Buy	09/07/18	J		
144. -Lord Abbett Short Duration Income CL F (LDLFX)	A	Int./Div.	J	T	Buy	09/07/18	J		
145. -Vanguard Financials ETF (VFH)	A	Dividend	J	T	Buy (add'l)	09/07/18	J		
146. -Vanguard Materials ETF (VAW)	A	Dividend	J	T	Buy (add'l)	09/07/18	J		
147. -Vanguard Emerging Markets Stock Index Fund (VWO)	A	Int./Div.	J	T	Buy (add'l)	09/07/18	J		
148. -Vanguard Growth ETF (VUG)	A	Dividend	J	T	Buy (add'l)	09/07/18	J		
149. -Vanguard Small-Cap Index Fund (VB)	A	Dividend	J	T	Buy (add'l)	09/07/18	J		
150. -Pimco Income (PONAX)	A	Dividend	J	T	Sold (part)	10/09/18	J	A	
151. -Vanguard Emerging Markets Stock Index Fund (VWO)	A	Dividend	J	T	Sold (part)	10/09/18	J	A	
152. -Lord Abbett Floating Rate (LFRFX)	A	Int./Div.	J	T	Sold (part)	12/28/18	J	A	
153. -Ishares MSCI EAFE Growth ETF (EFG)	A	Int./Div.	J	T	Sold (part)	12/28/18	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.

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12/19/2019

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. -Vanguard Financials ETF (VFH)	A	Dividend			Sold	12/28/18	J	A	
155. -Vanguard Materials ETF (VAW)	A	Dividend			Sold	12/28/18	J	A	
156. -Vanguard Emerging Markets Stock Index Fund (VWO)	A	Int./Div.	J	T	Sold (part)	12/28/18	J	A	
157. -Vanguard Growth ETF (VUG)	A	Dividend	J	T	Sold (part)	12/28/18	J	A	
158. -Blackrock Strategic Income (BSIIX)	A	Int./Div.	J	T	Buy (add'l)	12/28/18	J		
159. -Ishares Barclays Treasury Bond Fund (IEF)	A	Interest	J	T	Buy	12/28/18	J		
160. -Lord Abbett Short Duration Income CL F (LDLFX)	A	Int./Div.	J	T	Buy (add'l)	12/28/18	J		
161. -Pimco Income (PONAX)	A	Int./Div.	J	T	Buy (add'l)	12/28/18	J		
162. -Vanguard Health Care ETF (VHT)	A	Dividend	J	T	Buy (add'l)	12/28/18	J		
163. -Vanguard Mid-Cap Index Fund ETF (VO)	A	Dividend	J	T	Buy (add'l)	12/28/18	J		
164. -Vanguard Value ETF (VTV)	A	Dividend	J	T	Buy (add'l)	12/28/18	J		
165. -Vanguard Small-Cap Index Fund (VB)	A	Dividend	J	T	Buy (add'l)	12/28/18	J		
166.									
167.									

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 P1 = \$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	Date of Report
Phillips, Thomas W.	12/19/2019

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

On line 112 of the 2018 report, it should have been sold all of Vanguard Mid-Cap ETF (VO)

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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
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One Columbus Circle, N.E.
Washington, D.C. 20544