

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) Varlan, Thomas A.	2. Court or Organization U.S. District Court, E. Tenn.	3. Date of Report 05/04/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. District Judge - Active	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 U. S. District Court 800 Market Street 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Advisory Board	University of Tennessee, Department of Political Science
2. Successor Trustee	Alexander Varlan Revocable Living Trust sold the residential rental property on June 1, 2018.
3. Member	Judicial Resources Committee of the Judicial Conference
4. Associate Board	University of Tennessee, College of Arts and Sciences
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.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Varlan, Thomas A.

Date of Report

05/04/2019

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. 2018

East Tennessee Children's Hospital - 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.

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Varlan, Thomas A.

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05/04/2019

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.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Varlan, Thomas A.

Date of Report

05/04/2019

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)
1. Regions Bank Accounts	B	Interest	K	T					
2. Ameriprise Insured Money Market	A	Int./Div.	J	T					
3. Coca Cola Common Stock	C	Dividend	M	T	Donated (part)				
4. Blackrock Strategic Income Opptys Cl A	A	Dividend	K	T	Sold (part)	07/19/18	J		
5. Prudential Short Term Corp. Bond Cl. A	A	Dividend			Sold	07/19/18	J	A	
6. Columbia AMT-Free Intl. Mun Bond Cl A	A	Dividend	J	T					
7. Columbia Strategic Income Fund Cl A	A	Dividend			Sold	07/19/18	J	A	
8. Columbia Floating Rate Instl CL	A	Dividend	J	T	Buy	07/19/18	J		
9. Goldman Sachs Small Mid Cap Growth Investor CL	A	Dividend	J	T	Buy	07/19/18	J		
10. Wells Fargo Special Mid Cap Value Cl A	A	Dividend			Sold	07/19/18	J	A	
11. Vanguard Total Stock Market ETF	A	Dividend	J	T					
12. Ivy Intl Core Equity Cl I	A	Dividend	J	T					
13. Lord Abbett Short Duration Income Cl L	A	Dividend	J	T	Sold (part)	05/07/18	L	A	
14. Lord Abbett Short Duration Income CL	A	Dividend	J	T	Buy (add'l)	07/19/18	J		
15. PGIM Short Term Corp Bond CLZ	A	Dividend	J	T	Buy	07/19/18	J		
16. Strategic Portfolio Service Advantage IRA - I	B	Dividend	K	T					
17. - Dreyfus Govt Cash Mgt Admin Class	A	Dividend	J	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	
	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		

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

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Varlan, Thomas A.

Date of Report

05/04/2019

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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				
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18. -Blackrock Strategic Income Opptys Cl A	A	Dividend	J	T					
19. Multi Mgr Value Strategies Cl A	A	Dividend	J	T	Buy	07/19/18	J		
20. - Active Portfolio Multi Manager Small Cap Equity Cl A	A	Dividend	J	T					
21. - Active Portfolio Multi Manager Total Return Bond Cl A	A	Dividend	J	T					
22. - Active Portfolio Multi Manager Growth Cl A	A	Dividend	J	T					
23. - Active Portfolio Multi Manager Directional Alt Cl A	A	Dividend			Sold	02/16/18	J	A	
24. MultiMgr Intl Equity Strategies Inst CL	A	Dividend	J	T	Buy	07/19/18	J		
25. - MFS Intl Value Cl A	A	Dividend	J	T					
26. - MFS Value Cl A	A	Dividend	J	T					
27. - Oppenheimer Intl Growth Cl A	A	Dividend			Sold	05/22/18	J	A	
28. - Prudential Jennison Mid Cap Growth Cl A	A	Dividend			Sold	02/16/18	J	A	
29. PGIM Jennison Mid Cap rowth CL Z	A	Dividend	J	T	Buy	05/22/18	J		
30. - Wells Fargo Emerging Markets Equity Cl A	A	Dividend			Sold	02/16/18	J	A	
31. Wells Fargo Emerging Markets Equity Cl A	A	Dividend	J	T	Buy	05/18/18	J		
32. - Wells Fargo Special Mid Cap Value Cl A	A	Dividend	J	T					
33. -Delaware U S Grown Instl Cl	A	Dividend	J	T					
34. -Ishares MSCI EAFE Value ETF	A	Dividend			Sold	05/22/18	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

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Varlan, Thomas A.

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35. Strategic Advantage Service Portfolio IRA - 2	A	Dividend	K	T					
36. - Dreyfuss Govt. Cash Mgt Admin Class	A	Int./Div.	J	T					
37. - Blackrock Strategic income Opptys Cl A	A	Dividend	J	T	Buy (add'l)	02/16/18	J		
38. - Active Portfolio Multi Manager Small Cap Equity Cl A	A	Dividend	J	T					
39. Multimanager Total Return Bond Strategies CL A	A	Dividend	J	T					
40. Multimanager Value Strategies CL Z	A	Dividend	J	T					
41. Multimanager Instl Equity Strategies Instl Cl	A	Dividend	J	T	Buy	05/22/18	J		
42. - Active Portfolio Multi Manager Total Return Bond Cl A	A	Dividend			Sold	02/16/18	J	A	
43. - Active Portfolio Multi Manager Directional Alt Cl A	A	Dividend			Sold	02/16/18	J	A	
44. - MFS Intl Value Cl A	A	Dividend	J	T					
45. - MFS Value Cl A	A	Dividend	J	T					
46. - Oppenheimer Intl Growth Cl A	A	Dividend			Sold	05/22/18	J	A	
47. - Prudential Jennison Mid Cap Growth Cl A	A	Dividend			Sold	05/22/18	J	A	
48. - Wells Fargo Emerging Markets Equity Cl A	A	Dividend	J	T					
49. - Wells Fargo Special Mid Cap Value Cl A	A	Dividend	J	T					
50. -Delaware U S Growth Instl Cl	A	Dividend	J	T					
51. -Multi Manager Growth Strategies Cl Z	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

Varlan, Thomas A.

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52. [REDACTED] Revocable Living Trust (X) (See Part VIII)-Knox Co,TN	A	Rent			Sold	06/01/18	M	A	
53.									

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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FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Varlan, Thomas A.

Date of Report

05/04/2019

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

The residential dwelling located in Knox County, Tennessee and held by the [REDACTED] Trust was sold on June 1, 2018.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Varlan, Thomas A.

Date of Report

05/04/2019

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 A. Varlan**

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