

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) PHAM, TU M.	2. Court or Organization US DISTRICT COURT WD TENNESSEE	3. Date of Report 07/31/2019
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 01/01/2018 to 12/31/2018
7. Chambers or Office Address 167 N MAIN STREET 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 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. 2018

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.		
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 RETIREMENT 2035 ADV (PARKX)		None			Sold	01/24/18	M		
4.					Buy	07/27/18	M		
5.					Sold	08/29/18	M		
6. T ROWE RETIREMENT 2050 ADV (PARFX)	D	Dividend	M	T	Buy	01/24/18	M		
7.					Sold (part)	03/12/18	M		
8.					Sold (part)	06/21/18	J		
9.					Buy (add'l)	08/29/18	M		
10. T ROWE RETIREMENT 2030 ADV (PARCX)		None			Buy	03/12/18	M		
11.					Buy (add'l)	06/21/18	J		
12.					Sold	07/27/18	M		
13. 403(B) ACCOUNT #2 (H)									
14. DODGE & COX GLOBAL D FD (DODLX)	A	Dividend	J	T					
15. GQG PARTNERS EMRG MKTS EQTY FD INV (GQGPX)	A	Dividend	J	T	Buy (add'l)	01/30/18	J		
16.					Sold (part)	07/25/18	J		
17. MAIRS & POWER GROWTH (MPGFX)		None			Sold	01/29/18	J	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 \$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.)

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18. MAIRS & POWERS SM CAP (MSCFX)	A	Dividend	J	T					
19. OAKMARK INTL FD CLASS (OAKIX)	B	Dividend	K	T	Buy (add'l)	07/26/18	J		
20. PRIMECAP ODYSSEY AGGR GROWTH (POAGX)	B	Dividend	K	T	Buy (add'l)	07/26/18	J		
21. SCHWAB FUNDAMENTAL GLBL REAL ESTATE INDEX FD (SFREX)	A	Dividend	J	T					
22. VANGUARD HEALTH CARE FD INV (VGHGX)	A	Dividend	J	T					
23. VANGUARD HIGH DIV YIELD INDEX (VHDYX)	A	Dividend			Sold	07/26/18	J	B	
24. VANGUARD SMALL CAP VALUE (VISVX)	A	Dividend	J	T	Buy	07/27/18	J		
25. 401K ACCOUNT (H)									
26. VANGUARD BROKERAGE SWEEP ACCOUNT		None	L	T	Open	09/30/18	L		
27. DODGE & COX STOCK (X)		None			Sold	03/31/18	J	A	
28. VANGUARD PRIMECAP FUND ADMIRAL (VPMAX)	A	Dividend	J	T	Buy	09/30/18	J		
29. TEMPLETON FOREIGN FUND CLASS R6 (FTFGX)		None			Buy (add'l)	03/31/18	J		
30.					Sold	09/30/18	K	A	
31. VANGUARD CAPITAL OPPORTUNITY FD ADM (VHCAX)		None			Sold	09/30/18	J	A	
32. VANGUARD HEALTH CARE FUND (VGHGX)	A	Dividend			Sold	09/30/18	J		
33. VANGUARD REIT IDX FD (VGSIX)		None			Sold (part)	03/31/18	J		
34.					Sold	09/30/18	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 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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35. VANGUARD EMERGING MKTS STK IX (VEIEX)	A	Dividend			Buy (add'l)	03/31/18	J		
36.					Sold	09/30/18	J	A	
37. VANGUARD SMALL CAP INDEX FD INST (VSCIX)		None			Sold (part)	03/31/18	J	A	
38.					Sold	09/30/18	J	A	
39. IRA #1 (H)									
40. SCHWAB US DIVIDEND EQUITY ETF (SCHD)	A	Dividend	K	T					
41. MAIRS AND POWER SM CAP FD (MSCFX)	A	Dividend	J	T					
42. SCHWAB FUNDAMENTAL GBL REAL ESTATE (SFREX)	A	Dividend	J	T	Buy	01/26/18	J		
43. T ROWE PRICE REAL ASSETS FD INV (PRAFX)		None			Sold	01/26/18	J		
44. FIRST EAGLE GLOBAL FUND (SGENX)	A	Dividend	J	T					
45. VANGUARD HEALTH CARE FUND (VGHGX)	B	Dividend	K	T					
46. BROKERAGE #1 (H)									
47. SCHWAB BANK DEPOSIT ACCOUNT (cash)	A	Interest	K	T					
48. EATON VNCE MGD GBL BUY (FORMERLY ETW) (ETW)	B	Dividend	J	T					
49. EOG RESOURCES INC (FORMERLY EOG COMMON STOCK) (EOG)	A	Dividend	J	T					
50. EBAY COMMON STOCK (EBAY)		None			Sold	01/17/18	J		
51. PYPL COMMON STOCK		None	K	T					

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52. ISHARES MSCI EAFE ETF (EFA)	A	Dividend	J	T					
53. SPDR S&P 400 MID CAP (MDYV)	A	Dividend	J	T					
54. VANGUARD S/T INVESTMENT (VFSTX)	A	Dividend	K	T					
55. EAGLE MLP STRATEGY FD 1 (EGLIX)	B	Dividend	J	T					
56. ISHARES GLOBAL UTILITIES ETF (FORMERLY JXI) (JXI)		None			Sold (part)	01/04/18	J		
57.					Sold	01/05/18	J		
58. MAIRS AND POWER SM CAP (MSCFX)	A	Dividend	J	T					
59. SCHWAB SMALL CAP INDEX (SWSSX)	B	Dividend	J	T					
60. BROKERAGE #2 (H)									
61. SCHWAB BANK SWEEP ACCOUNT (cash)	A	Interest	J	T					
62. ISHARES MSCI JAPAN (EWJ)	A	Dividend	J	T	Buy	01/25/18	J		
63. PRIMECAP ODYSSEY AGGR (POAGX)	A	Dividend	J	T	Buy	01/24/18	J		
64. IRA #2 (H)									
65. JPMORGAN MID CAP VALUE (FLMVX)	B	Dividend	J	T					
66. MAIRS & POWER GROWTH FUND (MPGFX)	A	Dividend			Sold	07/27/18	J	A	
67. MAIRS & POWER SM CAP (MSCFX)	A	Dividend	J	T	Buy	07/27/18	J		
68. OAKMARK INTL FD INV (OAKIX)	A	Dividend	J	T					

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69. OPPENHEIMER DEVELOPING MARKETS (ODMAX)	A	Dividend	J	T					
70. PRIMECAP ODYSSEY AGGRESSIVE (POAGX)	B	Dividend	K	T					
71. EDUCATIONAL ACCOUNT #1 (H)									
72. MAIRS & POWER GROWTH FUND (MPGFX)	A	Dividend	J	T					
73. PRIMECAP ODYSSEY AGGRESSIVE GROWTH FUND (POAGX)	A	Dividend	J	T					
74. EDUCATIONAL ACCOUNT #2 (H)									
75. MAIRS & POWER GROWTH FUND (MPGFX)	A	Dividend	J	T					
76. PRIMECAP ODYSSEY AGGRESSIVE GROWTH FUND (POAGX)	A	Dividend	J	T					
77. 529 COLLEGE SAVINGS #1(H)									
78. TN FIRST TENNESSEE INTEREST BEARING ACCT (CASH)	A	Int./Div.	K	T	Buy	02/23/18	J		
79. TN DFA LARGE CAP INTERNATIONAL (DFALX)		None			Buy (add'l)	02/23/18	J		
80.					Sold	09/04/18	J		
81. TN PRIMECAP ODYSSEY AGGR GROWTH (POAGX)		None	J	T	Buy (add'l)	02/23/18	J		
82.					Sold (part)	09/04/18	J		
83. TN VANGUARD WELLINGTON ADM (VWENX)		None	J	T	Buy (add'l)	02/23/18	J		
84. TN VANGUARD TOTAL BOND MARKET INST (VBTIX)		None			Sold	02/23/18	K		
85. 529 COLLEGE SAVINGS #2 (H)									

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. TN FIRST TENNESSEE INTEREST BEARING ACCT (CASH)	A	Int./Div.	J	T	Buy	02/23/18	J		
87. TN DFA LARGE CAP INTERNATIONAL (DFALX)		None	J	T	Buy (add'l)	02/23/18	J		
88. TN PRIMECAP ODYSSEY AGGR GROWTH (POAGX)		None	J	T	Buy (add'l)	02/23/18	J		
89. TN VANGUARD WELLINGTON ADM (VWENX)		None	J	T	Buy (add'l)	02/23/18	J		
90. TN VANGUARD TOTAL BOND MARKET INST (VBTIX)		None			Sold	02/23/18	K		
91. 529 COLLEGE SAVINGS #3 (H)									
92. TN FIRST TENNESSEE INTEREST BEARING ACCT (CASH)	A	Int./Div.	J	T	Buy	02/23/18	J		
93. PRIMECAP ODYSSEY AGGRESSIVE GROWTH (POAGX)		None	J	T					
94. DFA LARGE CAP INTERNATIONAL (DFALX)		None	J	T					
95. VANGUARD WELLINGTON ADM (VWENX)		None	J	T					
96. TN VANGUARD TOTAL BOND MARKET INST (VBTIX)		None			Sold	02/23/18	J		
97. BROKERAGE #3 (H)									
98. PRIMECAP ODYSSEY AGGRESSIVE GROWTH (POAGX)	B	Dividend	K	T	Buy	07/25/18	L		
99.					Sold (part)	08/20/18	K	A	
100. T ROWE PRICE HEALTH SCIENDES (PRHSX)	B	Dividend	K	T	Buy	08/20/18	K		
101. OTHER HOLDINGS (H)									
102. VASCULAR TECHNOLOGIES INC		None	L	V					

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

Part VII, line 3: Ticker symbol change only; see 2017, line 4.

Part VII, lines 26-38: Transaction dates are the closing dates for the corresponding quarterly statements, as more specific information is not available from the 401(k) plan manager.

Part VII, line 102: Valuation of this asset is based upon the amount of the initial investment.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

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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