

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2009

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 05/01/2010
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 01/01/2009 to 12/31/2009
7. Chambers or Office Address 800 Market Street Suite 145 Knoxville, TN 37902	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

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. _____	_____
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. _____	_____
2. _____	_____
3. _____	_____

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Phillips, Thomas W.

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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. 2009	ONEIDA INDEPENDENT SCHOOL SYSTEM (RETIRED TEACHER) 0.00
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.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1. ATTEND ANNUAL REVIEW SEMINAR W/O CHARGE	TENNESSEE LAW INSTITUTE	\$400.0
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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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)
1. CD-1ST NATL BANK, ONEIDA, TN	A	Interest	J	T	Redeemed (part)	01/16/09	J	A	
2. CD-1ST NATL BANK, ONEIDA, TN	B	Interest	K	T	Redeemed (part)	04/20/09	K	B	
3. AMERIPRISE BROCKERAGE ACCOUNT (CASH EQUIVALENT)	A	Interest	J	T					
4. CBRL GROUP, INC.	A	Dividend	J	T					
5. AMEX TRUST CO. - IRA	D	Int./Div.	N	T					
6. --FIDELITY ADVISOR STRATEGIC INCOME T	B	Dividend			Sold	11/04/09	M		
7. --RIVERSOURCE MID CAP VALUE A	B	Dividend			Sold	11/04/09	K	A	
8. --FIDELITY ADVISOR NEW INSIGHTS T	A	Dividend			Sold	11/04/09	K	A	
9. --RIVERSOURCE INTL SELECT VALUE A	A	Dividend			Sold	11/04/09	J	A	
10. --AMERICAN CENTURY EQUITY INCOME A	B	Dividend			Sold	11/04/09	K	B	
11. --AMERICAN CENTURY LONG-SHORTEQUITY A	B	Dividend			Sold	11/04/09	K	A	
12. --RIVERSOURCE DIVERSIFIED EQUITY INC A	A	Dividend			Sold	11/04/09	J		
13. --LOOMIS STRAT INCOME	A	Dividend			Sold	11/04/09	J		
14. --AMERIPRISE INS MONEY MARKET	A	Interest	J	T					
15. --OAKMARK EQ & INCOME - I OAKMARK FUNDS	B	Dividend	K	T	Buy	11/04/09	K		
16. --ISHARES BARCLAYS AGGREGATE BD FUND	B	Dividend	L	T	Buy	11/04/09	L		
17. --ISHARES MSCI EMERGING MARKETS INDEX	A	Dividend	J	T	Buy	11/04/09	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 I12 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

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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)
18. --ISHARES S&P 500 GROWTH INDEX FUNDS	B	Dividend	K	T	Buy	11/04/09	K		
19. --ISHARES MSCI EAFE INDEX FUND	A	Dividend	K	T	Buy	11/04/09	K		
20. --ISHARES RUSSELL 1000 VALUE INDEX FUND	B	Dividend	K	T	Buy	11/04/09	K		
21. --ISHARES IBOXX HIGH YIELD CORPORATE BOND FUND	B	Dividend	K	T	Buy	11/04/09	K		
22. --ISHARES LEHMAN 1-3 YEAR CREDIT BOND FUND	A	Dividend	K	T	Buy	11/04/09	K		
23. --ISHARES LEHMAN 3-7 YEAR TREASURY BOND FUND	A	Dividend	K	T	Buy	11/04/09	K		
24. --SPDR DJ WILSHIRE MID CAP VALUE ETF	A	Dividend	K	T	Buy	11/04/09	K		
25. --VANGUARD MID-CAP GROWTH INDEX FUND	B	Dividend	K	T	Buy	11/04/09	K		
26. AMEX - TRUST CO. IRA	C	Int./Div.	N	T					
27. --AMERICAN CENTURY EQUITY INCOME A	A	Dividend			Sold	11/04/09	K	A	
28. --FIDELITY ADVISOR NEW INSIGHTS T	A	Dividend			Sold	11/04/09	K	A	
29. --AMERICAN CENTURY LONG-SHORT EQUITY A	A	Dividend			Sold	11/04/09	J	A	
30. --RIVERSOURCE INTL SELECT VAULE A	A	Dividend			Sold	11/04/09	J	A	
31. --FIDELITY ADVISOR STRATEGIC INCOME T	A	Dividend			Sold	11/04/09	K		
32. --RIVERSOURCE INTL SELECT VALUE A	A	Dividend			Sold	11/04/09	K	A	
33. --RAINIER SMALL/MID CAP EQUITY	A	Dividend			Sold	11/04/09	K		
34. --RIVERSOURCE DIVERSIFIED EQUITY INC A	A	Dividend			Sold	11/04/09	K		

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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	(1) Amount Code 1 (A-I)	(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. --SELECTED AMERICAN SHARES S	A	Dividend			Sold	11/04/09	J	A	
36. --RAINIER SMALL/MID CAP EQUITY	A	Dividend			Sold	11/04/09	J		
37. --FIDELITY ADVISOR DIVERSIFIED INTL T	A	Dividend			Sold	11/04/09	K	A	
38. --FIDELITY ADVISOR NEW INSIGHTS T	A	Dividend			Sold	11/04/09	J	A	
39. --AMERIPRISE INS MONEY MARKET	A	Interest	J	T					
40. --ISHARES BARCLAYS AGGREGATE BD FUND	B	Dividend	K	T	Buy	11/04/09	K		
41. --ISHARES MSCI EMERGING MARKETS INDEX	A	Dividend	J	T	Buy	11/04/09	K		
42. --ISHARES S&P 500 GROWTH INDEX FUND	A	Dividend	J	T	Buy	11/04/09	J		
43. --ISHARES MSCI EAFE INDEX FUND	A	Dividend	J	T	Buy	11/04/09	J		
44. --ISHARES RUSSELL 1000 VALUE	A	Dividend	J	T	Buy	11/04/09	J		
45. --ISHARES IBOXX HIGH YIELD	A	Dividend	J	T	Buy	11/04/09	J		
46. --ISHARES LEHMAN 1-3 YEAR CREDIT BOND FUND	A	Dividend	J	T	Buy	11/04/09	J		
47. --ISHARES LEHMAN 3-7 YEAR TREASURY BOND FUND	A	Dividend	J	T	Buy	11/04/09	J		
48. --SPDR DJ WILSHIRE MID CAP VALUE ETF	A	Dividend	J	T	Buy	11/04/09	J		
49. --VANGUARD MID-CAP GROWTH INDEX FUND	A	Dividend	J	T	Buy	11/04/09	J		
50. FIDELITY ADVISOR STRATEGIC INCOME T	A	Dividend	J	T					
51. FBR PEGASUS INV	A	Dividend			Sold	11/04/09	K	A	

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3. Value Method Codes (See Column C2)					

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52. RVS STRAT INC ALLOC - A RIVERSOURCE MUTUAL FUNDS	B	Dividend	L	T	Buy	11/04/09	L		
53. ISHARES BARCLAYS AGGREGATE BD FUND	B	Dividend	K	T	Buy	11/04/09	K		
54. ISHARES MSCI EMERGING MARKETS INDEX	A	Dividend	J	T	Buy	11/04/09	J		
55. ISHARES S&P 500 GROWTH INDEX FUND	A	Dividend	K	T	Buy	11/04/09	K		
56. ISHARES MSCI EAFE INDEX FUND	A	Dividend	J	T	Buy	11/04/09	J		
57. ISHARES RUSSELL 1000 VALUE	A	Dividend	K	T	Buy	11/04/09	K		
58. ISHARES IBOXX HIGH YIELD CORPORATE BOND FUND	A	Dividend	J	T	Buy	11/04/09	J		
59. ISHARES LEHMAN 1-3 YEAR CREDIT BOND FUND	A	Dividend	J	T	Buy	11/04/09	J		
60. ISHARES LEHMAN 3-7 YEAR TREASURY BOND FUND	A	Dividend	J	T	Buy	11/04/09	J		
61. SPDR DJ WILSHIRE MID CAP VALUE ETF	A	Dividend	J	T	Buy	11/04/09	J		
62. VANGUARD MID-CAP GROWTH INDEX FUND	A	Dividend	J	T	Buy	11/04/09	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 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	D = \$5,001 - \$15,000 I12 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

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

Did not teach in 2009.

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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



5/01/10

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544