AO 10
Rev. 1/2017

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2016

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)	2. Court or Organization	3. Date of Report
Phillips, Gregory A.	United States Court of Appeals for the Tenth Circuit	08/24/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
United States Circuit Court Judge, Active	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	01/01/2016 **to** 12/31/2016
7. Chambers or Office Address		
2120 Capitol Avenue O'Mahoney Federal Building, Room 2603 Cheyenne, Wyoming 82001		

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.		
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.		

Name of Person Reporting	Date of Report
Phillips, Gregory A.	08/24/2017

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.	2016	Laramie County School District #1--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.					

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.			

Name of Person Reporting	Date of Report
Phillips, Gregory A.	08/24/2017

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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
1.	Dreyfus Research Growth Fd, Cl C DWOCX		None			Sold	07/12/16	J	A	
2.	First Eagle Global Inc Fd, Cl A SGENX		None	J	T					
3.	Ivy Fds Inc Asset Strategy Fd, Cl A WASAX		None			Sold	07/12/16	J	A	
4.	Blackrock Global Allocation Cl A MDLOX	A	Dividend			Sold	07/12/16	J	A	
5.	Franklin U.S. Government Money 529 Portfolio - Class C		None	M	T					
6.	LifePath Index 2025 Fund	C	Interest	L	T					
7.	Wyoming Retirement System-Pension	A	Interest	K	T					
8.	Bank of the West Cash Accounts	A	Interest	K	T					
9.	Wells Fargo 7734 Cash Sweep Account		None	J	T					
10.	Wells Fargo 9571 Cash Sweep Account		None	J	T					
11.	First Trust Dorsey ET Wright Focus Five Fund	A	Dividend			Sold	07/12/16	J	A	
12.	First Trust Large Cap Growth Opportunities Alphadex Fund	A	Dividend			Sold	07/12/16	K	B	
13.	Wells Fargo 5915 Cash Sweep Account	A	Interest	J	T					
14.	First Trust Hlth Care ETF Alphadex Fund FXH		None			Sold	08/17/16	J		
15.	First Trust Consumer ETF Staples Alphadex Fund FXG	A	Dividend			Sold	08/17/16	J		
16.	First Trust Large ETF Cap Core Alphadex Fund FEX	A	Dividend			Sold	08/17/16	J		
17.	First Trust Large ETF Cap Growth Opportunities Alphadex Fund FTC	A	Dividend			Sold	08/17/16	J		

1. Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Phillips, Gregory A.	08/24/2017

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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
18. First Trust Mid Cap ETF Core Alphadex Fund FNX	A	Dividend			Sold	08/17/16	J		
19. First Trust Technology ETF Alphadex Fund FXL	A	Dividend			Sold	08/17/16	J		
20. Franklin Custodian Fds Income Ser Adv Cl AD FRIAX	A	Dividend			Sold	08/17/16	J		
21. Steelpath MLP Fds TR Oppenheimer MLPZX	A	Dividend			Sold	08/17/16	J		
22. Wells Fargo 2862 Cash Sweep Account	A	Interest	J	T					
23. First Trust Hlth Care ETF Alphadex Fund FXH		None			Sold	08/17/16	J		
24. First Trust Consumer ETF Staples Alphadex Fund FXG	A	Dividend			Sold	08/17/16	J		
25. First Trust Large ETF Cap Core Alphadex Fund FEX	A	Dividend			Sold	08/17/16	K		
26. First Trust Large ETF Cap Growth Opportunities Alphadex Fund FTC	A	Dividend			Sold	08/17/16	J		
27. First Trust Technology ETF Alphadex Fund FXL	A	Dividend			Sold	08/17/16	J		
28. First Trust VI ETF Multi-Asset Diversified Income Index Fd MDIV	A	Dividend			Sold	08/17/16	J		
29. Federated Equity Kaufman Large Cap Fd KLCIX		None			Sold	08/17/16	J		
30. Franklin Custodian Fds Income Ser Adv Cl AD FRIAX	A	Dividend			Sold	08/17/16	J		
31. Virtus Opportunities Trust Real Estate Fd Class I PHRIX	A	Dividend			Sold	08/17/16	J		
32. Steelpath MLP Fds TR Oppenheimer MLPZX	A	Dividend			Sold	08/17/16	J		
33. Allianz Life Index Adv Var Annuity - IDX Perf Strat Using S&P 500 I	B	Interest	L	T	Buy	08/24/16	L		
34. Allianz Life Index Adv Var Annuity - IDX Perf Strat Using S&P 500 I	C	Interest	M	T	Buy	08/24/16	L		

1. Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Phillips, Gregory A.	08/24/2017

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

1) Various symbols and fund names have been updated to reflect the current information provided by the brokers. No sale or trade is implied by the symbol or name changes.

2) Lines 33-54 of the prior report have been omitted from Part VII of the current report as these assets were sold in the prior year.

Name of Person Reporting	Date of Report
Phillips, Gregory A.	08/24/2017

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