

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 07/07/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
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. _____	_____
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.)*

<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. 2019	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.)*

<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.)

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.		

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. INDIVIDUAL ASSETS (H)									
2. FED TRUST FEDERAL BUILDING FEDERAL CREDIT UNION (cash)	A	Interest	J	T					
3. VASCULAR TECHNOLOGIES INC		None	L	V					
4. 403(B) ACCOUNT #1 (H)									
5. T ROWE RETIREMENT 2050 ADV (PARFX)	D	Dividend	M	T					
6. 403(B) ACCOUNT #2 (H)									
7. DODGE & COX GLOBAL D FD (DODLX)	A	Dividend	J	T					
8. GQG PARTNERS EMRG MKTS EQTY FD INV (GQGPX)	A	Dividend	J	T					
9. MAIRS & POWERS SM CAP (MSCFX)	A	Dividend	J	T					
10. OAKMARK INTL FD CLASS (OAKIX)	A	Dividend	K	T					
11. PRIMECAP ODYSSEY AGGR GROWTH (POAGX)	B	Dividend	K	T					
12. SCHWAB FUNDAMENTAL GLBL REAL ESTATE INDEX FD (SFREX)	A	Dividend	J	T					
13. VANGUARD HEALTH CARE FD INV (VGHCX)	B	Dividend	J	T					
14. VANGUARD SMALL CAP VALUE INDEX ADM (VSIAX)	A	Dividend	J	T					
15. 401K ACCOUNT (H)									
16. VANGUARD BROKERAGE SWEEP ACCOUNT (cash) (Y)									
17. VANGUARD PRIMECAP FUND ADMIRAL (VPMAX)	A	Dividend	J	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

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

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. IRA #1 (H)									
19. SCHWAB US DIVIDEND EQUITY ETF (SCHD)	A	Dividend	K	T					
20. FIRST EAGLE OVERSEAS FUND CL A (SGOVX)	A	Dividend	K	T	Buy	01/18/19	J		
21. MAIRS AND POWER SM CAP FD (MSCFX)	A	Dividend	J	T					
22. SCHWAB FUNDAMENTAL GLBL REAL ESTATE (SFREX)	A	Dividend	J	T					
23. FIRST EAGLE GLOBAL FUND (SGENX)		None			Sold	01/18/19	K		
24. VANGUARD HEALTH CARE FUND (VGHCX)	B	Dividend	K	T					
25. BROKERAGE #1 (H)									
26. SCHWAB BANK DEPOSIT ACCOUNT (cash)	A	Interest	J	T					
27. EATON VNCE MGD GLBL BUY (ETW)	A	Dividend	J	T					
28. EOG RESOURCES INC (EOG)	A	Dividend	J	T					
29. PYPL COMMON STOCK (PYPL)		None	K	T					
30. ISHARES MSCI EAFE ETF (EFA)	A	Dividend	J	T					
31. SPDR GOLD SHARES ETF NV (GLD)		None	J	T	Buy	08/14/19	J		
32. SPDR S&P 400 MID CAP (MDYV)	A	Dividend	K	T					
33. VANGUARD S/T INVESTMENT (VFSTX)	A	Dividend	K	T					
34. EAGLE MLP STRATEGY FD 1 (EGLIX)	A	Dividend			Sold (part)	06/26/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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B =\$1,001 - \$2,500

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K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

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W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

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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.)

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35.					Sold	11/05/19	J		
36. FIRST EAGLE OVERSEAS FUND CL A (SGOVX)	A	Dividend	J	T	Buy	01/18/19	J		
37.					Buy (add'l)	06/26/19	J		
38. MAIRS AND POWER SM CAP (MSCFX)	A	Dividend	J	T					
39. SCHWAB SMALL CAP INDEX (SWSSX)	A	Dividend	K	T					
40. BROKERAGE #2 (H)									
41. SCHWAB BANK SWEEP ACCOUNT (cash)	A	Interest	J	T					
42. ISHARES MSCI JAPAN (EWJ)	A	Dividend	J	T					
43. PRIMECAP ODYSSEY AGGR (POAGX)	A	Dividend	J	T					
44. IRA #2 (H)									
45. INVESCO OPPENHEIMER DEVELOPING MARKETS (ODMAX) (FORMERLY OPPENHEIMER)	A	Dividend	K	T					
46. JPMORGAN MID CAP VALUE (FLMVX)	A	Dividend	K	T					
47. MAIRS & POWER SM CAP (MSCFX)	A	Dividend	J	T					
48. OAKMARK INTL FD INV (OAKIX)	A	Dividend	K	T					
49. PRIMECAP ODYSSEY AGGRESSIVE (POAGX)	B	Dividend	K	T					
50. EDUCATIONAL ACCOUNT #1 (H)									

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

A =\$1,000 or less
F =\$50,001 - \$100,000
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Q =Appraisal
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V =Other

C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000
L =\$50,001 - \$100,000
P1 =\$1,000,001 - \$5,000,000
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S =Assessment
W =Estimated

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P2 =\$5,000,001 - \$25,000,000
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Name of Person Reporting

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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.)

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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				
	(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)
51. MAIRS & POWER GROWTH FUND (MPGFX)	A	Dividend	J	T					
52. PRIMECAP ODYSSEY AGGRESSIVE GROWTH FUND (POAGX)	A	Dividend	J	T					
53. EDUCATIONAL ACCOUNT #2 (H)									
54. MAIRS & POWER GROWTH FUND (MPGFX)	A	Dividend	J	T					
55. PRIMECAP ODYSSEY AGGRESSIVE GROWTH FUND (POAGX)	A	Dividend	J	T					
56. TNSTARS 529 COLLEGE SAVINGS #1(H)									
57. TN AGGRESSIVE GROWTH FUND (POAGX)		None	J	T					
58. TN VANGUARD WELLINGTON ADM		None			Sold	08/16/19	J		
59. TN BALANCED FUND		None	K	T	Buy	08/16/19	J		
60. TN INTEREST BEARING ACCOUNT (cash equiv)	A	Int./Div.	J	T					
61. TNSTARS529 COLLEGE SAVINGS #2 (H)									
62. TN AGGRESSIVE GROWTH FUND		None	J	T					
63. TN DFA LARGE CAP INTERNATIONAL FUND		None			Sold	08/16/19	J		
64. TN TOTAL INTERNATIONAL STOCK FUND		None	J	T	Buy	08/16/19	J		
65. TN VANGUARD WELLINGTON ADM		None			Sold	08/16/19	J		
66. TN BALANCED FUND		None	J	T	Buy	08/16/19	J		
67. TN INTEREST BEARING ACCOUNT (cash equiv)	A	Int./Div.	J	T					

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	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
68. TNSTARS 529 COLLEGE SAVINGS #3 (H)									
69. TN AGGRESSIVE GROWTH FUND		None	J	T					
70. TN DFA LARGE CAP INTERNATIONAL FUND		None			Sold	08/16/19	J		
71. TN TOTAL INTERNATIONAL STOCK FUND		None	J	T	Buy	08/16/19	J		
72. TN VANGUARD WELLINGTON ADM		None			Sold	08/16/19	J		
73. TN BALANCED FUND		None	J	T	Buy	08/16/19	J		
74. BROKERAGE #3 (H)									
75. PRIMECAP ODYSSEY AGGRESSIVE GROWTH (POAGX)	B	Dividend	K	T					
76. T ROWE PRICE HEALTH SCIENCES (PRHSX)	C	Dividend	K	T					

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

Part VII, line 3: 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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PHAM, TU M.

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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