

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) Varlan, Thomas A.	2. Court or Organization U.S. District Court, E. Tenn.	3. Date of Report 10/16/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☒ Amended Report	
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. Associate Board	University of Tennessee, College of Arts and Sciences
3. Executor	Angelos Charitable Trust -- Assets Listed in Part VII.
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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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	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.)*

<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.		

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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)	(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. 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					
4. Blackrock Strategic Income Opptys Cl A	A	Dividend	J	T					
5. Columbia AMT-Free Intl. Mun Bond Cl A	A	Dividend			Sold	06/20/19	J	A	
6. Columbia Floating Rate Instl CL	A	Dividend	J	T					
7. Goldman Sachs Small Mid Cap Growth Investor CL	A	Dividend	J	T					
8. Vanguard Total Stock Market ETF	A	Dividend			Sold	06/20/19	J	A	
9. Ivy Intl Core Equity Cl I	A	Dividend	J	T					
10. Lord Abbett Short Duration Income Cl L	A	Dividend	J	T					
11. Lord Abbett Short Duration Income CL	A	Dividend			Sold	06/20/19	J	A	
12. PGIM Total Return Bnd Cl Z	A	Dividend	J	T	Buy	06/20/19	J		
13. -PGIM Short Term Corp Bond CLZ	A	Dividend	J	T	Sold (part)	06/20/19	J		
14. Strategic Portfolio Service Advantage IRA - 1	B	Dividend	K	T					
15. - Ameriprise Bank Insured Sweep Acct.	A	Interest	J	T					
16. -Blackrock Strategic Income Opptys Cl A	A	Dividend	J	T					
17. -Multi Mgr Value Strategies Cl A	A	Dividend	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	

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	(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. - Active Portfolio Multi Manager Small Cap Equity Cl A	A	Dividend	J	T					
19. -Multi Manager Growth Strategies C	A	Dividend	J	T	Buy	05/16/19	J		
20. - Active Portfolio Multi Manager Total Return Bond Cl A	A	Dividend	J	T					
21. - Active Portfolio Multi Manager Growth Cl A	A	Dividend	J	T					
22. - MultiMgr Intl Equity Strategies Inst C	A	Dividend	J	T					
23. - Delaware U S Growth Instl Cl	A	Dividend	J	T					
24. - MFS Intr. Value Cl A	A	Dividend	J	T					
25. - MFS Value Cl A	A	Dividend	J	T					
26. - MFS Mid Cap Growth Cl	A	Dividend	J	T	Buy	11/14/19	J		
27. -PGIM Jennison Mid Cap rowth CL Z	A	Dividend			Sold	11/14/19	J	A	
28. - Wells Fargo Emerging Markets Equity Cl A	A	Dividend	J	T					
29. - Wells Fargo Special Mid Cap Value Cl A	A	Dividend	J	T					
30. -Ishares Core MSCI Emerging Markets	A	Dividend	J	T	Buy	11/14/19	J		
31. Strategic Advantage Service Portfolio IRA - 2	A	Dividend	K	T					
32. - Ameriprise Bank Insured Sweep Account	A	Interest	J	T					
33. - Blackrock Strategic income Opptys Cl A	A	Dividend	J	T					
34. - Active Portfolio Multi Manager Small Cap Equity Cl A	A	Dividend	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	

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35. - Multimanager Total Return Bond Strategies CL A	A	Dividend	J	T	Buy	11/14/19	J		
36. - Multimanager Value Strategies CL Z	A	Dividend	J	T					
37. - Multimanager Instl Equity Strategies Instl Cl	A	Dividend	J	T					
38. - MFS Intr. Value Cl A	A	Dividend	J	T					
39. - MFS Value Cl A	A	Dividend	J	T					
40. -MFS Mid Cap Growth	A	Dividend	J	T	Buy	11/14/19	J		
41. - Wells Fargo Emerging Markets Equity Cl A	A	Dividend	J	T					
42. - Wells Fargo Special Mid Cap Value Cl A	A	Dividend	J	T					
43. -Delaware U S Growth Instl Cl	A	Dividend	J	T					
44. -Multi Manager Growth Strategies Cl Z	A	Dividend	J	T					
45. -Ishares Core MSCI Emerging Markets ETF	A	Dividend	J	T	Buy	11/14/19	J		
46. Angelos Charitable Trust	E	Int./Div.	P1	T	Open	02/24/19	J		
47. -Angelos Residence		None			Open	10/22/19	M		
48. - Ameriprise Investment Account	E	Int./Div.	P1	T	Open	10/22/19	P1		
49. ---Ameriprise Insured Money Market Fund	B	Interest	K	T	Open	10/22/19	K		
50. ---Invesco Oppenheimer Developing Markets Cl Y	A	Dividend	J	T	Open	10/22/19	J		
51. ---Blackrock Total Return Instl.	B	Dividend	L	T	Open	10/22/19	L		

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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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52. ---Blackrock Strategic Mun. Oppty. Instl. Cl	A	Dividend	K	T	Open	10/22/19	K		
53. ---Blackrock Strategic Income Opps. Instl.	B	Dividend	K	T	Open	10/22/19	K		
54. ---Columbia Floating Rate Inst. CL	B	Dividend	K	T	Open	10/22/19	K		
55. ---JP Morgan Global Bond Oppts.	A	Dividend	K	T	Open	10/22/19	K		
56. ---John Hancock International Growth	A	Dividend	K	T	Open	10/22/19	K		
57. ---Lord Abbott Ultra Short Bond	D	Dividend	N	T	Open	10/22/19	N		
58. ---Pimco Income Cl 12	B	Dividend	K	T	Open	10/22/19	K		
59. ---AT&T, Inc.	C	Dividend	L	T	Open	10/22/19	L		
60. ---Berkshire Hathaway, Inc. Cl	B	Dividend	K	T	Open	10/22/19	K		
61. ---Chevron, Inc.	A	Dividend	J	T	Open	10/22/19	J		
62. ---Pepsico, Inc.	A	Dividend	J	T	Open	10/22/19	J		
63. ---Verizon Communications, Inc.	A	Dividend	J	T	Open	10/22/19	J		
64. ---Ishares Core S&P 500 ETF	B	Dividend	L	T	Open	10/22/19	J		
65. ---Ishares S&P Mid Cap ETF	A	Dividend	K	T	Open	10/22/19	K		
66. ---Ishares Core S&P Small Cap	A	Dividend	J	T	Open	10/22/19	J		
67. ---Ishares Edge MSCI Min Volatility	C	Dividend	K	T	Open	10/22/19	K		
68. ---Bellsouth Corp Not Make Whole	A	Dividend	J	T	Open	10/22/19	J		

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69. ---Van Kampen Invt Grade Mun Tr	A	Interest	J	T	Open	10/22/19	J		
70. Patricia Angelos IRA	C	Int./Div.	N	T	Open	10/22/19	J		
71. --Ameriprise Insured Money Market`	A	Interest	K	T	Open	10/22/19	J		
72. --Invesco Oppenheimer Developing Markets	A	Dividend	J	T	Open	10/22/19	J		
73. --Blackrock TotalReturn Instl.	B	Dividend	K	T	Open	10/22/19	K		
74. --Blackrock Strategic Mun. Opptys. Instl.	A	Dividend	J	T	Open	10/22/19	J		
75. --Blackrock Strategic Income Opptys. Instl.	A	Dividend	K	T	Open	10/22/19	K		
76. --Columbia Floating Rate Inst. Cl.	A	Dividend	J	T	Open	10/22/19	J		
77. --John Hancock Intl. Growth Cl	A	Dividend	K	T	Open	10/22/19	K		
78. --Pimco Income CL 12	A	Dividend	K	T	Open	10/22/19	K		
79. --AT&T, Inc.	D	Dividend	M	T	Open	10/22/19	M		
80. --Berkshire Hathaway, Inc.	A	Dividend	J	T	Open	10/24/19	J		
81. --Pfizer, Inc.	A	Dividend	J	T	Open	10/24/19	J		
82. --Ishares Core S&P 500 ETF	A	Dividend	K	T	Open	10/24/19	K		
83. --Ishares Core S&P Mid Cap ETF	A	Dividend	J	T	Open	10/24/19	J		
84. --Ishares Core S&P Small Cap ETF	A	Dividend	J	T	Open	10/24/19	J		
85. --Ishares Edge MSCI Min. Volatility ETF	A	Dividend	J	T	Open	10/24/19	J		

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86.									

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

The residence held in the Angelos Charitable Trust was sold 2/24/2019 and proceeds deposited in the Angelos Charitable Trust Ameriprise Investment Account.

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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/ 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