

FINANCIAL DISCLOSURE REPORT FINAL FILING

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 01/28/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US District Judge Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☐ Annual ☒ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address 800 Market Square Suite 145 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. Member, Board of Trustees	Berea College, Berea, KY
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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Name of Person Reporting

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.)*

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.

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.

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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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Name of Person Reporting

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. Ameriprise SPS NQ Account									
2. -Ameriprise Cash		None	J	T					
3. -Lord Abbett Short Duration Income Fund Class F (LDLFX)	A	Int./Div.	J	T	Buy	01/11/19	J		
4. -Vanguard Value ETF (VTV)	A	Dividend	J	T	Buy	01/11/19	J		
5.					Buy (add'l)	10/17/19	J		
6. -Lord Abbett Floating Rate Fund Class F (LFRFX)	A	Int./Div.	J	T	Sold (part)	01/11/19	J	A	
7.					Sold (part)	10/17/19	J	A	
8. - Blackrock Strategic Income (BSIIX)	A	Int./Div.	J	T	Sold (part)	01/11/19	J	A	
9. -Vanguard Growth ETF (VUG)	A	Dividend			Sold	01/11/19	J	A	
10. -Ishares S& P Mid Cap 400 (IJK)	A	Dividend	J	T	Sold (part)	10/17/19	J	A	
11. -Columbia Balanced Fund A (CBALX)	A	Int./Div.	J	T	Sold (part)	12/02/19	J	A	
12. -American Century Emerging Markets Investors Class I (AMKIX)	A	Int./Div.	J	T					
13. -Ishares Russell 2000 Value ETF (IWN)	A	Dividend	J	T					
14. -Ishares Gold Trust (IAU)		None	J	T					
15. -Ivy International Core Equity Fund Class I (ICEIX)	A	Int./Div.	J	T					
16. -Pimco Income Class I (PONPX)	A	Int./Div.	J	T					
17. -Prudential Short Term Corp Bond Class Z (PIFZX)	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	

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18. --Vanguard Total Stock Market Index Fund ETF (VTI)	A	Dividend	J	T					
19. Ameriprise ONE Account									
20. Cash-Ameriprise Insured Money Market Account (AIMMA)	A	Interest	J	T					
21. Ameriprise Trust Co. IRA									
22. Cash-Dreyfus Government Cash (MMF)	A	Interest	J	T					
23. Blackrock Strategic Income (BSIIX)	A	Int./Div.	K	T	Buy (add'l)	08/02/19	J		
24.					Sold (part)	09/30/19	J	A	
25. -Pimco Income Class I (PONPX)	A	Int./Div.	K	T	Buy (add'l)	08/02/19	J		
26. -Pimco Income Class I (PONPX)					Sold (part)	09/30/19	J	A	
27. -Lord Abbett Floating Rate Class F (LFRFX)	D	Int./Div.	J	T	Sold (part)	05/24/19	J	A	
28.					Buy	08/05/19	J		
29.					Sold (part)	09/30/19	J	A	
30. -Lord Abbett Short Duration Income Fund Class F (LDLFX)	B	Int./Div.	K	T	Buy (add'l)	08/05/19	J		
31.					Sold (part)	09/30/19	J	A	
32. -Ishares Barclays Treasury Bond Fund (IEF)	A	Interest	J	T	Buy (add'l)	08/07/19	J		
33.					Sold (part)	09/30/19	J	A	
34. -Ishares MSCI EAFE Growth ETF (EFG)	A	Dividend	J	T	Sold (part)	08/07/19	J	A	

1 Income Gain Codes:	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
(See Columns B1 and D4)	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	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	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		
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	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)
35.					Sold (part)	09/30/19	J	A	
36. -Vanguard Health Care ETF (VHT)	A	Dividend	J	T	Sold (part)	08/02/19	J	A	
37.					Sold (part)	09/30/19	J	A	
38. -Vanguard Emerging Markets Stock Index Fund (VWO)	A	Dividend	J	T	Sold (part)	08/02/19	J	A	
39.					Sold (part)	09/30/19	J	A	
40. -Vanguard Mid-Cap Index Fund ETF (VO)	A	Dividend	K	T	Sold (part)	08/02/19	J	A	
41.					Sold (part)	09/30/19	J	A	
42. -Vanguard Growth ETF (VUG)	A	Dividend	K	T	Sold (part)	08/02/19	J	B	
43.					Sold (part)	09/30/19	J	A	
44. -Vanguard Value ETF (VTV)	B	Dividend	K	T	Sold (part)	08/02/19	J	A	
45.					Sold (part)	09/30/19	J	A	
46. -Vanguard Small Cap Index Fund (VB)	A	Dividend	K	T	Sold (part)	08/02/19	J	A	
47.					Sold (part)	09/30/19	J	A	
48. Ameriprise Brokerage									
49. Cash-Ameriprise Insured Money Market (AIMMA)	A	Interest	K	T					
50. -Industrial Property REIT	A	Interest	J	T					
51. -Carey Watermark Investors REIT	A	Interest	L	T					

1 Income Gain Codes:	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
(See Columns B1 and D4)	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	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	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		
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52. Riversource Variable Annuity RAVA 5 Advantage									
53. -Columbia VP Managed Volatility Growth Fund	A	Int./Div.	M	T					
54. Ameriprise Trust Co ROTH IRA									
55. Cash-Dreyfus Government Cash (MMF)	A	Interest	J	T					
56. -Blackrock Strategic Income (BSIIX)	A	Int./Div.	J	T	Buy (add'l)	08/02/19	J		
57. -Pimco Income Class I (PONPX)	A	Int./Div.	J	T	Buy (add'l)	08/02/19	J		
58. -Lord Abbett Floating Rate (LFRFX)	A	Int./Div.	J	T	Buy (add'l)	08/05/19	J		
59. -Lord Abbett Short Duration Income Class F (LDLFX)	A	Int./Div.	J	T	Buy (add'l)	08/05/19	J		
60. -Ishares Barclays Treasury Bond Fund (IEF)	A	Interest	J	T	Buy (add'l)	08/07/19	J		
61. -Vanguard Mid Cap Index Fund ETF (VO)	A	Dividend	J	T	Sold (part)	08/02/19	J	A	
62. -Vanguard Small Cap Index Fund (VB)	A	Dividend	K	T	Sold (part)	08/02/19	J	A	
63. -Vanguard Total Stock Market (VTI)	A	Dividend	K	T	Sold (part)	08/02/19	J	A	
64. Ameriprise SPS IRA									
65. Cash-Dreyfus Government Cash (MMF)	A	Interest	J	T					
66. -Blackrock Strategic Income (BSIIX)	A	Int./Div.	J	T	Buy (add'l)	08/02/19	J		
67.					Sold (part)	10/18/19	J	A	
68. -Pimco Income Class I (PONPX)	A	Int./Div.	J	T	Buy (add'l)	08/02/19	J		

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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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69.					Sold (part)	10/18/19	J	A	
70. -Lord Abbett Floating Rate (LFRFX)	A	Int./Div.	J	T	Buy (add'l)	08/05/19	J		
71.					Sold (part)	10/18/19	J	A	
72. -Lord Abbett Short Duration Income Class F (LDLFX)	A	Int./Div.	J	T	Buy (add'l)	08/05/19	J		
73.					Sold (part)	10/18/19	J	A	
74. Ishares Barclays Treasury Bond Fund (IEF)	A	Interest	J	T	Buy (add'l)	08/07/19	J		
75.					Sold (part)	10/18/19	J	A	
76. -Ishares MSCI EAFE Growth Fund (EFG)	A	Dividend	J	T	Sold (part)	08/02/19	J	A	
77.					Sold (part)	10/18/19	J	A	
78. -Vanguard Mid Cap Index Fund ETF (VO)	A	Dividend	K	T	Sold (part)	08/02/19	J	A	
79.					Sold (part)	10/18/19	J	A	
80. -Vanguard Growth ETF (VUG)	A	Dividend	K	T	Sold (part)	08/02/19	J	A	
81.					Sold (part)	10/18/19	J	A	
82. -Vanguard Value ETF (VTV)	A	Dividend	K	T	Sold (part)	08/02/19	J	A	
83.					Sold (part)	10/18/19	J	A	
84. -Vanguard Small Cap Index Fund (VB)	A	Dividend	K	T	Sold (part)	08/02/19	J	A	
85.					Sold (part)	10/18/19	J	A	

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86. -Vanguard Health Care ETF (VHT)	A	Dividend	J	T	Sold (part)	10/18/19	J	A	
87. -Vanguard Emerging Markets Stock Index (VWO)	A	Dividend	J	T	Sold (part)	10/18/19	J	A	
88.					Sold (part)	10/18/19	J	A	
89.									
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103.									
104.									
105.									
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119.									

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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)
120.									
121.									
122.									
123.									
124.									
125.									
126.									
127.									
128.									
129.									
130.									
131.									
132.									
133.									
134.									
135.									
136.									

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Phillips, Thomas W.

Date of Report

01/28/2020

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)
137.									
138.									
139.									
140.									
141.									
142.									
143.									
144.									
145.									
146.									
147.									
148.									
149.									
150.									
151.									
152.									
153.									

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

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Name of Person Reporting

Phillips, Thomas W.

Date of Report

01/28/2020

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)
154.									
155.									
156.									
157.									
158.									
159.									
160.									
161.									
162.									
163.									
164.									
165.									
166.									
167.									

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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Name of Person Reporting

Phillips, Thomas W.

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01/28/2020

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

-While working on 2019 report, we realized that we left the following holdings under the SPS NQ account for the 2018 report.

-Ishares S&P Mid Cap 400 (IJK) A Div J T

-Vanguard Total Index Fund ETF (VTI) A Div J T

-Ishares Russell 2000 Value ETF (IWN) A Div J T

-Ishares God Trust (IAU) None J T

-Prudential Short Term Corp Bond Class Z (PIFZX) A Int/Div J T

-Vanguard Growth ETF (VUG) A Div J T

It appears that only transactions were reported for the Ameriprise SPS NQ account only on the 2018 report.

Thee following holds had a share class change and are reported under different ticker symbols on this report compared to the 2018 report:

-PONAX changes to PONPX

-TWMIX changed to AMKIX

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Name of Person Reporting

Phillips, Thomas W.

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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 W. 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
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