

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) PHILLIPS, KEITH L.	2. Court or Organization RICHMOND DIVISION - USBANKRUPTCY COURT - EASTERNDIVISION VA	3. Date of Report 11/03/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US BANKRUPTCY JUDGE	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 701 EAST BROAD STREET, 5TH FLOOR RICHMOND, VA 23219		
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. LLC MEMBER	BLVD LLC
2. GENERAL PARTNER	EKP ASSOCIATES, L.C.
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. 2013	ORAL AGREEMENT WITH FORMER LAW FIRM TO RECEIVE COMPENSATION FOR LEGAL SERVICES RENDERED PRIOR TO BECOMING A JUDGE. NO CONTROL IN FORMER LAW FIRM.
2. 2013	ORAL AGREEMENT WITH SUCCESSOR CHAPTER 7 TRUSTEES TO RECEIVE COMMISSIONS EARNED FOR SERVICES PERFORMED PRIOR TO BECOMING A JUDGE. NO CONTROL OVER TRUSTEE CASES.
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.	
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.	JPMORGAN CHASE BANK	MORTGAGE - RENTAL PROPERTY #1/RICHMOND, VA (PT VII, LINE 1)	J
2.	NATIONSTAR MORTGAGE	MORTGAGE - EKP ASSOCIATES - RENTAL PROPERTY #1/RICHMOND, VA (PT VII, LINE 2)	J
3.	NATIONSTAR MORTGAGE	MORTGAGE - EKP ASSOCIATES - RENTAL PROPERTY #2/RICHMOND, VA (PT VII, LINE 2)	J
4.	NATIONSTAR MORTGAGE	MORTGAGE - EKP ASSOCIATES - RENTAL PROPERTY #3/RICHMOND, VA (PT VII, LINE 2)	J
5.	NATIONSTAR MORTGAGE	MORTGAGE - EKP ASSOCIATES - RENTAL PROPERTY #4/RICHMOND, VA (PT VII, LINE 2)	J

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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. RENTAL PROPERTY #1/RICHMOND, VA 2002 - \$36,750 (50%)	D	Rent	L	R					
2. EKP ASSOCIATES LC - RENTAL PROPERTIES/RICHMOND, VA (50%)	E	Rent	N	U					
3. BLVD, LLC (50% OWNERSHIP)	B	Distribution	M	U					
4. WELLS FARGO - CHECKING ACCOUNT	A	Int./Div.	J	T					
5. BB&T #1 - CHECKING ACCOUNT		None	J	T					
6. BB&T #2 - CHECKING ACCOUNT		None	J	T					
7. (H) FIDELITY INVESTMENTS									
8. FIDELITY INVESTMENTS - CASH ACCOUNT	A	Interest	J	T					
9. FIDELITY MUNICIPAL MONEY MARKET	A	Interest	J	T					
10. FIDELITY MONEY MARKET	A	Interest	J	T					
11. FIDELITY TREASURY ONLY MONEY MARKET FD	A	Interest	J	T					
12. FIDELITY TREASURY MONEY MARKET FUND	A	Interest	J	T					
13. (H) FIDELITY INVESTMENTS									
14. SYNCHRONY BANK RET 2.30% 03/30/20 FORMERLLY GE CAP RETAIL BK DRAPER UT	A	Interest	J	T					
15. AMERICAN EXP FED SVGS BK. INSTL 2.20% 10/23/19	A	Interest			Redeemed	10/23/19	J	A	
16. GOLDMAN SACHS BANK USA CD FORMERLY GE CAP BK RETAIL CD 2.85% 09/16/21	A	Interest	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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Name of Person Reporting

PHILLIPS, KEITH L.

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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)
17. BANK INTERNET USA SAN DIEGO CA 3.550% 03/31/20	A	Interest	J	T					
18. GOLDMAN SACHS BANK USA CD FORMERLY GE CAP BK INC CD 2.90% 11/16/21	A	Interest	J	T					
19. SYNCHRONY BANK RET 2.90% 11/23/21	A	Interest	J	T					
20. GE CAP BK INC RETAIL CD 3.80% 12/11/19	A	Interest			Redeemed	12/11/19	J	A	
21. GOLDMAN SACHS BK USA NY 2.15% 10/07/2020	A	Interest	J	T					
22. GOLDMAN SACHS BAK USA NY CD 2.35% 11/28/22	A	Interest	J	T					
23. GOLDMAN SACHS BK USA NY CD 2.60% 11/25/2022	A	Interest	J	T					
24. SYNCHRONY BANK RETAIL CD 2.90% 12/02/2021	A	Interest	J	T					
25. DISCOVER BK GREENWOOD DEL 2.65% 11/22/2020	A	Interest	J	T					
26. SYNCHRONY BANK RETAIL CD 2.10% 08/29/2019	A	Interest			Redeemed	08/29/19	J	A	
27. DISCOVER BK CD 1.95% 09/14/2020	A	Interest	J	T					
28. GOLDMAN SACHS BK USA CD 2.85% 10/14/2021	A	Interest	J	T					
29. CAPITAL ONE BANK USA NATL ASSN CD 2.40% 03/29/2022	A	Interest	J	T					
30. HSBC BK USA N A MCLEAN VA CD 2.15% 07/26/21	A	Interest	J	T					
31. JPMORGAN CHASE BK CD 3.00% 09/14/2021	A	Interest			Redeemed	09/16/19	J	A	
32. ALLY BK MIDVALE UTAH CD 2.30% 04/30/2019	A	Interest			Redeemed	04/30/19	J	A	

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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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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)	(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)
33. STATE BK INDIA NEW YORK 3.25% 10/17/24	A	Interest	J	T					
34. WELLS FARGO BANK NATL ASSN CD 2.50% 12/08/2022	A	Interest	J	T					
35. HSBC BK USA N A MCLEAN VA CD 3.40% 02/11/2032	A	Interest	J	T	Buy	02/21/19	J		
36. STATE BANK INDIA NY NY 3.35% 01/31/2024	A	Interest	J	T	Buy	02/21/19	J		
37. SILVERGATE BK LA JOLLA CALIF CD 2.70% 05/31/2023	A	Interest	J	T	Buy	05/31/19	J		
38. - SILVERGATE BK LA JOLLA CALIF CD 2.70% 05/31/2023		None			Redeemed	11/29/19	J	A	
39. WELLS FARGO BANK NATL ASSN CD 2.00% 12/18/2023	A	Interest	J	T	Buy	09/18/19	J		
40. FIDELITY INVESTMENTS CASH ACCOUNT	A	Interest	K	T					
41. (H) JANNEY MONTGOMERY SCOTT LLC #1									
42. CLEARBRIDGE VALUE	A	Dividend	K	T	Buy (add'l)	12/06/19	J		
43. ROYCE PA MUTL CONSULT - STOCK	B	Dividend			Sold	02/28/19	J	A	
44. JANNEY INSURED SWP	A	Int./Div.	J	T					
45. VA ST RES AUTH - TAX EXEMPT OID	A	Int./Div.	K	T					
46. VIRGINIA 529 PREPAID PLAN #1 - 8 SEMESTER TIER I		None	K	V					
47. VIRGINIA 529 PREPAID PLAN #2 - 8 SEMESTER TIER I		None	K	V					
48. VIRGINIA 529 PREPAID PLAN #3 - 8 SEMESTER TIER		None	J	V					
49. (H) IRA #1, JANNEY MONTGOMERY SCOTT LLC									

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

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50. - CASH ACCOUNT, JANNEY MONTGOMERY SCOTT LLC	A	Dividend	J	T					
51. - CLEARBRIDGE SPECIAL SM CAP INVESTMENT FUND	A	Dividend	K	T	Sold (part)	02/14/19	J	A	
52. - CLEARBRIDGE SPECIAL SM CAP	A	Dividend	J	T	Sold (part)	03/12/19	J	B	
53. - CLEARBRIDGE SPECIAL SM CAP	A	Distribution	J	T	Sold (part)	07/17/19	J	A	
54. - MFS GROWTH FUND	A	Dividend	J	T	Sold (part)	03/12/19	J	A	
55. - MFS INVESTORS GROWTH FUND	A	Dividend	J	T	Sold (part)	03/12/19	J	A	
56. - MFS TOTAL RETURN	A	Dividend	J	T					
57. MILLER OPPPTY CL I	A	Dividend	K	T	Sold (part)	03/12/19	J	B	
58. - PIMCO REAL RETURN FUND	A	Dividend	J	T	Sold (part)	10/25/19	J	A	
59. - PIMCO INCOME FUND	B	Dividend	K	T					
60. - WESTERN ASSET CORE BOND FUND	A	Dividend	K	T					
61. (H) IRA #2, CHARLES SCHWAB									
62. - CASH DEPOSIT ACCOUNTS, CHARLES SCHWAB	A	Int./Div.	J	T					
63. - SCHWAB VALUE ADVANTAGE	A	Int./Div.	M	T	Buy (add'l)	12/31/19	J		
64. -AMERICAN CENTURY ONE	A	Int./Div.	J	T	Buy (add'l)	12/30/19	J		
65. -AMERICAN FD TAX ADVNTGD	A	Int./Div.	J	T	Buy (add'l)	12/27/19	J		
66. -JPMORGAN INCM BUILDER	A	Int./Div.	J	T	Buy (add'l)	12/12/19	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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67. -JPMORGAN INCM BUILDER	A	Int./Div.			Buy (add'l)	12/30/19	J		
68. -SCHWAB MONTHLY INCOME FD EN PAYOUT	A	Int./Div.	J	T	Buy (add'l)	12/16/19	J		
69. -SCHWAB MONTHLY INCOME FD MAX PAYOUT	A	Int./Div.	J	T	Buy (add'l)	12/16/19	J		
70. - SCHWAB DIVIDEND EQUITY FUND	A	Int./Div.	J	T	Buy (add'l)	12/18/19	J		
71. - SCHWAB FUNDAMENTAL US LARGE CO INDEX	A	Int./Div.	J	T	Buy (add'l)	12/20/19	J		
72. - SCHWAB MARKETTRACK GROWTH	A	Int./Div.	J	T	Buy (add'l)	12/30/19	J		
73. - SCHWAB S&P 500 INDEX FUND	A	Int./Div.			Buy (add'l)	12/20/19	J		
74. - SCHWAB S&P 500 INDEX FUND	A	Int./Div.	J	T	Sold (part)	06/20/19	J	A	
75. - SCHWAB S&P 500 INDEX FUND	A	Int./Div.			Sold (part)	11/05/19	J	A	
76. - SCHWAB TOTAL STOCK MKT INDEX	A	Int./Div.			Buy (add'l)	12/20/19	J		
77. - SCHWAB TOTAL STOCK MKT INDEX	A	Int./Div.	J	T	Sold (part)	06/20/19	J	A	
78. - SCHWAB 1000 INDEX FUND	A	Int./Div.			Buy (add'l)	12/20/19	J		
79. - SCHWAB 1000 INDEX FUND	A	Int./Div.	J	T	Sold (part)	11/05/19	J	A	
80. - T ROWE PRICE RETIREMENT 2030 FUND	A	Int./Div.	J	T	Buy (add'l)	12/20/19	J		
81. - VANGUARD WELLESLEY INCOME	A	Int./Div.	J	T	Buy (add'l)	12/17/19	J		
82. - VANGUARD WELLESLEY INCOME FD INVESTOR SHARE	A	Int./Div.	K	T	Sold (part)	11/05/19	J	A	
83. - SCHWAB VALUE ADVANTAGE	A	Int./Div.	J	T	Buy (add'l)	12/31/19	J		

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84. (H) IRA #3, JANNEY MONTGOMERY SCOTT LLC									
85. - CASH DEPOSIT ACCOUNTS, JANNEY MONTGOMERY SCOTT LLC	A	Dividend	J	T					
86. -CONSUMER DISCRETIONARY SELECT SECTOR SPDR (26)	A	Dividend	J	T	Sold (part)	03/13/19	J	A	
87. -CONSUMER DISCRETIONARY SELECT SECTOR SPDR (5)	A	Dividend	J	T					
88. -CONSUMER DISCRETIONARY SELECT SECTOR SPDR (4)	A	Dividend	J	T					
89. -ISHARES CORE MSCI EUROPE (20)	A	Dividend	J	T					
90. -ISHARES CORE MSCI EUROPE (31)	A	Dividend	J	T					
91. -ISHARES CORE MSCI EUROPE (6)	A	Dividend	J	T					
92. -ISHARES CORE MSCI EUROPE (1)	A	Dividend	J	T					
93. -ISHARES CORE MSCI EUROPE (1)	A	Dividend	J	T					
94. -ISHARES CORE MSCI EUROPE (3)	A	Dividend	J	T					
95. -ISHARES CORE MSCI EUROPE (4)	A	Dividend	J	T	Buy (add'l)	03/13/19	J		
96. - SECTOR CONSUMER STAPLES SELECT SECTOR SPDR (1)	A	Dividend	J	T					
97. - SECTOR CONSUMER STAPLES SELECT SECTOR SPDR (45)	A	Dividend	J	T					
98. - SECTOR CONSUMER STAPLES SELECT SECTOR SPDR (8)	A	Dividend	J	T					
99. - SECTOR CONSUMER STAPLES SELECT SECTOR SPDR (4)	A	Dividend	J	T					
100. - SECTOR CONSUMER STAPLES SELECT SECTOR SPDR (8)	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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Name of Person Reporting

PHILLIPS, KEITH L.

Date of Report

11/03/2020

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)
101. - SECTOR CONSUMER STAPLES SELECT SECTOR SPDR (44)	A	Dividend	J	T					
102. - SECTOR CONSUMER STAPLES SELECT SECTOR SPDR (32)	A	Dividend	J	T	Buy (add'l)	03/13/19	J		
103. - SECTOR HEALTHCARE SELECT SECTOR SPDR (7)	A	Dividend	J	T					
104. - SECTOR HEALTHCARE SELECT SECTOR SPDR (57)	A	Dividend			Sold	03/13/19	J	A	
105. - SECTOR HEALTHCARE SELECT SECTOR SPDR (10)	A	Dividend	J	T					
106. - SECTOR HEALTHCARE SELECT SECTOR SPDR (4)	A	Dividend	J	T					
107. - SECTOR HEALTHCARE SELECT SECTOR SPDR (7)	A	Dividend	J	T					
108. - SECTOR HEALTHCARE SELECT SECTOR SPDR (9)	A	Dividend	J	T	Buy (add'l)	10/15/19	J		
109. - SECTOR TECHNOLOGY SELECT SPECTOR SPDR (60)	A	Dividend	J	T					
110. - SECTOR TECHNOLOGY SELECT SPECTOR SPDR (13)	A	Dividend	J	T					
111. - SECTOR TECHNOLOGY SELECT SPECTOR SPDR (33)	A	Dividend	J	T					
112. - SECTOR TECHNOLOGY SELECT SPECTOR SPDR (29)	A	Dividend	J	T	Buy (add'l)	03/13/19	J		
113. - SECTOR TECHNOLOGY SELECT SPECTOR SPDR (20)	A	Dividend	J	T	Buy (add'l)	06/24/19	J		
114. - SECTOR COMMUNICATION SERVICES SELECT (44)	A	Dividend	J	T					
115. - SECTOR COMMUNICATION SERVICES SELECT (37)	A	Dividend	J	T					
116. - SECTOR COMMUNICATION SERVICES SELECT (21)	A	Dividend	J	T	Buy (add'l)	03/13/19	J		
117. - SECTOR COMMUNICATION SERVICES SELECT (21)	A	Dividend	J	T	Buy (add'l)	06/24/19	J		

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, KEITH L.

Date of Report

11/03/2020

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)
118. - SECTOR COMMUNICATION SERVICES SELECT 5)	A	Dividend	J	T	Buy (add'l)	10/15/19	J		
119. - SECTOR UTILITIES SELECT SECTOR (33)	A	Dividend	J	T	Buy	03/13/19	J		
120. - VANGUARD ALL WORLD (133)	A	Dividend	J	T					
121. - VANGUARD ALL WORLD (88)	A	Dividend	J	T					
122. - VANGUARD ALL WORLD (17)	A	Dividend	J	T					
123. - VANGUARD ALL WORLD (4)	A	Dividend	J	T					
124. - VANGUARD ALL WORLD (3)	A	Dividend	J	T					
125. - VANGUARD ALL WORLD (15)	A	Dividend	J	T					
126. - VANGUARD ALL WORLD (9)	A	Dividend	J	T	Buy (add'l)	03/13/19	J		
127. - VANGUARD PACIFIC (12)	A	Dividend	J	T					
128. - VANGUARD PACIFIC (7)	A	Dividend	J	T					
129. - VANGUARD PACIFIC (1)	A	Dividend	J	T					
130. - VANGUARD PACIFIC (23)	A	Dividend	J	T					
131. - VANGUARD PACIFIC (2)	A	Dividend	J	T	Buy (add'l)	03/13/19	J		
132. - ISHARES, 20+ YR TREASURY BOND ETF (35)	A	Dividend	J	T	Buy	06/05/19	J		
133. - ISHARES, 1BOXX, 4INVESTMENT GRADE CORP BOND (35)	A	Dividend	J	T	Sold (part)	03/13/19	J	A	
134. - ISHARES, 1BOXX, 4INVESTMENT GRADE CORP BOND (22)	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	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

PHILLIPS, KEITH L.

Date of Report

11/03/2020

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)
135. - ISHARES, 1BOXX, 4INVESTMENT GRADE CORP BOND (4)	A	Dividend	J	T					
136. - ISHARES, 1BOXX, 4INVESTMENT GRADE CORP BOND (5)	A	Dividend	J	T					
137. - ISHARES, 1BOXX, 4INVESTMENT GRADE CORP BOND (2)	A	Dividend	J	T					
138. - ISHARES, 1BOXX, 4INVESTMENT GRADE CORP BOND (6)	A	Dividend	J	T					
139. - ISHARES, 1BOXX, 4INVESTMENT GRADE CORP BOND (3)	A	Dividend	J	T					
140. - ISHARES, 1BOXX, 4INVESTMENT GRADE CORP BOND (1)	A	Dividend	J	T					
141. -ISHARES, 0-5 YEAR TIPS BOND (1)	A	Dividend			Sold	03/13/19	J	A	
142. -ISHARES, 0-5 YEAR TIPS BOND (43)	A	Dividend	J	T					
143. -ISHARES, 0-5 YEAR TIPS BOND (1)	A	Dividend	J	T					
144. -ISHARES, 0-5 YEAR TIPS BOND (1)	A	Dividend	J	T					
145. -ISHARES, FLOATING RATE BOND (79)	A	Dividend			Sold	06/04/19	J	A	
146. -ISHARES, FLOATING RATE BOND (3)	A	Dividend			Sold	03/13/19	J	A	
147. -ISHARES, FLOATING RATE BOND (3)	A	Dividend			Sold	06/04/19	J	A	
148. -ISHARES, FLOATING RATE BOND (92)	A	Dividend			Sold	06/05/19	J	A	
149. -ISHARES, FLOATING RATE BOND (2)	A	Dividend			Sold	06/04/19	J	A	
150. -ISHARES, FLOATING RATE BOND (4)	A	Dividend			Sold	06/04/19	J	A	
151. -SPDR BLOOMBERG BARCLAYS CAPITAL ST CORP BOND (114)	A	Dividend			Sold	03/13/19	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		
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		

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)
152. -SPDR BLOOMBERG BARCLAYS CAPITAL ST CORP BOND (124)	A	Dividend	J	T					
153. -SPDR BLOOMBERG BARCLAYS CAPITAL ST CORP BOND (33)	A	Dividend	J	T					
154. -SPDR BLOOMBERG BARCLAYS CAPITAL ST CORP BOND (16)	A	Dividend	J	T					
155. -SPDR BLOOMBERG BARCLAYS CAPITAL ST CORP BOND (7)	A	Dividend	J	T					
156. -SPDR BLOOMBERG BARCLAYS CAPITAL ST CORP BOND (7)	A	Dividend	J	T					
157. -SPDR BLOOMBERG BARCLAYS CAPITAL ST CORP BOND (10)	A	Dividend	J	T	Buy (add'l)	06/24/19	J		
158. ISHARES MSCI ALL COUNTRY ASIA EX JAPAN (21)	A	Dividend			Sold	10/15/19	J	A	

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	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting	Date of Report
PHILLIPS, KEITH L.	11/03/2020

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

PART VII, LINE 40 - VALUE IS BASED ON REFUNDABLE VALUE PROVIDED BY THE VIRGINIA529 COLLEGE SAVINGS PLAN
PART VII, LINE 41 - VALUE IS BASED ON REFUNDABLE VALUE PROVIDED BY THE VIRGINIA529 COLLEGE SAVINGS PLAN
PART VII, LINE 42 - VALUE IS BASED ON REFUNDABLE VALUE PROVIDED BY THE VIRGINIA529 COLLEGE SAVINGS PLAN

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

PHILLIPS, KEITH L.

Date of Report

11/03/2020

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/ **KEITH L. 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