

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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, Mary E.	2. Court or Organization United States District Court	3. Date of Report 11/09/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Chief District Judge- Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☒ Amended Report	
7. Chambers or Office Address United States District Court Charles Evans Whittaker United States Courthouse 400 East Ninth Street, Room 7452 Kansas City, MO 64106		
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. Trustee	Family Trust
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, Mary E.

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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. 2020	State of Missouri- 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.				

Name of Person Reporting	Date of Report
Phillips, Mary E.	11/09/2021

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, Mary E.

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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. Adorn, Inc.		None	J	W					
2. Family Trust (H for Lines 3-35)									
3. Country Club Bank	A	Interest	M	T					
4. Schwab 1 (H) See Part VIII									
5. Vanguard Select Value - VASVX	D	Dividend	L	T					
6. Osage Sch Lake Ozark - bond	A	Interest	K	T					
7. Greene Co Reorg school - bond	B	Interest	L	T					
8. Missouri St. Health and EDL - bond	A	Interest	K	T					
9. Schwab 1 (H)									
10. California Resource Corp - CRC - see Part VIII	A	Dividend			Closed	08/31/20	J		
11. Colgate Palmolive (CL)	A	Dividend	J	T					
12. Diageo plc - DEO	A	Dividend	J	T					
13. Intel Corp - INTC	A	Dividend	K	T	Buy	12/02/20	J		
14. Johnson & Johnson - JNJ	A	Dividend	J	T					
15. Linde PCL - LIN	A	Dividend			Sold	12/02/20	J		
16. Medtronic - MDT	A	Dividend	K	T	Buy	12/02/20	J		
17. PepsiCo Inc	A	Dividend	J	T					

1 Income Gain Codes: (See Columns B1 and D4)	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	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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Phillips, Mary E.

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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)
18. Rockwell Automation - ROK	A	Dividend	J	T					
19. Suncor Energy - SU	A	Dividend			Sold	12/02/20	J		
20. Union Pacific - UNP	A	Dividend	J	T					
21. IShares Trust Real Estate - IYR	B	Dividend	K	T					
22. iShares Russell 2000 Value Index	A	Dividend			Sold	12/02/20	K		
23. iShares MSCI Emerging Markets Index EEM	B	Dividend	L	T					
24. ISHARES Core MSCI Emerging - IEMG	A	Dividend			Sold	12/02/20	J		
25. Vanguard Midcap Growth - VOT	A	Dividend	L	T					
26. Vanguard Mid Cap Value - VOE	A	Dividend	K	T					
27. Vanguard FTSE Emerging Markets - VWO	B	Dividend	K	T					
28. Vanguard Russell 1000 Growth - VONG	A	Dividend	M	T					
29. Vanguard Russell 1000 Value - VONV	B	Dividend	M	T					
30. Vanguard Russell 2000 Growth - VTWG	A	Dividend	K	T					
31. Vanguard FTSE Developed Market - VEA	C	Dividend	M	T					
32. Matthews Pacific Tiger - MAPTX	A	Dividend	L	T					
33. Vanguard Primecap Core - VPCCX	A	Dividend	L	T					
34. Vanguard Tax-Managed Small Cap - VTMSX	A	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
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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☐ 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)
35. Cash Account Schwab	A	Interest	J	T	Open	10/29/20	J		
36. Schwab 2 (Roth) (H) See Part VIII									
37. T. Rowe Price Overseas TROIX	A	Dividend	J	T					
38. UNTS Gugg Flah Crum PRFD	A	Dividend	K	T					
39. Cash Account Schwab	A	Interest	J	T					
40. Schwab 3 (Rollover) (H) See Part VIII									
41. California Resources Corp - CRC See Part VIII		None			Closed	08/31/20	J		
42. Colgate Palmolive - CL	A	Dividend			Sold	12/02/20	J		
43. Diageo PLC - DEO	A	Dividend			Sold	12/02/20	J		
44. Intel Corp - INTC	A	Dividend	J	T					
45. Johnson & Johnson - JNJ	A	Dividend	J	T					
46. Linde PLC	A	Dividend			Sold	12/02/20	J		
47. Medtronic - MDT	A	Dividend	J	T					
48. Pepsico - PEP	A	Dividend	J	T					
49. QUALCOMM Inc - QCOM	A	Dividend	J	T					
50. Rockwell Automation - ROK	A	Dividend	J	T					
51. Suncor - SU	A	Dividend			Sold	12/02/20	J		

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	
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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				
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52. Union Pacif Corp - UNP	A	Dividend	J	T					
53. Ishared US Real Estate - IYR	A	Dividend	K	T					
54. Vanguard Mid-Cap Growth - VOT	A	Dividend	K	T					
55. Vanguard Mid-cap Value	A	Dividend	J	T					
56. Vanguard Emerging Markets - VWO	A	Dividend	K	T					
57. Vanguard Russell 1000 Growth - VONG	A	Dividend	L	T					
58. Vanguard Russell 2000 Value VTWV	A	Dividend	K	T					
59. Vanguard russell 2000 Growth - VTWG	A	Dividend	K	T					
60. Vanguard Developed MKT - VEA	A	Dividend	L	T					
61. Verizon Comm Int. NTS B/E - bond		None	K	T					
62. Matthews Asian Divident MIPIX	A	Dividend	K	T	Buy	12/04/20	K		
63. Schwab US Divident SCHD	A	Dividend	K	T	Buy	12/02/20	K		
64. Cash Account Schwab	A	Interest	J	T	Open	10/29/20	J		
65. Schwab 4 (Rollover) (H) See Part VIII									
66. Loomis Sayles Growth - LGRCX	A	Dividend			Sold	12/02/20	J	A	
67. Oakmark Intl Fund - OAKIX	A	Dividend			Sold	12/02/20	J	A	
68. T. Rowe Price Asia Opportunities TRASX	A	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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NONE (No reportable income, assets, or transactions.)

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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)
69. T. Rowe Price Asia Opportunities TRASX		None			Buy	12/04/20	K		
70. Cash Account Schwab	A	Interest	J	T	Open	10/29/20	J		
71. Schwab 5 (Roth) (H) See Part VIII									
72. California Resources Corp - CRC		None			Closed	12/01/20	J		
73. Colgate Palmolive - CL	A	Dividend			Sold	12/02/20	J		
74. Diageo - DEO	A	Dividend			Sold	12/02/20	J		
75. Intel Corp - INTC	A	Dividend	J	T					
76. Johnson & Johnson - JNJ	A	Dividend	J	T					
77. Medtronic - MDT	A	Dividend	J	T					
78. Pepsico - PEP	A	Dividend	J	T					
79. Qualcomm - QCOM	A	Dividend	J	T					
80. Rockwell Automation - ROK	A	Dividend	J	T					
81. Suncor - SU	A	Dividend			Sold	12/02/20	J	A	
82. Union Pacitic Corp - UNP	A	Dividend	J	T					
83. IShares US Real Estate - IYR	A	Dividend	K	T					
84. Vanguard Mid-Cap Growth - VOT	A	Dividend	K	T					
85. Vanguard Mid-Cap Value - VOE	A	Dividend	K	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)
86. Vanguard Emerging Markets - VWO	A	Dividend	L	T					
87. Vanguard Russell 1000 Growth - VONG	A	Dividend	K	T					
88. Vanguard Russell 2000 Value - VTWV	A	Dividend	K	T					
89. Vanguard Russell 2000 Growth - VTWG	A	Dividend	K	T					
90. Vanguard Developed MKT - VEA	A	Dividend	K	T					
91. Vanguard Total Stock - VTSAX	A	Dividend	K	T					
92. Schwab US Dividend SCHD	A	Dividend	L	T	Buy	12/04/20	L		
93. T Rowe Price Asia Opportunities TRASX	A	Dividend	K	T	Buy	12/04/20	K		
94. Cash Account Schwab	A	Interest	J	T	Buy	10/29/20	J		
95. 457(b) Plan (H)									
96. MO2035 Fund	B	Interest	N	T					
97. UBS Cash Account	A	Int./Div.			Closed	10/29/20	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

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

Part VII

#4 Schwab 1: In October 2020 all assets in our UBS account were transferred to a new account with Charles Schwab.

#11 California Resource Corp- CRC: This company declared bankruptcy and the asset no longer has any value.

#43 Schwab 2 (Roth): In October 2020, all assets in our UBS account were transferred to a new account with Charles Schwab.

#47 Schwab 3 (Rollover): In October 2020, all assets in our UBS account were transferred to a new account with Charles Schwab.

#49 California Resources Corp - CRC: The company declared bankruptcy and the asset has no value.

#79 Schwab 4 (Rollover): In October 2020, all assets in our UBS account were transferred to a new account with Charles Schwab.

#87 Schwab 5 (Roth): In October 2020, all assets in our UBS account were transferred to a new account with Charles Schwab.

#89 California Resources Corp - CRC: The company declared bankruptcy and the asset has no value.

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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/ **Mary E. 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