

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                        |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><br><br>Varlan, Thomas A.                                                                                                                    | <b>2. Court or Organization</b><br><br>U.S. District Court, E. Tenn.                                                                                                                                                                   | <b>3. Date of Report</b><br><br>05/14/2021                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>U. S. District Judge - Active                                                 | <b>5a. Report Type (check appropriate type)</b><br><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final | <b>6. Reporting Period</b><br><br>01/01/2020<br>to<br>12/31/2020 |
|                                                                                                                                                                                                           | <b>5b.</b> <input type="checkbox"/> Amended Report                                                                                                                                                                                     |                                                                  |
| <b>7. Chambers or Office Address</b><br><br>U. S. District Court<br>800 Market Street<br>Knoxville, TN 37902                                                                                              |                                                                                                                                                                                                                                        |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                        |                                                                  |

## 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.          |                          |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Varlan, Thomas A.

Date of Report

05/14/2021

## 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><br>(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     | 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.            |              |                 |                |                               |

|                          |                |
|--------------------------|----------------|
| Name of Person Reporting | Date of Report |
| Varlan, Thomas A.        | 05/14/2021     |

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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## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Regions Bank Accounts                                                                                                   | A                                      | Interest                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. Ameriprise Strategic Portfolio Service AC<br>[REDACTED]                                                                 | A                                      | Dividend                                      | K                                              | T                                         | Open                                            | 10/06/20                | K                               |                                |                                                                   |
| 3. - Ameriprise Insured Money Market                                                                                       | A                                      | Int./Div.                                     | J                                              | T                                         | Open                                            | 10/06/20                | K                               |                                |                                                                   |
| 4. - Blackfrock Strategic Income Opptys Instl<br>CL                                                                        |                                        |                                               | J                                              | T                                         | Buy                                             | 10/09/20                | J                               |                                |                                                                   |
| 5. - Columbia Ultra Short Term Bond CL I                                                                                   |                                        |                                               | J                                              | T                                         | Buy                                             | 10/09/20                | J                               |                                |                                                                   |
| 6. - Lord Abbett Short Duration Income Cl F                                                                                |                                        |                                               | J                                              | T                                         | Buy                                             | 10/09/20                | J                               |                                |                                                                   |
| 7. - MFS Conservative Alloc Cl I                                                                                           |                                        |                                               | J                                              | T                                         | Buy                                             | 10/09/20                | J                               |                                |                                                                   |
| 8. - MFS Corporate Bond Cl I                                                                                               |                                        |                                               | J                                              | T                                         | Buy                                             | 10/09/20                | J                               |                                |                                                                   |
| 9. Ameriprise Strategic Portfolio Service AC<br>[REDACTED]                                                                 | A                                      | Dividend                                      | J                                              | T                                         | Open                                            | 03/03/20                | K                               |                                |                                                                   |
| 10. - Ameriprise Insured Money Market                                                                                      |                                        |                                               | J                                              | T                                         | Open                                            | 03/03/20                | K                               |                                |                                                                   |
| 11. - Columbia Strategic Income Instl Cl                                                                                   |                                        |                                               | J                                              | T                                         | Buy                                             | 03/25/20                | J                               |                                |                                                                   |
| 12. - Pilgrim Total Return Bond Cl Z                                                                                       |                                        |                                               | J                                              | T                                         | Buy                                             | 03/25/20                | J                               |                                |                                                                   |
| 13. - Ishares 7-10YR Treasury Bond ETF                                                                                     |                                        |                                               | J                                              | T                                         | Buy                                             | 03/25/20                | J                               |                                |                                                                   |
| 14. - Ishares MSCI EAFE ETF                                                                                                |                                        |                                               | J                                              | T                                         | Buy                                             | 03/25/20                | J                               |                                |                                                                   |
| 15. - Ishares Russell 1000 Value ETF                                                                                       |                                        |                                               | J                                              | T                                         | Buy                                             | 03/25/20                | J                               |                                |                                                                   |
| 16. - Vanguard Growth ETF                                                                                                  |                                        |                                               | J                                              | T                                         | Buy                                             | 03/25/20                | J                               |                                |                                                                   |
| 17. - Vanguard Total Stock Market ETF                                                                                      |                                        |                                               | J                                              | T                                         | Buy                                             | 03/25/20                | 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                  |                                |                        |

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Name of Person Reporting

Varlan, Thomas A.

Date of Report

05/14/2021

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. Ameriprise Strategic Portfolio AC <span style="background-color: #cccccc;"> </span>                                    | B                                      | Int./Div.                              | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 19. - Coca Cola Common Stock                                                                                               | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 20. Blackrock Strategic Income Opptys Cl A                                                                                 | A                                      | Dividend                               | J                                              | T                                  | Buy<br>(add'l)                            | 12/11/20         | J                        |                         |                                                            |
| 21. Columbia Floating Rate Instl CLxx                                                                                      | A                                      | Dividend                               |                                                |                                    | Sold                                      | 06/01/20         | J                        | A                       |                                                            |
| 22. Goldman Sachs Small Mid Cap Growth<br>Investor CL xx                                                                   | A                                      | Dividend                               |                                                |                                    | Sold                                      | 05/20/20         | J                        | A                       |                                                            |
| 23. Vanguard Total Stock Market ETF                                                                                        | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 24. Ivy Intl Core Equity Cl I                                                                                              | A                                      | Dividend                               |                                                |                                    | Sold                                      | 05/20/20         | J                        | A                       |                                                            |
| 25. Lord Abbett Short Duration Income Cl L                                                                                 | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 26. PGIM Total Return Bnd Cl Z                                                                                             | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 27. -PGIM Short Term Corp Bond CLZ                                                                                         | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 28. Columbia Convertible Securities Instl Cl                                                                               | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 12/11/20         | K                        |                         |                                                            |
| 29. Fidelity Advisor Mun Income Cl I                                                                                       | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 12/11/20         | K                        |                         |                                                            |
| 30. MFS Conservative Alloc C L                                                                                             | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 12/11/20         | K                        |                         |                                                            |
| 31. IShares 7-10 YR Treasury Bond ETF                                                                                      | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 05/20/20         | K                        |                         |                                                            |
| 32. Vanguard Growth ETF                                                                                                    | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 06/01/20         | J                        |                         |                                                            |
| 33. Strategic Portfolio Service Advantage IRA<br>- 1                                                                       | B                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 34. - Ameriprise Bank Insured Sweep Acct.                                                                                  | A                                      | Interest                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |

|                         |                                 |                            |                               |                                |                        |
|-------------------------|---------------------------------|----------------------------|-------------------------------|--------------------------------|------------------------|
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| 2 Value Codes           | J =\$15,000 or less             | K =\$15,001 - \$50,000     | L =\$50,001 - \$100,000       | M =\$100,001 - \$250,000       |                        |
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| (See Column C2)         | U =Book Value                   | V =Other                   | W =Estimated                  |                                |                        |

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Name of Person Reporting

Varlan, Thomas A.

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|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35. -Blackrock Strategic Income Opptys Cl A                                                                                | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 36. -Multi Mgr Value Strategies Cl A                                                                                       | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 37. - Multi Manager Small Cap Equity Cl Z                                                                                  | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 38. -Multi Manager Growth Strategies Cl Z                                                                                  | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 39. - Multi Manager Total Return Bond Cl Z                                                                                 | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 40. - Multi Manager Intl Equity Strategies Inst C                                                                          | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 41. - Delaware U S Growth Instl Cl                                                                                         | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 42. - MFS Intl. Intr. Value Cl I                                                                                           | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 43. - MFS Value Cl I                                                                                                       | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 44. - MFS Mid Cap Growth Cl I                                                                                              | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 45. - Wells Fargo Emerging Markets Equity Cl                                                                               | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 46. - Wells Fargo Special Mid Cap Inst. Value Cl                                                                           | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 47. -Ishares Core MSCI Emerging Markets                                                                                    | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 05/15/20                | J                               | A                              |                                                                   |
| 48. Strategic Advantage Service Portfolio IRA - 2                                                                          | A                                      | Dividend                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 49. - Ameriprise Bank Insured Sweep Account                                                                                | A                                      | Interest                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 50. - Blackrock Strategic income Opptys Cl A                                                                               | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 51. - Multi Manager Small Cap Equity Cl Z                                                                                  | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
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|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52. - Multimanager Total Return Bond Strategies CL Z                                                                       | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 53. - Multimanager Value Strategies CL Z                                                                                   | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 54. - Multimanager Instl Equity Strategies Instl Cl                                                                        | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 55. - MFS Intr. Value Cl A                                                                                                 | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 56. - MFS Value Cl A                                                                                                       | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 57. -MFS Mid Cap Growth                                                                                                    | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 58. - Wells Fargo Emerging Markets Equity Cl A                                                                             | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 59. - Wells Fargo Special Mid Cap Value Cl A                                                                               | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 60. -Delaware U S Growth Instl Cl                                                                                          | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 61. -Multi Manager Growth Strategies Cl Z                                                                                  | A                                      | Dividend                                      | J                                              | T                                         | Buy<br>(add'l)                                  | 12/09/20                | J                               |                                |                                                                   |
| 62. -Ishares Core MSCI Emerging Markets ETF                                                                                | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 05/15/20                | J                               | A                              |                                                                   |
| 63. Angelos Charitable Trust                                                                                               | E                                      | Int./Div.                                     | P1                                             | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 64. - Ameriprise Investment Account                                                                                        | E                                      | Int./Div.                                     | P1                                             | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 65. ---Ameriprise Insured Money Market Fund                                                                                | B                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 66. ---Invesco Developing Markets Cl Y                                                                                     | A                                      | Dividend                                      | J                                              | T                                         | Donated<br>(part)                               |                         |                                 |                                |                                                                   |
| 67. ---Blackrock Total Return Instl.                                                                                       | B                                      | Dividend                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 68. ---Blackrock Strategic Mun. Oppty. Instl. Cl                                                                           | A                                      | Dividend                                      | J                                              | T                                         | Donated<br>(part)                               |                         |                                 |                                |                                                                   |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>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.)

NONE (No reportable income, assets, or transactions.)

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 69. ---Blackrock Strategic Income Opps. Instl.<br>xx                                                                       | B                                      | Dividend                               |                                                |                                    | Sold                                      | 05/20/20         | K                        | A                       |                                                            |
| 70. ---Columbia Floating Rate Inst. CLxx                                                                                   | B                                      | Dividend                               |                                                |                                    | Sold                                      | 09/01/20         | J                        | A                       |                                                            |
| 71. ---JP Morgan Global Bond Oppts.CL L                                                                                    | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 72. ---John Hancock International Growth                                                                                   | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 73. ---Lord Abbott Ultra Short Bond                                                                                        | D                                      | Dividend                               | M                                              | T                                  | Donated<br>(part)                         |                  |                          |                         |                                                            |
| 74. ---Pimco Income Cl 12                                                                                                  | B                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 75. ---Pilgrim Total Return Bond Cl Z                                                                                      | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 11/02/20         | J                        |                         |                                                            |
| 76. ---AT&T, Inc.                                                                                                          | B                                      | Dividend                               | K                                              | T                                  | Donated<br>(part)                         |                  |                          |                         |                                                            |
| 77. ---Berkshire Hathaway, Inc. Cl                                                                                         | B                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 78. ---Chevron, Inc.                                                                                                       | A                                      | Dividend                               |                                                |                                    | Sold                                      | 11/02/20         | J                        |                         |                                                            |
| 79. ---Pepsico, Inc.                                                                                                       | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 80. ---Verizon Communications, Inc.                                                                                        | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 81. ---Ishares Core S&P 500 ETF                                                                                            | B                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 82. ---Ishares S&P Mid Cap ETF                                                                                             | A                                      | Dividend                               |                                                |                                    | Sold                                      | 05/20/20         | K                        | B                       |                                                            |
| 83. ---Ishares Core S&P Small Cap                                                                                          | A                                      | Dividend                               |                                                |                                    | Sold                                      | 05/20/20         | J                        | A                       |                                                            |
| 84. ---Ishares Edge MSCI Min Volatility                                                                                    | C                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 85. ---Bellsouth Corp Not Make Whole                                                                                       | A                                      | Dividend                               |                                                |                                    | Donated                                   |                  |                          |                         |                                                            |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Varlan, Thomas A.

Date of Report

05/14/2021

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 86. ---Van Kampen Invt Grade Mun Tr                                                                                        | A                                      | Interest                               |                                                |                                    | Sold                                      | 11/02/20         | J                        | A                       |                                                            |
| 87. ---Vanguard Growth ETF                                                                                                 | A                                      | Dividend                               | L                                              | T                                  | Buy                                       | 11/02/20         | L                        |                         |                                                            |
| 88. Patricia Angelos IRA                                                                                                   | C                                      | Int./Div.                              | N                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 89. --Ameriprise Insured Money Market`                                                                                     | A                                      | Interest                               | K                                              |                                    |                                           |                  |                          |                         |                                                            |
| 90. --Invesco Developing Markets Cl Y                                                                                      | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 91. --Blackrock Total Return Instl.                                                                                        | B                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 92. --Blackrock Strategic Mun. Opptys. Instl.                                                                              | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 93. --Blackrock Strategic Income Opptys. Instl.                                                                            | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 94. --Columbia Floating Rate Inst. Cl.                                                                                     | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 95. ---JP Morgan Global Bond Opptys                                                                                        | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 02/25/20         | J                        |                         |                                                            |
| 96. --John Hancock Intl. Growth Cl                                                                                         | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 97. --Lord Abbett Ultra Short Bond Cl A                                                                                    | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 02/28/20         | K                        |                         |                                                            |
| 98. --Pimco Income CL 12                                                                                                   | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 99. --AT&T, Inc.                                                                                                           | D                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 100. --Berkshire Hathaway, Inc.                                                                                            | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 101. --Pfizer, Inc.                                                                                                        | A                                      | Dividend                               |                                                |                                    | Distributed                               | 02/25/20         | J                        |                         |                                                            |
| 102. --Chevron Corp                                                                                                        | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 02/25/20         | 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                  |                                |                        |

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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 103. ---Pepsico Inc                                                                                                        | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 02/25/20         | J                        |                         |                                                            |
| 104. --Verizon Communications Inc                                                                                          | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 02/25/20         | J                        |                         |                                                            |
| 105. --Ishares Core S&P 500 ETF                                                                                            | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 106. --Ishares Core S&P Mid Cap ETF                                                                                        | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 107. --Ishares Core S&P Small Cap ETF                                                                                      | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 108. --Ishares Edge MSCI Min. Volatility ETF                                                                               | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 109.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 110.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 111.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 112.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 113.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 114.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 115.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 116.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 117.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 118.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 119.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |

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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 120.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 121.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 122.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 123.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 124.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 125.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 126.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 127.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 128.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 129.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

**FINANCIAL DISCLOSURE REPORT**

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|                                                          |                                         |
|----------------------------------------------------------|-----------------------------------------|
| <b>Name of Person Reporting</b><br><br>Varlan, Thomas A. | <b>Date of Report</b><br><br>05/14/2021 |
|----------------------------------------------------------|-----------------------------------------|

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Varlan, Thomas A.

Date of Report

05/14/2021

## 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