

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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

1. Person Reporting (last name, first, middle initial) PHAM, TU M.	2. Court or Organization U.S. DISTRICT COURT FOR THE WESTERN DISTRICT OF TENNESSEE	3. Date of Report 08/09/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) MAGISTRATE JUDGE (FT)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2020 to 12/31/2020
7. Chambers or Office Address 167 N MAIN STREET MEMPHIS, TN 38103		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)

☒ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____
5. _____	_____

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 1997	DEFINED CONTRIBUTION 401(K) PLAN WITH KIRKLAND & ELLIS (FORMER LAW FIRM)
2. _____	_____
3. _____	_____

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

PHAM, TU M.

Date of Report

08/09/2021

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> (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	SHELBY COUNTY TENNESSEE SCHOOLS (SALARY)
2. 2020	COLLIERVILLE SCHOOLS (SALARY)
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
PHAM, TU M.	08/09/2021

V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. (Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)

☒ NONE (No reportable liabilities.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. Individual Assets (H)									
2. FED TRUST FEDERAL BUILDING FEDERAL CREDIT UNION (cash)	A	Interest	K	T					
3. VASCULAR TECHNOLOGIES INC		None	L	V					
4. Account #1 (H)									
5. SCHWAB US DIVIDEND EQUITY ETF (SCHD)	A	Dividend	K	T					
6. FIRST EAGLE OVERSEAS FUND CL A (SGOVX)	A	Dividend	K	T					
7. MAIRS AND POWER SM CAP FD (MSCFX)	A	Dividend	J	T					
8. SCHWAB FUNDAMENTAL GLBL REAL ESTATE (SFREX)	A	Dividend	J	T					
9. VANGUARD HEALTH CARE FUND (VGHCX)	B	Dividend	K	T					
10. Account #2 (H)									
11. CHARLES SCHWAB BANK DEPOSIT SWEEP ACCOUNT (CASH) (X)	A	Interest	K	T					
12. INVESCO OPPENHEIMER DEVELOPING MARKETS (ODMAX)		None			Sold	02/13/20	K		
13. JPMORGAN MID CAP VALUE (FLMVX)	B	Dividend	K	T					
14. MAIRS & POWER SM CAP (MSCFX)	A	Dividend	J	T					
15. OAKMARK INTL FD INV (OAKIX)	A	Dividend	K	T					
16. PRIMECAP ODYSSEY AGGRESSIVE (POAGX)	B	Dividend	L	T					
17. Account #3 (H)									

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

A =\$1,000 or less
F =\$50,001 - \$100,000
J =\$15,000 or less
N =\$250,001 - \$500,000
P3 =\$25,000,001 - \$50,000,000
Q =Appraisal
U =Book Value

B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000
R =Cost (Real Estate Only)
V =Other

C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000
L =\$50,001 - \$100,000
P1 =\$1,000,001 - \$5,000,000
P4 =More than \$50,000,000
S =Assessment
W =Estimated

D =\$5,001 - \$15,000
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. VANGUARD SELF DIRECTED BROKERAGE (cash) (X)		None	L	T					
19. VANGUARD PRIMECAP FUND ADMIRAL (VPMAX)		None	J	T					
20. Account #4 (H)									
21. T ROWE RETIREMENT 2050 ADV (PARFX)	A	Dividend	J	T	Sold (part)	02/27/20	M		
22. T ROWE RETIREMENT 2005 ADV		None			Buy	02/27/20	M		
23.					Sold	03/19/20	M		
24. AMERCENT CP PRES MM INV	A	Dividend	M	T	Buy	03/19/20	M		
25. Account #5 (H)									
26. SCHWAB GOVT MONEY FUND (SWGXX) (cash eq) (X)	A	Dividend	L	T					
27. DODGE & COX GLOBAL D FD (DODLX)		None			Sold	03/19/20	J		
28. GQG PARTNERS EMRG MKTS EQTY FD INV (GQGPX)		None			Sold (part)	02/14/20	J	A	
29.					Sold	03/19/20	J		
30. MAIRS & POWERS SM CAP (MSCFX)	A	Dividend	J	T	Sold (part)	03/19/20	J		
31. OAKMARK INTL FD CLASS (OAKIX)	A	Dividend	J	T	Sold (part)	02/28/20	J		
32. PRIMECAP ODYSSEY AGGR GROWTH (POAGX)	B	Dividend	K	T	Buy (add'l)	02/18/20	J		
33.					Sold (part)	02/28/20	K	B	
34. SCHWAB FUNDAMENTAL GLBL REAL ESTATE INDEX FD (SFREX)		None			Sold	03/19/20	J		

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

A =\$1,000 or less
F =\$50,001 - \$100,000
J =\$15,000 or less
N =\$250,001 - \$500,000
P3 =\$25,000,001 - \$50,000,000
Q =Appraisal
U =Book Value

B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000
R =Cost (Real Estate Only)
V =Other

C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000
L =\$50,001 - \$100,000
P1 =\$1,000,001 - \$5,000,000
P4 =More than \$50,000,000
S =Assessment
W =Estimated

D =\$5,001 - \$15,000
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
T =Cash Market

E =\$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

PHAM, TU M.

Date of Report

08/09/2021

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35. VANGUARD HEALTH CARE FD INV (VGHGX)	A	Dividend	J	T					
36. VANGUARD SMALL CAP VALUE INDEX ADM (VSIAX)	A	Dividend			Sold	03/19/20	J		
37. Account #6 (H)									
38. TD AMERITRADE INSURED DEPOSIT ACCT (IDA) (cash eq) (X)	A	Interest	L	T					
39. PRIMECAP ODYSSEY AGGRESSIVE GROWTH (POAGX)	A	Dividend	J	T	Sold (part)	02/28/20	K		
40.					Sold (part)	03/19/20	J		
41. T ROWE PRICE HEALTH SCIENCES (PRHSX)	A	Dividend	J	T	Sold (part)	02/28/20	K		
42.					Sold (part)	03/19/20	K		
43. Account #7 (H)									
44. SCHWAB BANK DEPOSIT ACCOUNT (cash)	A	Interest	L	T					
45. EATON VNCE MGD GLBL BUY (ETW)	A	Dividend	J	T					
46. EOG RESOURCES INC (EOG)	A	Dividend	J	T					
47. PYPL COMMON STOCK (PYPL)		None			Sold	03/24/20	K		
48. ISHARES MSCI EAFE ETF (EFA)		None			Sold	04/13/20	J		
49. SPDR GOLD SHARES ETF NV (GLD)		None	J	T					
50. SPDR S&P 400 MID CAP (MDYV)		None			Sold	03/24/20	J		
51. VANGUARD S/T INVESTMENT (VFSTX)	A	Dividend	K	T					

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

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

PHAM, TU M.

Date of Report

08/09/2021

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52. FIRST EAGLE OVERSEAS FUND CL A (SGOVX)	A	Dividend	J	T					
53. MAIRS AND POWER SM CAP (MSCFX)	A	Dividend	J	T					
54. SCHWAB SMALL CAP INDEX (SWSSX)		None			Sold	03/23/20	J		
55. Account #8 (H)									
56. SCHWAB BANK SWEEP ACCOUNT (cash)	A	Interest	N	T					
57. ISHARES MSCI JAPAN (EWJ)		None			Sold	03/19/20	J		
58. PRIMECAP ODYSSEY AGGR (POAGX)	A	Dividend	J	T					
59. Account #9 (H)									
60. FIDELITY MSCI INFORMATION TECHNOLOGY (FTEC) (X)	A	Dividend	J	T					
61. Account #10 (H)									
62. FIDELITY MSCI INFORMATION TECHNOLOGY (FTEC) (X)	A	Dividend	J	T					
63. Account #11 (H)									
64. SCHWAB BANK SWEEP ACCOUNT (cash) (X)	A	Interest	J	T					
65. MAIRS & POWER GROWTH FUND (MPGFX)		None			Sold	03/19/20	J		
66. PRIMECAP ODYSSEY AGGRESSIVE GROWTH FUND (POAGX)	A	Dividend	J	T	Sold (part)	03/20/20	J		
67. Account #12 (H)									
68. TN STARS INTEREST BEARING ACCOUNT (cash equiv)	A	Int./Div.	K	T					

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

PHAM, TU M.

Date of Report

08/09/2021

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
69. TN AGGRESSIVE GROWTH FUND (POAGX)		None			Sold	03/19/20	J		
70. TN BALANCED FUND		None			Sold	03/19/20	J		
71. Account #13 (H)									
72. SCHWAB BANK SWEEP ACCOUNT (cash) (X)	A	Interest	J	T					
73. MAIRS & POWER GROWTH FUND (MPGFX)		None			Sold	03/19/20	J		
74. PRIMECAP ODYSSEY AGGRESSIVE GROWTH FUND (POAGX) (X)	A	Dividend	J	T	Sold (part)	03/20/20	J		
75. Account #14 (H)									
76. TN STARS INTEREST BEARING ACCOUNT (cash equiv)	A	Int./Div.	K	T					
77. TN STARS AGGRESSIVE GROWTH FUND		None			Sold	03/19/20	J		
78. TN STARS TOTAL INTERNATIONAL STOCK FUND		None			Sold	03/19/20	J		
79. TN STARS BALANCED FUND		None			Sold	03/19/20	J		
80. Account #15 (H)									
81. TN STARS INTEREST BEARING ACCOUNT (cash equiv) (X)	A	Int./Div.	J	T					
82. TN STARS AGGRESSIVE GROWTH FUND		None			Sold	03/19/20	J		
83. TN STARS TOTAL INTERNATIONAL STOCK FUND		None			Sold	03/19/20	J		
84. TN STARS BALANCED FUND		None			Sold	03/19/20	J		

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

PHAM, TU M.

Date of Report

08/09/2021

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

Part VII, line 3: Valuation of this asset is based upon the amount of the initial investment.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

PHAM, TU M.

Date of Report

08/09/2021

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/ TU M. PHAM**

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