

FINANCIAL DISCLOSURE REPORT FINAL FILING

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

1. Person Reporting (last name, first, middle initial) Phillips, Thomas W.	2. Court or Organization Eastern District of Tennessee	3. Date of Report 09/09/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☐ Annual ☒ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 08/01/2013
7. Chambers or Office Address 800 Market Street Suite 145 Knoxville, TN 37902		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Member, Board of Trustees	Berea College, Berea, KY
2.	
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*

DATE

SOURCE AND TYPE

INCOME

(yours, not spouse's)

1.

2.

3.

4.

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*

DATE

SOURCE AND TYPE

1.

2.

3.

4.

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*NONE *(No reportable reimbursements.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.

2.

3.

4.

5.

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*☐NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.	ATTEND ANNUAL REVIEW SEMINAR W/O CHARGE	TENNESSEE LAW INSTITUTE	\$500.00
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*☒NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. CD-1ST NAT'L BANK, ONEIDA, TN (X)	B	Interest	L	T					
2. AMERIPRISE BROCKERAGE ACCOUNT (CASH EQUIVALENT)	A	Int./Div.	J	T					
3. CBRL GROUP, INC.	A	Dividend	J	T					
4. AMEX TRUST CO. - IRA	C	Int./Div.	M	T					
5. --AMERIPRISE INS MONEY MARKET	A	Interest	J	T					
6. --COLUMBIA FUNDS BALANCED CL A	A	Dividend	K	T					
7. --SOUTHERN CO.	A	Dividend			Sold	06/26/13	J	A	
8. --ALTRIA GROUP, INC.	A	Dividend			Sold	06/26/13	J	A	
9. --PIMCO TOTAL RETURN-A	B	Dividend	J	T					
10. --400 MID CAP VALUE ETF	A	Dividend	J	T					
11. --COLUMBIA BALANCED CL A	A	Dividend	K	T					
12. --COLUMBIA BALANCED CL A	A	Dividend	K	T					
13. --PRUDENTIAL SHORT TERM CORP BOND FUND INC CL A	C	Interest			Sold	05/06/13	M	B	
14. --AMEX INS MONEY MARKET	C	Interest	L	T	Buy	06/28/13	L		
15. AMEX TRUST CO. ROTH IRA	A	Dividend	L	T					
16. --BLKRCK GLB ALLOCATION	A	Dividend	L	T					
17. --JOHN HANCOCK III MID CAP CL A	A	Dividend	K	T	Buy	05/09/13	K		

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
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18. --MUTUAL GLOBAL DISCOVERY CL A	A	Dividend	K	T	Buy	05/09/13	K		
19. AMEX - TRUST CO. IRA	B	Int./Div.	M	T					
20. --AMERIPRISE INS MONEY MARKET	A	Interest	J	T					
21. --COLUMBIA FUNDS BALANCED CL A	A	Dividend	K	T					
22. --COLUMBIA FUNDS BALANCED CL A	A	Dividend	K	T					
23. --ISHARES LEHMAN 1-3 YR CREDIT	A	Dividend			Sold	06/28/13	J	A	
24. PIMCO TOTAL RETURN -A	A	Dividend	J	T					
25. --PRUDENTIAL SHORT TERM CORP BOND FUND INC CL A	A	Dividend			Sold	05/06/13	K	A	
26. RVS STRAT INC ALLOC -A RIVERSOURCE MUTUAL FUNDS	A	Dividend	K	T					
27. --BLACKROCK STRAT INCOME OPP	B	Dividend	K	T	Buy	05/09/13	K		
28. --JOHN HANCOCK III MID CAP CL A	A	Dividend	K	T	Buy	05/09/13	K		
29. --MUTUAL GLOBBSAL DISCOVERY CL A	A	Dividend	J	T	Buy	05/09/13	J		
30. GLD STRAT INCOME -A GOLDMAN SACHS ASSET MGMT	A	Dividend	K	T	Sold (part)	06/11/13	K	A	
31. COLUMBIA FUNDS BAL CL A	A	Dividend	K	T					
32. ISHARES LEHMAN 1-3 YEAR CREDIT BOND FUND	A	Dividend	J	T					
33. COLUMBIA FUNDS BALANCED CL A	B	Dividend	K	T					
34. SPDR S&P 400 MID CAP VALUE	A	Dividend	K	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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35. SPDR S&P 400 MID CAP VALUE	A	Dividend	K	T	Sold (part)	01/15/13	K	A	
36. GLD STRAT INCOME-A GOLDMAN SACHS ASSET MGMT	B	Dividend	K	T	Sold (part)	02/10/13	K	A	
37. GLD STRAT INCOME-A GOLDMAN SACHS ASSET MGMT	B	Dividend	K	T	Sold (part)	04/16/13	K	A	
38. FRK TN MUNI BOND-A FRANKLIN GROUP FUNDS	A	Dividend			Sold	06/26/13	J	A	
39. MFS TENNESSEE MUNICIPAL BOND CL A	B	Interest			Sold	06/26/13	K	B	
40. MFS TENNESSEE MUNICIPAL BOND CL A	B	Interest			Sold	06/26/13	K	B	
41. INDUSTRIAL INCOME TR INC	B	Dividend	L	T	Buy	07/03/13	L		
42. FIDELITY ADVISOR NEW INSIGHTS	A	Dividend	K	T	Buy	05/09/13	K		
43. MANAGERS YACKTMAN FOCUSED SERVICE CL	A	Dividend	K	T	Buy	05/09/13	K		

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

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: **s/ Thomas W. Phillips**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544