

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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

1. Person Reporting (last name, first, middle initial) PHILLIPS, KEITH L.	2. Court or Organization RICHMOND DIVISION - US BANKRUPTCY COURT - EASTERN DIVISION VA	3. Date of Report 11/10/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US BANKRUPTCY JUDGE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address 701 EAST BROAD STREET, 5TH FLOOR RICHMOND, VA 23219		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. LLC MEMBER	BLVD, LLC
2. GENERAL PARTNER	EKP ASSOCIATES, L.C.
3.	
4.	
5.	

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

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 2013	ORAL AGREEMENT WITH FORMER LAW FIRM TO RECEIVE COMPENSATION FOR LEGAL SERVICES RENDERED PRIOR TO BECOMING A JUDGE. NO CONTROL IN FORMER LAW FIRM.
2. 2013	ORAL AGREEMENT WITH SUCCESSOR CHAPTER 7 TRUSTEES TO RECEIVE COMMISSIONS EARNED FOR SERVICES PERFORMED PRIOR TO BECOMING A JUDGE. NO CONTROL OVER TRUSTEE CASES.
3.	

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2015	PHILLIPS & FLECKENSTEIN, LLC (RESIDUAL SALARY)	\$31,625.01
2. 2015	TRUSTEE INCOME (GROSS)	\$20,000.00
3.		
4.		

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
2.	
3.	
4.	

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

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

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

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	JPMORGAN CHASE BANK	MORTGAGE - RENTAL PROPERTY #1/RICHMOND, VA (PT VII, LINE 1)	K
2.	CITIMORTGAGE	MORTGAGE - EKP ASSOCIATES - RENTAL PROPERTY #1/ RICHMOND, VA (PT VII, LINE 2)	K
3.	CITIMORTGAGE	MORTGAGE - EKP ASSOCIATES - RENTAL PROPERTY #2/ RICHMOND, VA (PT VII, LINE 2)	K
4.	CITIMORTGAGE	MORTGAGE - EKP ASSOCIATES - RENTAL PROPERTY #3/ RICHMOND, VA (PT VII, LINE 2)	K
5.	OCWEN MORTGAGE	MORTGAGE - EKP ASSOCIATES - RENTAL PROPERTY #4/ RICHMOND, VA (PT VII, LINE 2)	K

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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. RENTAL PROPERTY #1/RICHMOND, VA 2002 - \$36,750 (50%)	D	Rent	L	R					
2. EKP ASSOCIATES LC - RENTAL PROPERTIES/RICHMOND, VA (50%)	E	Rent	N	U					
3. BLVD, LLC (50% OWNERSHIP)	B	Distribution	M	U					
4. WELLS FARGO - CHECKING ACCOUNT	A	Int./Div.	J	T					
5. BB&T #1 - CHECKING ACCOUNT		None	J	T					
6. BB&T #2 - CHECKING ACCOUNT		None	K	T					
7. FIDELITY INVESTMENTS - CASH ACCOUNT	A	Interest	K	T					
8. (H) FIDELITY INVESTMENTS									
9. CIT BK SALT LAKE CITY UT	A	Interest			Redeemed	05/18/15	J		
10. GE CAP BK INC RETAIL CD	A	Interest			Redeemed	10/07/15	J		
11. SALLIE MAE BK SLT LAKE CITY UT	A	Interest			Redeemed	11/20/15	J		
12. STATE BK INDIA CHICAGO ILL 2.00% 08/12/16	A	Interest	J	T					
13. GOLDMAN SACHS BK USA NY 2.00% 10/12/16	A	Interest	J	T					
14. SALLIE MAE BK SLT LAKE CITY UT 1.05% 10/31/16		None	J	T					
15. SYNCHRONY BANK RET 1.05% 11/22/16 FORMERLLY GE CAP RETAIL BK DRAPER UT	A	Interest	J	T					
16. SYNCHRONY BANK RET 5.10% 12/18/18 FORMERLLY GE CAP RETAIL BK DRAPER UT	A	Interest	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000,001 - \$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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
17. STATE BK INDIA NEW YORK NY 1.50% 10/17/17		None	J	T					
18. SYNCHRONY BANK RET 2.30% 03/30/20 FORMERLly GE CAP RETAIL BK DRAPER UT	A	Interest	J	T					
19. AMERICAN EXP FED SVGS BK. INSTL 2.20% 10/23/19	A	Interest	J	T					
20. GE CAP BK RETAIL CD 2.85% 09/16/21		None	J	T					
21. BANK INTERNET USA SAN DIEGO CA 3.550% 03/31/20	A	Interest	J	T					
22. GE CAP BK INC CD 2.90% 11/16/21	A	Interest	J	T					
23. GE CAP BK INC RETAIL CD 1.50% 10/17/17	A	Interest	J	T					
24. SYNCHRONY BANK RET 2.90% 11/23/21 FORMERLly GE CAP RETAIL BK DRAPER UT	A	Interest	J	T					
25. GE CAP BK INC RETAIL CD 3.80% 12/11/19	A	Interest	J	T	Buy	02/12/15	J		
26. GOLDMAN SACHS BK USA NY 5.00% 12/12/17	A	Interest	J	T	Buy	02/12/15	J		
27. CATHAY BK LOS ANGEL CALIF .20% 05/15/15	A	Interest			Buy	02/19/15	J		
28. CATHAY BK LOS ANGEL CALIF .20% 05/15/15		None			Redeemed	05/15/15	J		
29. BANK INDIA NEW YORK .55% 02/17/16		None	J	T	Buy	09/11/15	J		
30. MERCHANTS BK IND LYNN .35% 12/11/15	A	Interest	J	T	Buy	09/11/15	J		
31. GE CAP BK INC CD 1.35% 09/14/16		None	J	T	Buy	11/23/15	J		
32. BEAL BK USA LAS VEGAS NEV CD .45% 04/27/16		None	J	T	Buy	11/25/15	J		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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33. MERCHANTS BK IND LYNN 035% 12/11/15		None			Redeemed	12/11/15	J		
34. FIRST PRIORITY BK MALVERN PA CD .40% 02/29/16		None	J	T	Buy	12/30/15	J		
35. FIDELITY INVESTMENTS CASH ACCOUNT	A	Interest	J	T					
36. (H) JANNEY MONTGOMERY SCOTT LLC #1									
37. CLEARBRIDGE VALUE		None	J	T	Sold (part)	06/18/15	J	B	
38. COLUMBIA MARS - STOCK		None			Sold	06/18/15	J		
39. GLOBAL X CHINA FINANCIALS ETF (Y)									
40. IVY ASSET STRAT		None			Sold	06/18/15	J	A	
41. MB FINANCIAL INC NEW (X)	A	Dividend			Sold	06/18/15	J	A	
42. MFS TTL RET A	A	Dividend			Sold	06/18/15	J	A	
43. ROYCE PA MUTL CONSULT - STOCK	B	Dividend	J	T	Sold (part)	06/18/15	J	B	
44. JANNEY INSURED SWP	A	Int./Div.	J	T					
45. VA ST RES AUTH - TAX EXEMPT OID	B	Int./Div.	K	T					
46. (H) JANNEY MONTGOMERY SCOTT LLC #2									
47. ISHS CORE S&P MDCP	A	Dividend	J	T					
48. ISHARES RUSSELL 2000 ETF (X)	A	Dividend	J	T					
49. MKT VECT INTRM MUN	A	Dividend	J	T	Sold (part)	04/02/15	J		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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50. PWRSH VRDO TAX FR WK	A	Dividend	J	T					
51. SECTOR ENERGY SELECT	A	Dividend			Sold	02/17/15	J		
52. SECTOR FINANCIAL SELECT	A	Dividend	J	T					
53. SECTOR TECHNOLOGY	A	Dividend	J	T	Sold (part)	02/17/15	J	A	
54. SPDR BARCLAYS CAPITAL (X)	A	Dividend	J	T					
55. SPDR S&P 500	A	Dividend	J	T	Sold (part)	02/17/15	J	A	
56. VANGUARD HEALTH CARE	A	Dividend	J	T					
57. WSDMTR JPN HEDG EQ	A	Dividend	J	T					
58. WSDMTR TRUST EUROPE HEADGE FUND	A	Dividend	J	T					
59. VIRGINIA 529 PREPAID PLAN #1 - 8 SEMESTER TIER I		None	K	V					
60. VIRGINIA 529 PREPAID PLAN #2 - 8 SEMESTER TIER I		None	K	V					
61. VIRGINIA 529 PREPAID PLAN #3 - 8 SEMESTER TIER I		None	J	V					
62. IRA #1	C	Dividend	M	T					
63. - CASH ACCOUNT - JANNEY MONTGOMERY SCOTT LLC									
64. - INVESCO EQUALLY WEIGHTED S&P FUND									
65. - ALLIANCE BERNSTEIN GLOBAL THEMATIC GROWTH FUND									
66. - COHEN AND STEERS INTERNATIONAL REALTY FUND					Sold	01/14/15	J		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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67. - COLUMBIA MARSICO FOCUSD EQUITY FUND LG CAP									
68. - FIRST TRUST FINANCIAL ALPHADEX ETF									
69. - FIRST TRUST INDUSTRIAL PRODUCER DURABLE ALPHADEX ETF									
70. - GOLDMAN SACHS MLP INCOME OPPORTUNITIES FUND					Sold	01/14/15	J		
71. - HENDERSON EUROPEAN FOCUS FUND					Sold	01/14/15	J		
72. -HENDERSON EUROPEAN FOCUS FUND					Sold	01/14/15	J		
73. - CLEARBRIDGE VALUE FUND									
74. - CLEARBRIDGE SPECIAL SM CAP INVESTMENT FUND									
75. - MILLER INCOME OPPORTUNITY FUND									
76. - LEGG MASON OPPORTUNITY FUND									
77. - MFS GROWTH FUND									
78. - MFS INVESTORS GROWTH FUND									
79. - MFS TOTAL RETURN (X)									
80. - PIMCO REAL RETURN FUND									
81. - PIMCO INCOME FUND									
82. - WESTERN ASSET CORE BOND FUND									
83. IRA #2	B	Int./Div.	M	T					

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84. - CASH DEPOSIT ACCOUNTS - CHARLES SCHWAB									
85. - SCHWAB VALUE ADVANTAGE									
86. - SCHWAB DIVIDEND EQUITY FUND									
87. - SCHWAB FUNDAMENTAL US LARGE CO INDEX									
88. - SCHWAB MARKETTRACK GROWTH									
89. - SCHWAB S&P 500 INDEX FUND									
90. - SCHWAB TOTAL STOCK MKT INDEX									
91. - SCHWAB 1000 INDEX FUND									
92. - T ROWE PRICE RETIREMENT 2030 FUND									
93. - VANGUARD WELLESLEY INCOME FD INVESTOR SHARE									

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

PART II - AGREEMENTS - 2015 SUCCESSOR CHAPTER 7 TRUSTEE COMMISSIONS EARNED FOR SERVICES PERFORMED PRIOR TO BECOMING A JUDGE RELATED TO LESS THAN FIVE PENDING CASES. THE COURT DETERMINES THE AMOUNT AND PROCEDURE FOR PAYMENT OF COMMISSIONS IN CONNECTION WITH SERVING AS A FORMER TRUSTEE UPON RECOMMENDATION OF OFFICE OF UNITED STATES TRUSTEE. COMMISSIONS RECEIVED ARE SHARED WITH FORMER LAW PARTNER ACCORDING TO PRIOR UNDERSTANDING.

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

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

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

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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/ **KEITH L. PHILLIPS**

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

Committee on Financial Disclosure
Administrative Office of the United States Courts
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