

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Varlan, Thomas A.	2. Court or Organization U.S. District Court, E. Tenn.	3. Date of Report 05/10/2017
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 01/01/2016 to 12/31/2016
7. Chambers or Office Address U. S. District Court 800 Market Street 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Advisory Board	University of Tennessee, Department of Political Science
2. Successor Trustee	Alexander Varlan Revocable Living Trust (Residential Rental Property Listed in Part VII)
3. Member	Judicial Resources Committee of the Judicial Conference
4. Associate Board	University of Tennessee, College of Arts and Sciences
5.	

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

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

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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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2016

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.)*SOURCEDATESLOCATIONPURPOSEITEMS 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.		
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. Regions Bank Accounts	B	Interest	K	T					
2. Ameriprise Insured Money Market	A	Int./Div.	J	T					
3. Coca Cola Common Stock	C	Dividend	L	T					
4. Blackrock Strategic Income Opptys Cl A	A	Dividend	K	T					
5. Columbia AMT-Free Intermediate Mun Bond Cl A	A	Dividend	K	T	Buy	08/09/16	K		
6. Prudential Short Term Corp. Bond Cl. A	A	Dividend	J	T					
7. Columbia Convertible Securities Cl A	A	Dividend			Sold	01/26/16	J		
8. Columbia Strategic Income Fund Cl A	A	Dividend	J	T					
9. Columbia Balanced Cl A	A	Dividend			Sold	03/16/16	J		
10. Franklin Mutual Global Discovery Cl A	A	Dividend	J	T					
11. Hodges Small Cap Retail Cl A	A	Dividend	J	T					
12. Prudential Jennison Mid Cap Growth Cl A	A	Dividend			Sold	08/09/16	J		
13. Wells Fargo Special Mid Cap Value Cl A	A	Dividend	J	T	Buy	08/09/16	J		
14. Vanguard Total Stock Market ETF	A	Dividend	J	T	Buy	08/09/16	J		
15. Strategic Portfolio Service Advantage IRA - I	B	Dividend	K	T					
16. - Ameriprise Insured Money Market					Sold	01/05/16	J		
17. - Dreyfus Govt Cash Mgt Admin Class	A	Dividend	J	T	Buy	01/05/16	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 H = \$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 \$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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☐ 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 I (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. - Fidelity Advisor New Insights	A	Dividend			Sold	08/10/16	J		
19. - Goldman Sachs Small Mid-Cap Growth Cl A					Sold	01/05/16	J		
20. - John Hancock Income Cl A					Sold	01/05/16	J		
21. - Mutual Global Discovery Cl A	A	Dividend			Sold	08/10/16	J		
22. - Blackrock Strategic Income Opttys Cl A	A	Dividend	J	T	Sold (part)	08/12/16	J		
23. - Blackrock High Yield Bond Investor Cl A	A	Dividend	J	T	Buy	08/15/16	J		
24. Prudential Short Term Corporate Cl A	A	Dividend			Sold	08/10/16	J		
25. - Columbia Income Oppty Cl A	A	Dividend	J	T	Buy	08/15/16	J		
26. - Active Portfolio Multi Manager Small Cap Equity Cl A	A	Dividend	J	T	Buy	08/15/16	J		
27. - Active Portfolio Multi Manager Total Return Bond Cl A	A	Dividend	J	T	Buy	08/15/16	J		
28. - Active Portfolio Multi Manager Growth Cl A	A	Dividend	J	T	Buy	08/15/16	J		
29. - Active Portfolio Multi Manager Value Cl A	A	Dividend	J	T	Buy	08/15/16	J		
30. - Active Portfolio Multi Manager Directional Alt Cl A	A	Dividend	J	T	Buy	08/15/16	J		
31. - JP Morgan Large Cap Growth Cl A	A	Dividend	J	T	Buy	08/15/16	J		
32. - MFS Intl Value Cl A	A	Dividend	J	T	Buy	08/15/16	J		
33. - MFS Value Cl A	A	Dividend	J	T	Buy	08/15/16	J		
34. - Oppenheimer Intl Growth Cl A	A	Dividend	J	T	Buy	08/15/16	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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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

35. - Prudential Jennison Mid Cap Growth Cl A	A	Dividend	J	T	Buy	08/15/16	J		
36. - Wells Fargo Emerging Markets Equity Cl A	A	Dividend	J	T	Buy	08/15/16	J		
37. - Wells Fargo Special Mid Cap Value Cl A	A	Dividend	J	T	Buy	08/15/16	J		
38. Strategic Advantage Service Portfolio IRA - 2	A	Dividend	K	T					
39. - Ameriprise Insured Money Market					Sold	01/03/16	J		
40. - Dreyfuss Govt. Cash Mgt Admin Class	A	Int./Div.	J	T	Buy	01/05/16	J		
41. - Prudential Short Term Corp Bond Fund Cl A	A	Dividend			Sold	08/10/16	J		
42. - Fidelity Advisors New Insights					Sold	01/05/16	J		
43. - American Century Heritage					Sold	01/05/16	J		
44. - Mutual Global Discovery Cl A	A	Dividend			Sold	08/10/16	J		
45. - Blackrock Strategic income Opptys Cl A	A	Dividend	J	T					
46. - Blackrock High Yield Bond Investor Cl A	A	Dividend	J	T	Buy	08/16/16	J		
47. - Columbia Income Oppty Cl A	A	Dividend	J	T	Buy	08/16/16	J		
48. - Active Portfolio Multi Manager Small Cap Equity Cl A	A	Dividend	J	T	Buy	08/16/16	J		
49. - Active Portfolio Multi Manager Total Return Bond Cl A	A	Dividend	J	T	Buy	08/16/16	J		
50. - Active Portfolio Multi Manager Value Cl A	A	Dividend	J	T	Buy	08/16/16	J		
51. - Active Portfolio Multi Manager Value Cl A	A	Dividend	J	T	Buy	08/16/16	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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52. - Active Portfolio Multi Manager Directional Alt CI A	A	Dividend	J	T	Buy	08/16/16	J		
53. - JP Morgan Large Cap Growth CI A	A	Dividend	J	T	Buy	08/16/16	J		
54. - MFS Intl Value CI A	A	Dividend	J	T	Buy	08/16/16	J		
55. - MFS Value CI A	A	Dividend	J	T	Buy	08/16/16	J		
56. - Oppenheimer Intl Growth CI A	A	Dividend	J	T	Buy	08/16/16	J		
57. - Prudential Jennison Mid Cap Growth CI A	A	Dividend	J	T	Buy	08/16/16	J		
58. - Prudential Jennison Mid Cap Growth CI A	A	Dividend	J	T	Buy	08/16/16	J		
59. - Wells Fargo Emerging Markets Equity CI A	A	Dividend	J	T	Buy	08/16/16	J		
60. - Wells Fargo Special Mid Cap Value CI A	A	Dividend	J	T	Buy	08/16/16	J		
61. Alexander Varlan Revocable Living Trust (X) (See Part VIII)-Knox Co,TN	D	Rent	M	W					
62.									

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII, Line 26 - Residential Property- Knoxville (Knox County), Tennessee.

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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 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
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Washington, D.C. 20544