

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 05/07/2018
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 01/01/2017 to 12/31/2017
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.)*

<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. 2017	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. Christian Legal Society	10/27-28/2017	Newport Beach, CA	Speaker	Fight/Hotel Room/Transportation
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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. 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	M	T	Sold (part)	12/27/17	J	A	
4. Blackrock Strategic Income Opptys Cl A	A	Dividend	K	T					
5. Columbia AMT-Free Intermediate Mun Bond Cl A	A	Dividend			Sold	07/20/17	J	A	
6. Prudential Short Term Corp. Bond Cl. A	A	Dividend	J	T					
7. Columbia Strategic Income Fund Cl A	A	Dividend	J	T					
8. Franklin Mutual Global Discovery Cl A	A	Dividend			Sold	07/20/17	J	A	
9. Hodges Small Cap Retail Cl A	A	Dividend			Sold	07/20/17	J	A	
10. Wells Fargo Special Mid Cap Value Cl A	A	Dividend	J	T					
11. Vanguard Total Stock Market ETF	A	Dividend	J	T					
12. Ivy Intl Core Equity Cl I	A	Dividend	J	T	Buy	07/20/17	J		
13. Lord Abbett Short Duration Income Cl L	A	Dividend	J	T	Buy	07/20/17	J		
14. Strategic Portfolio Service Advantage IRA - I	B	Dividend	K	T					
15. - Dreyfus Govt Cash Mgt Admin Class	A	Dividend	J	T					
16. -Blackrock Strategic Income Opptys Cl A	A	Dividend	J	T					
17. - Blackrock High Yield Bond Investor Cl A					Sold	01/18/17	J	A	

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	

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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)
18. -Prudential Short Term Corporate Cl A					Sold	01/18/17	J	A	
19. - Columbia Income Oppty Cl A					Sold	04/19/17	J	A	
20. - Active Portfolio Multi Manager Small Cap Equity Cl A	A	Dividend	J	T	Sold (part)	01/18/17	J	A	
21. - Active Portfolio Multi Manager Total Return Bond Cl A	A	Dividend	J	T					
22. - Active Portfolio Multi Manager Growth Cl A	A	Dividend	J	T	Sold (part)	11/16/17	J	A	
23. - Active Portfolio Multi Manager Value Cl A					Sold	01/18/17	J	A	
24. - Active Portfolio Multi Manager Directional Alt Cl A	A	Dividend	J	T					
25. - JP Morgan Large Cap Growth Cl A					Sold	04/19/17	J	A	
26. - MFS Intl Value Cl A	A	Dividend	J	T	Sold (part)	01/18/17	J	A	
27. - MFS Value Cl A	A	Dividend	J	T	Sold (part)	01/18/17	J	A	
28. - Oppenheimer Intl Growth Cl A	A	Dividend	J	T	Sold (part)	01/18/17	J	A	
29. - Prudential Jennison Mid Cap Growth Cl A	A	Dividend	J	T					
30. - Wells Fargo Emerging Markets Equity Cl A	A	Dividend	J	T					
31. - Wells Fargo Special Mid Cap Value Cl A	A	Dividend	J	T	Sold (part)	01/18/17	J	A	
32. -Delaware U S Grown Intl Cl	A	Dividend	J	T	Buy	08/21/17	J		
33. -Ishares MSCI EAFE Value ETF	A	Dividend	J	T	Buy	08/21/17	J		
34. Strategic Advantage Service Portfolio IRA - 2	A	Dividend	K	T					

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P1 = \$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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35. - Dreyfuss Govt. Cash Mgt Admin Class	A	Int./Div.	J	T					
36. - Blackrock Strategic income Opptys Cl A	A	Dividend	J	T	Sold (part)	01/18/17	J	A	
37. - Blackrock High Yield Bond Investor Cl A					Sold	08/21/17	J	A	
38. - Columbia Income Oppty Cl A					Sold	04/19/17	J	A	
39. - Active Portfolio Multi Manager Small Cap Equity Cl A	A	Dividend	J	T					
40. - Active Portfolio Multi Manager Total Return Bond Cl A	A	Dividend	J	T					
41. - Active Portfolio Multi Manager Value Cl A	A	Dividend	J	T					
42. - Active Portfolio Multi Manager Directional Alt Cl A	A	Dividend	J	T					
43. - JP Morgan Large Cap Growth Cl A					Sold	04/19/17	J	A	
44. - MFS Intl Value Cl A	A	Dividend	J	T					
45. - MFS Value Cl A	A	Dividend	J	T					
46. - Oppenheimer Intl Growth Cl A	A	Dividend	J	T					
47. - Prudential Jennison Mid Cap Growth Cl A	A	Dividend	J	T					
48. - Wells Fargo Emerging Markets Equity Cl A	A	Dividend	J	T					
49. - Wells Fargo Special Mid Cap Value Cl A	A	Dividend	J	T					
50. -Delaware U S Growth Instl Cl	A	Dividend	J	T	Buy	08/21/17	J		
51. -Multi Manager Growth Strategies Cl Z	A	Dividend	J	T	Buy	08/21/17	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	

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52. Alexander Varlan Revocable Living Trust (X) (See Part VIII)-Knox Co,TN	D	Rent	M	W					
53.									

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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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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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