

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) Phillips, Mary E.	2. Court or Organization U.S. District Court, Western District of Missouri	3. Date of Report 05/09/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) 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 400 E. 9th Street Suite 7452 Kansas City, MO 64105		
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.		
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.)*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. _____

2. 2016

State of Missouri - 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.)*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.	U.S. Bank	Mortgage on Rental Property, Kansas City, Missouri (Pt. VII, Line 2)	M
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. Country Club Bank Account	A	Interest	L	T					
2. Rental Property, Kansas City, Jackson County, Missouri (\$170,000-2007)	E	Rent	M	R					
3. Adorn, Inc. (2007)		None	K	W					
4. Brokerage Account #1 (H)									
5. Vanguard Select Value (VASVX)	C	Int./Div.	L	T					
6. UNTS Gugg Flah Crum Prfd - Bond	A	Int./Div.	K	T					
7. GNR 2009-92 - Bond	B	Int./Div.			Sold	02/04/16	K	A	
8. Missouri Env Imp Ener RV Pref	A	Int./Div.			Sold	07/01/16	L	A	
9. Missouri Env Imp Engy RV - Bond	A	Int./Div.	J	T					
10. Kansas City MO SRA BE/R	B	Int./Div.	J	T					
11. Platte Cnty Mo Reorg - Bond	B	Int./Div.	K	T					
12. Bayless Mo Cons Sch - Bond	B	Int./Div.	K	T					
13. Kansas City Mo San Swr S - Bond	B	Int./Div.	K	T					
14. St. Louis Mo MFC Leashld Assur RV CA V6.34 - Bond	A	Int./Div.	K	T					
15. Missouri St Health & EDL - Bond	A	Int./Div.	K	T	Buy	06/30/16	K		
16. Boeing	A	Int./Div.			Sold	09/23/16	J	C	
17. California Resource Corp	A	Int./Div.	J	T					

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

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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. Colgate Palmolive	A	Int./Div.	K	T					
19. Diageo Plc new GB Spon ADR	A	Int./Div.	J	T					
20. Intel Corp	A	Interest	J	T					
21. Johnson & Johnson Com	A	Int./Div.	J	T					
22. Medtronic	A	Int./Div.	J	T					
23. Occidental Petroleum CRP	A	Int./Div.	J	T					
24. Qualcomm	A	Int./Div.	J	T					
25. Pepsico Inc.	A	Int./Div.	K	T					
26. Rockwell Automation Inc	A	Int./Div.	J	T					
27. Unilever PLC Amer SHS	A	Int./Div.	J	T					
28. Union Pacific Corp	A	Int./Div.	J	T					
29. Praxair, Inc.	A	Int./Div.	J	T	Buy	09/23/16	J		
30. IsharesT rust DJ US Real Estate ETF (IYR)	B	Int./Div.	K	T					
31. Ishares MSCI Emerging Markets ETF (EEM)	A	Int./Div.	K	T	Buy (add'l)	02/02/16	K		
32. Vanguard Index Funds Mid-Cap Growth (VOT)	A	Int./Div.	L	T					
33. Vanguard Index Funds Mid-Cap Value (VOE)	B	Int./Div.	L	T					
34. Vanguard MSCI Emerging Markets (VWO)	A	Int./Div.	K	T					

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

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35. Vanguard Scottsdale 1000 Growth (VONG)	B	Int./Div.	M	T					
36. Matthews Int Pacific Tiger Fund (MAPTX)	B	Int./Div.	K	T					
37. Vanguard Tax-Managed Sm Cap Fund (VTMSX)	A	Int./Div.	K	T					
38. Direxion IDX Cndty Stg I (DXCIX)		None	J	T	Buy (add'l)	02/02/16	K		
39. Greenspring Fd Inc (GRSPX)	A	Int./Div.			Sold	02/03/16	J	A	
40. Vanguard Scottsdale 2000 Value (VTWV)	A	Int./Div.	K	T					
41. Vanguard Scottsdale 2000 Growth (VTWG)	A	Int./Div.	K	T					
42. Vanguard MSCI ETF (VEA)	B	Int./Div.	L	T	Buy (add'l)	02/02/16	J		
43. Powershares DB Commodity Index (DBC)	A	Int./Div.	K	T					
44. Vanguard Primecap Core (VPCCX)	B	Int./Div.	K	T					
45. T. Rowe Price Intl Fds (TROSX)	A	Int./Div.	J	T					
46. Loomis Sales Growth (LGRGX)	A	Int./Div.	J	T	Buy	02/03/16	J		
47. Oakmark Intl Fund Class I (OAKIX)	A	Int./Div.	J	T					
48. Wells Fargo Premier Lg Co GR (EKJCX)	A	Int./Div.			Sold	02/05/16	J	A	
49. Vanguard Total Stock Mkt Inx (VTSAX)	A	Int./Div.	K	T					
50. UBS Deposit Account	A	Int./Div.	K	T					
51. 457(b) Plan - MO2035 Fund		None	L	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 \$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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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/ Mary E. 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