

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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) PHAM, TU M.	2. Court or Organization US DISTRICT COURT WD TENNESSEE	3. Date of Report 05/03/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) FULL TIME - MAGISTRATE JUDGE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address TU M PHAM, MAGISTRATE JUDGE 167 N MAIN STREET ROOM 338 MEMPHIS, TN. 38103		
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. BOARD MEMBER	FEDERAL BAR ASSOCIATION-MEMPHIS MID-SOUTH CHAPTER
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. 1997	401(K) WITH VANGUARD GROUP THROUGH PRIOR EMPLOYMENT WITH KIRKLAND & ELLIS LAW FIRM
2. 1997	DEFINED CONTRIBUTION PLAN WITH VANGUARD GROUP THROUGH PRIOR EMPLOYMENT WITH KIRKLAND & ELLIS LAW FIRM
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. 2012	SHELBY COUNTY TENNESSEE SCHOOLS - 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. JUDGES' GENERAL AUTHORIZATION FUND	02/25/12 - 02/26/12	OXFORD, MISSISSIPPI	JUDGES' RETREAT	MEALS, TRANSPORTATION, LODGING
2. FEDERAL JUDICIAL CENTER	07/23/12 - 07/25/12	DENVER, COLORADO	MAGISTRATE WORKSHOP II	MEALS, TRANSPORTATION, LODGING
3. JUDGES' GENERAL AUTHORIZATION FUND	11/14/12	JACKSON, TENNESSEE	NATURALIZATION CEREMONY	TRANSPORTATION
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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE 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. FEDERAL BUILDING FEDERAL CREDIT UNION	B	Int./Div.	L	T					
2. SHELBY COUNTY SCHOOLS VALIC 403(B)									
3. -DAVID NY VENTURE FUND	A	Int./Div.	J	T					
4. -COLUMBIA SMALL CAP VAL II	A	Int./Div.	J	T					
5. -AMERICAN FUNDS EUROPAC	A	Int./Div.	J	T					
6. -PIMCO TOTAL RET A	A	Int./Div.	J	T					
7. CHICAGO PUBLIC SCHOOLS VALIC 403(B)									
8. -LEGG MASON CAP MGMT	A	Int./Div.	J	T					
9. -PRIMECAP ODYSSEY AGGR GROWTH	A	Int./Div.	J	T					
10. -BRIDGEWAY AGGRESSIVE INV PORTFOLIO	A	Int./Div.	J	T					
11. -WEITZ HICKORY FUND	A	Int./Div.	K	T					
12. -SCHWAB MONEY MARKET	A	Int./Div.	J	T					
13. IRA #1 VANGUARD PRIMECAP CORE FUND	A	Int./Div.	J	T					
14. 401(K) ACCOUNT VANGUARD HEALTH CARE FUND	A	Int./Div.	L	T					
15. DEF CONTRIBUTION RETIR VANGUARD HEALTH CARE FUND	A	Int./Div.	J	T					
16. PERRITT EMERGING OPPORTUNITIES FUND	A	Int./Div.			Merged (with line 30)	04/30/12	J		
17. IRA #11 LEGG MASON OPPORTUNITY TRUST FUND	A	Int./Div.	J	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 = \$250,000.01 - \$500,000.00	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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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. IRA #6 WEITZ HICKORY FUND	A	Int./Div.	J	T					
19. IRA #7 PRIMECAP ODYSSEY AGGRESSIVE	A	Int./Div.	K	T					
20. IRA #8 MAIRS & POWER GROWTH FUND	A	Int./Div.	K	T					
21. IRA #9 MAIRS & POWER GROWTH FUND	A	Int./Div.	J	T					
22. IRA #10 BRIDGEWAY AGGRESSIVE INVESTORS FUND	A	Int./Div.			Merged (with line 31)	06/01/12	J		
23. IRA #12 BRIDGEWAY AGGRESSIVE INVESTORS FUND	A	Int./Div.			Merged (with line 32)	06/01/12	J		
24. COVERDELL #2 PRIMECAP ODYSSEY AGGRESSIVE GROWTH FUND	A	Int./Div.	J	T					
25. COVERDELL #3 PRIMECAP ODYSSEY AGGRESSIVE GROWTH FUND	A	Int./Div.	J	T					
26. COVERDELL ESA #1 MAIRS & POWER GROWTH FUND	A	Int./Div.	J	T					
27. COVERDELL ESA #2 MAIRS & POWER GROWTH FUND	A	Int./Div.	J	T					
28. LEGG MASON OPORTUNITY TRUST FUND	A	Int./Div.			Merged (with line 17)	07/01/12	J		
29. VASCULAR TECHNOLOGIES INC	A	Int./Div.	L	W					
30. PERRITT ULTRA MICRO CAP FUND	A	Int./Div.	J	T					
31. BRIDGEWAY AGGRESSIVE INVESTORS 1 FUND IRA #10	A	Int./Div.	J	T					
32. BRIDGEWAY AGGRESSIVE INVESTORS 1 FUND IRA #12	A	Int./Div.	J	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 \$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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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/ TU M. PHAM

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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