

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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 06/15/2015
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 01/01/2014 to 12/31/2014
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) THROUGH PRIOR EMPLOYMENT WITH KIRKLAND & ELLIS LAW FIRM
2. 1997	DEFINED CONTRIBUTION PLAN THROUGH PRIOR EMPLOYMENT WITH KIRKLAND & ELLIS LAW FIRM
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

PHAM, TU M.

Date of Report

06/15/2015

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. 2014	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. U S COURTS	07/22/14-07/25/14	PHILADELPHIA, PA	MAGISTRATE JUDGES WORKSHOP	TRANSPORTATION, LODGING, FOOD
2. TAPABA	08/14/14-08/15/14	NASHVILLE, TN	NAPABA REGIONAL CONFERENCE	LODGING
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

PHAM, TU M.

Date of Report

06/15/2015

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.

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

PHAM, TU M.

Date of Report

06/15/2015

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. FED TRUST FEDERAL BUILDING FEDERAL CREDIT UNION	B	Int./Div.	K	T					
2. SHELBY COUNTY SCHOOLS 403(B) ACCOUNT									
3. T ROWE PRICE RET INC ADV	A	Int./Div.	L	T	Buy (add'l)	10/15/14	L		
4. T ROWE PRICE RET 2010 ADV	A	Int./Div.			Buy	09/14/14	L		
5. T ROWE PRICE RET 2010 ADV	A	Int./Div.			Sold	10/15/14	L	A	
6. T ROWE PRICE RET INC ADV	A	Int./Div.			Buy	05/05/14	K		
7. T ROWE PRICE RET INC ADV	A	Int./Div.			Sold (part)	07/08/14	J	A	
8. T ROWE PRICE RET INC ADV	A	Int./Div.			Sold	09/04/14	J	A	
9. FIXED INTEREST OPTION	A	Int./Div.			Buy	05/05/14	K		
10. FIXED INTEREST OPTION	A	Int./Div.			Sold	07/08/14	K	A	
11. T ROWE PRICE RET FND 2040 ADV	A	Int./Div.			Buy	07/08/14	K		
12. T ROWE PRICE RET FND 2040 ADV	A	Int./Div.			Sold (part)	09/04/14	K	A	
13. T ROWE PRICE RET FND 2040 ADV	A	Int./Div.			Sold	10/15/14	J	A	
14. PIMCO TOTAL RET A	A	Int./Div.			Sold (part)	05/05/14	K	A	
15. PIMCO TOTAL RET A	A	Int./Div.			Sold	09/04/14	J	A	
16. CHICAGO PUBLIC SCHOOLS 403(B) ACCOUNT									
17. FPA CRESCENT FUND	A	Int./Div.	K	T	Buy	08/04/14	K		

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 = \$250,000.001 - \$500,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

PHAM, TU M.

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06/15/2015

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18. PRIMECAP ODYSSEY AGGR GROWTH	A	Int./Div.	K	T	Buy (add'l)	07/09/14	K		
19. PRIMECAP ODYSSEY AGGR GROWTH	A	Int./Div.			Sold (part)	08/01/14	K	A	
20. PIMCO TOTAL RET A FUND	A	Int./Div.	J	T	Sold (part)	07/08/14	K	A	
21. WEITZ PARTNERS III OPPORTUNITY FUND	A	Int./Div.	K	T	Buy (add'l)	07/09/14	K		
22. SCHWAB MONEY MARKET	A	Int./Div.	J	T					
23. 401K ACCOUNT									
24. VANGUARD RETIREE SAVINGS TRUST III	A	Int./Div.			Sold	07/08/14	K	A	
25. INTERNATIONAL EXPLORER	A	Int./Div.			Buy	07/08/14	J		
26. INTERNATIONAL EXPLORER	A	Int./Div.			Sold	07/14/14	J	A	
27. VANGUARD CAPITAL OPPORTUNITY	A	Int./Div.			Buy	07/08/14	J		
28. VANGUARD CAPITAL OPPORTUNITY	A	Int./Div.			Sold	07/14/14	J	A	
29. VANGUARD HEALTH CARE FUND	A	Int./Div.	K	T	Buy (add'l)	07/14/14	K		
30. VANGUARD HEALTH CARE FUND	A	Int./Div.	K	T	Buy (add'l)	07/08/14	K		
31. BROKERAGE ACCOUNT #1									
32. PERRITT ULTRA MICRO CAP FUND	A	Int./Div.	J	T					
33. BRIDGEWAY AGGRESSIVE INVESTORS 1 FUND IRA#10	A	Int./Div.	K	T					
34. BRIDGEWAY AGGRESSIVE INVESTORS 1 FUND IRA#12	A	Int./Div.	K	T					

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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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FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

PHAM, TU M.

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35. IRA #7 PRIMECAP ODYSSEY AGGRESSIVE	A	Int./Div.	K	T					
36. IRA #8 MAIRS & POWER GROWTH FUND	A	Int./Div.	K	T					
37. IRA #9 MAIRS & POWER GROWTH FUND	A	Int./Div.	K	T					
38. WEITZ PARTNERS III OPPORTUNITY FUND IRA #6A	A	Int./Div.	J	T	Buy (add'l)	07/08/14	J		
39. WEITZ SHORT TERM INVESTMENT IRA #6B	A	Int./Div.			Sold	07/08/14	J	A	
40. IRA #11 LEGGMASON OPPORTUNITY TRUST FUND	A	Int./Div.	J	T					
41. IRA #1 VANGUARD PRIMECAP CORE FUND	A	Int./Div.	J	T					
42. BROKERAGE ACCOUNT #2									
43. COVERDELL ESA #1 MAIRS & POWER GROWTH FUND	A	Int./Div.	J	T					
44. COVERDELL ESA #2 MAIRS & POWER GROWTH FUND	A	Int./Div.	J	T					
45. COVERDELL #2 PRIMECAP ODYSSEY AGGRESSIVE GROWTH FUND	A	Int./Div.	J	T					
46. MONEY MARKET	A	Int./Div.	K	T	Buy	07/03/14	K		
47. EOG COMMON STOCK	A	Dividend	J	T	Buy	07/07/14	J		
48. EBAY COMMON STOCK		None	J	T	Buy	07/07/14	J		
49. EOG COMMON STOCK	A	Dividend	J	T	Buy (add'l)	07/31/14	J		
50. SBUX COMMON STOCK	A	Dividend	J	T	Buy	07/07/14	J		
51. TRN COMMON STOCK	A	Dividend	J	T	Buy	07/31/14	J		

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FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

PHAM, TU M.

Date of Report

06/15/2015

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52. DIS COMMON STOCK	A	Dividend	J	T	Buy	07/31/14	J		
53. NKE COMMON STOCK	A	Dividend	J	T	Buy	07/31/14	J		
54. COVERDELL #3 PRIMECAP ODYSSEY AGGRESSIVE GROWTH FUND	A	Int./Div.	J	T					
55. 529 COLLEGE SAVINGS #1	A	Int./Div.	J	T	Buy	08/25/14	J		
56. TN DFA LARGE CAP INTERNATIONAL	A	Int./Div.	J	T	Buy	08/25/14	J		
57. TN PRIMECAP ODYSSEY AGGR GROWTH	A	Int./Div.	J	T	Buy	08/25/14	J		
58. TN VANGUARD INTERMEDIATE TERM INVES	A	Int./Div.	J	T	Buy	08/25/14	J		
59. TN VANGUARD INT TERM TREASURY	A	Int./Div.	J	T	Buy	08/25/14	J		
60. TN VANGUARD WELLINGTON ADM	A	Int./Div.	J	T	Buy	08/25/14	J		
61. TN VANGUARD TOTAL BOND ADMIRAL	A	Int./Div.	J	T	Buy	08/25/14	J		
62. TN DFA ENHANCED US LARGE COMPANY	A	Int./Div.	J	T	Buy	08/25/14	J		
63. 529 COLLEGE SAVINGS #2									
64. TN PRIMECAP ODYSSEY AGGR GROWTH	A	Int./Div.	J	T	Buy	08/25/14	J		
65. TN DFA LARGE CAP INTERNATIONAL	A	Int./Div.	J	T	Buy	08/25/14	J		
66. TN VANGUARD INTERMEDIATE TERM INVES	A	Int./Div.	J	T	Buy	08/25/14	J		
67. TN VANGUARD INT TERM TREASURY	A	Int./Div.	J	T	Buy	08/25/14	J		
68. TN VANGUARD WELLINGTON ADM	A	Int./Div.	J	T	Buy	08/25/14	J		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

PHAM, TU M.

Date of Report

06/15/2015

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69. TN VANGUARD TOTAL BOND ADMIRAL	A	Int./Div.	J	T	Buy	08/25/14	J		
70. TN DFA ENHANCED US LARGE COMPANY	A	Int./Div.	J	T	Buy	08/25/14	J		
71. VASCULAR TECHNOLOGIES INC		None	L	W					
72.									

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FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

PHAM, TU M.

Date of Report

06/15/2015

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

PHAM, TU M.

Date of Report

06/15/2015

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544