

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, Thomas W.	2. Court or Organization Eastern District of Tennessee	3. Date of Report 06/29/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge Senior	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 800 Market Street Suite 145 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Member, Board of Trustees	Berea College, Berea Ky
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.)*

DATE

SOURCE AND TYPE

INCOME

(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.)*

DATE

SOURCE AND TYPE

1.

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS 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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Name of Person Reporting

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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. Ameriprise SPS NQ Account									
2. -Ameriprise Cash (X)		None	J	T					
3. -Columbia Balanced A (CBLAX)	A	Int./Div.			Sold (part)	08/04/16	J	A	
4. -Columbia Balanced A (CBLAX)	A	Int./Div.			Sold (part)	09/23/16	J	A	
5. -Columbia Balanced A (CBLAX)	A	Int./Div.			Sold (part)	12/01/16	J	A	
6. -Vanguard Total Stock Market ETF (VTI)	A	Dividend	J	T	Buy	09/23/16	J		
7. Ameriprise ONE Account									
8. -Cash-Ameriprise Insured Money Market Account (AIMMA)	A	Interest	J	T					
9. Ameriprise Turst Co. IRA									
10. -Cash-Dreyfus Government Cash Management MMF (X)	A	Interest	J	T					
11. -BlackRock Strat. Income Opps Institutional Shares (BSHX)	A	Interest	J	T	Buy	05/03/16	J		
12. -Columbia Strategic Income CL Z (LSIZX)	A	Int./Div.	K	T	Buy	05/03/16	K		
13. -Columbia US Govt Mortgage CL Z (CUGZX)	A	Interest	J	T	Buy	05/03/16	J		
14. -Fidelity Advisor Short Fixed Income CL A (FSFAX)	A	Interest	J	T	Buy	05/03/16	J		
15. -MFS Total Return Bond CL I (MRBIX)	A	Interest	J	T	Buy	05/03/16	J		
16. -Prudential Short Term Corp Bond CL Z (PIFZX)	A	Interest	K	T	Buy	05/03/16	K		
17. -AT&T Inc (T) Common Stock	A	Dividend	J	T	Buy	06/03/16	J		

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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18. -AT&T Inc (T) Common Stock	A	Dividend	J	T	Buy (add'l)	06/24/16	J		
19. -Apple (AAPL) Common Stock	A	Dividend	J	T	Buy	06/03/16	J		
20. -Apple (AAPL) Common Stock	A	Dividend	J	T	Buy (add'l)	06/24/16	J		
21. -Apple (AAPL) Common Stock	A	Dividend	J	T	Buy (add'l)	07/27/16	J		
22. -Bank of America Corp (BAC) Common Stock	A	Dividend	J	T	Buy	06/03/16	J		
23. -Bank of America Corp (BAC) Common Stock	A	Dividend	J	T	Buy (add'l)	06/24/16	J		
24. -Cisco Sysetems, Inc.(CSCO) Common Stock	A	Dividend	J	T	Buy	06/03/16	J		
25. -Cisco Sysetems, Inc.(CSCO) Common Stock	A	Dividend	J	T	Buy (add'l)	06/24/16	J		
26. -Ford Motor Company Nw (F) Common Stock	A	Dividend	J	T	Buy	06/03/16	J		
27. -Ford Motor Company Nw (F) Common Stock	A	Dividend	J	T	Buy (add'l)	06/24/16	J		
28. -Ford Motor Company Nw (F) Common Stock	A	Dividend	J	T	Buy (add'l)	07/28/16	J		
29. -Ishares MSCI EAFE ETF (EFA)	A	Int./Div.	J	T	Buy	06/03/16	J		
30. -Ishares MSCI EAFE ETF (EFA)	A	Int./Div.	J	T	Buy (add'l)	07/29/16	J		
31. -Ishares MSCI EAFE ETF (EFA)	A	Int./Div.	J	T	Buy (add'l)	08/31/16	J		
32. -Ishares MSCI EAFE ETF (EFA)	A	Int./Div.	J	T	Buy (add'l)	10/11/16	J		
33. -Starbucks Corp (SBUX)	A	Dividend	J	T	Buy	06/03/16	J		
34. -Starbucks Corp (SBUX)	A	Dividend	J	T	Buy (add'l)	06/24/16	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 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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35. -Valero Energy Corp (VLO)	A	Dividend	J	T	Buy	06/03/16	J		
36. -Valero Energy Corp (VLO)	A	Dividend	J	T	Buy (add'l)	06/24/16	J		
37. -Vanguard Mid-Cap ETF (VO)	A	Dividend	J	T	Buy	06/03/16	J		
38. -Vanguard Mid-Cap ETF (VO)	A	Dividend	J	T	Buy (add'l)	07/29/16	J		
39. -Vanguard Mid-Cap ETF (VO)	A	Dividend	J	T	Buy (add'l)	08/31/16	J		
40. -Vanguard Growth ETF (VUG)	A	Dividend	J	T	Buy	06/03/16	J		
41. -Vanguard Growth ETF (VUG)	A	Dividend	J	T	Buy (add'l)	07/29/16	J		
42. -Vanguard Growth ETF (VUG)	A	Dividend	J	T	Buy (add'l)	08/31/16	J		
43. -Vanguard Growth ETF (VUG)	A	Dividend	J	T	Buy (add'l)	10/11/16	J		
44. -Vanguard Growth ETF (VUG)	A	Dividend	J	T	Buy (add'l)	11/10/16	J		
45. -Vanguard Value ETF (VTV)	A	Dividend	J	T	Buy	06/03/16	J		
46. -Vanguard Value ETF (VTV)	A	Dividend	J	T	Buy (add'l)	07/29/16	J		
47. -Vanguard Value ETF (VTV)	A	Dividend	J	T	Buy (add'l)	08/31/16	J		
48. -Vanguard Value ETF (VTV)	A	Dividend	J	T	Buy (add'l)	10/11/16	J		
49. -Vanguard Value ETF (VTV)	A	Dividend	J	T	Buy (add'l)	11/10/16	J		
50. -Vanguard Small Cap ETF (VB)	A	Dividend	J	T	Buy	06/03/16	J		
51. -Vanguard Small Cap ETF (VB)	A	Dividend	J	T	Buy (add'l)	07/29/16	J		

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52. -Vanguard Small Cap ETF (VB)	A	Dividend	J	T	Buy (add'l)	08/31/16	J		
53. -BlackRock Strat. Income Opps Inv A (BASIX)	A	Interest			Sold	05/03/16	K	A	
54. -Cohen & Steers Realty (CSRSX)	A	Int./Div.			Sold (part)	02/19/16	J	A	
55. -Cohen & Steers Realty (CSRSX)	A	Int./Div.			Sold	05/03/16	K	A	
56. -Fidelity Advisor New Insights Fund Class A (FNIAX)	A	Dividend			Sold	05/03/16	L	A	
57. -Goldman Sachs Strategic Income A (GSZAX)	A	Interest			Sold (part)	02/19/16	J	A	
58. -Goldman Sachs Strategic Income A (GSZAX)	A	Interest			Sold (part)	04/18/16	K	A	
59. -Goldman Sachs Strategic Income A (GSZAX)	A	Interest			Sold	05/03/16	J	A	
60. -John Hancock Disciplined Value Mid Cap A (JVMAX)	D	Dividend			Sold	05/03/16	K	D	
61. -John Hancock Strategic Income Opps A (JIPAX)	A	Interest			Sold	05/03/16	K	A	
62. -John Hancock Disciplined Value A (JVLAX)	A	Dividend			Sold	05/03/16	K	A	
63. -John Hancock Income A (JHFIX)	A	Interest			Sold	05/03/16	K	A	
64. -Franklin Mutual Global Discovery A (TEDIX)	A	Int./Div.			Sold	05/03/16	K	A	
65. -AMG Yacktmann Foc Svc (YAFFX)	A	Dividend			Sold	05/03/16	J	A	
66. -Oppenheimer Dev. Markets A (ODMAX)	A	Int./Div.			Sold	05/03/16	J	A	
67. -Hodges Small Cap Fund Retail Class (HDPSX)	A	Dividend			Sold	05/03/16	J	A	
68. -Bank of America Corp (BAC) Common Stock	A	Dividend			Sold	10/17/16	J	A	

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69. Ameriprise Brokerage Account									
70. -DC Industrial Liq Trust REIT	A	Int./Div.	J	T					
71. -Industrial Property REIT	A	Int./Div.	K	T					
72. -Carey Watermark REIT	A	Int./Div.	K	T	Buy	03/01/16	K		
73. RiverSource RAVA 5 Advantage Variable Annuity									
74. -Columbia VP Managed Volatility Growth Fund	A	Int./Div.	M	T					
75. Ameriprise Trust Co. (ROTH IRA)									
76. -Cash-Dreyfus Government Cash Management (MMF) (X)	A	Interest	J	T					
77. -BlackRock Strat. Income Opps Inv A (BASIX)	A	Interest			Sold	05/03/16	J	A	
78. -Columbia Balanced A (CBLAX)	C	Int./Div.			Sold	05/03/16	K	C	
79. -John Hancock Disciplined Value Mid Cap A (JVMAX)	B	Dividend			Sold	05/03/16	J	B	
80. -John Hancock Strategic Income Opps A (JIPAX)	A	Interest			Sold	05/03/16	J	A	
81. -John Hancock Disciplined Value A (JVLAX)	A	Dividend			Sold	05/03/16	J	A	
82. -TCW Relative Value Large Cap (TEDIX)	A	Int./Div.			Sold	05/03/16	J	A	
83. -Prudential Jennison Equity Income A (SPQAX)	A	Dividend			Sold	05/03/16	J	A	
84. -Ishares MSCI EAFE Index Fund ETF (EFA)	A	Int./Div.	J	T	Buy	06/03/16	J		
85. -Ishares MSCI EAFE Index Fund ETF (EFA)	A	Int./Div.	J	T	Buy (add'l)	07/29/16	J		

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86. -Ishares MSCI EAFE Index Fund ETF (EFA)	A	Int./Div.	J	T	Buy (add'l)	08/31/16	J		
87. -Ishares MSCI EAFE Index Fund ETF (EFA)	A	Int./Div.	J	T	Buy (add'l)	10/11/16	J		
88. -MFS Total Return Bond Fund Class I (MRBIX)	A	Interest	J	T	Buy	05/03/16	J		
89. -Prudential Short-Term Corp. Bond Fund Class Z (PIFZX)	A	Interest	J	T	Buy	05/03/16	J		
90. -Vanguard Mid-Cap ETF (VO)	A	Dividend	J	T	Buy	06/03/16	J		
91. -Vanguard Mid-Cap ETF (VO)	A	Dividend	J	T	Buy (add'l)	07/29/16	J		
92. -Vanguard Mid-Cap ETF (VO)	A	Dividend	J	T	Buy (add'l)	08/31/16	J		
93. -Vanguard Mid-Cap ETF (VO)	A	Dividend	J	T	Buy (add'l)	11/10/16	J		
94. -Vangurd Total Stock Market ETF (VTI)	A	Dividend	J	T	Buy	06/03/16	J		
95. -Vangurd Total Stock Market ETF (VTI)	A	Dividend	J	T	Buy (add'l)	07/29/16	J		
96. -Vangurd Total Stock Market ETF (VTI)	A	Dividend	J	T	Buy (add'l)	08/31/16	J		
97. -Vangurd Total Stock Market ETF (VTI)	A	Dividend	J	T	Buy (add'l)	11/10/16	J		
98. Columbia Strategic Income CL Z (LSIZX)	A	Interest	J	T	Buy	05/03/16	J		
99. -Columbia Balanced A (CBLAX)	A	Int./Div.	J	T	Buy	05/03/16	J		
100. Ameriprise SPS IRA									
101. -Cash-Dreyfus Government Cash Management (MMF) (X)	A	Interest	J	T					
102. -BlackRock Strat. Income Opps Inv A (BASIX)	A	Interest			Sold	05/03/16	K	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 \$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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Name of Person Reporting

Phillips, Thomas W.

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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)
103. -Columbia Balanced A (CBLAX)	C	Int./Div.			Sold	05/03/16	K	C	
104. -John Hancock Disciplined Value Mid Cap A (JVMAX)	C	Dividend			Sold	05/03/16	K	C	
105. -John Hancock Strategic Income Opps A (JIPIX)	A	Interest			Sold	05/03/16	J	A	
106. -John Hancock Disciplined Value A (JVLAX)	A	Dividend			Sold	05/03/16	K	A	
107. -Franklin Mutual Global Discovery A (TEDIX)	A	Int./Div.			Sold	05/03/16	K	A	
108. -Fidelity Advisor New Insights Fund Class A (FNIAX)	A	Dividend			Sold	05/03/16	K	A	
109. Bank of America Corp (BAC) Common Stock	A	Dividend			Sold	10/17/16	J	A	
110. -BlackRock Strat. Income Opps Institutional Shares (BSHIX)	A	Interest	J	T	Buy	05/03/16	J		
111. -Columbia Strategic Income CL Z (LSIZX)	A	Interest	J	T	Buy	05/03/16	J		
112. -Columbia US Govt Mortgage CL Z (CUGZX)	A	Interest	J	T	Buy	05/03/16	J		
113. -Fidelity Advisor Short Fixed Income CL A (FSFAX)	A	Interest	J	T	Buy	05/03/16	J		
114. -MFS Total Return Bond Fund Class I (MRBIX)	A	Interest	J	T	Buy	05/03/16	J		
115. -Prudential Short Term Corp Bond CL Z (PIFZX)	A	Interest	J	T	Buy	05/03/16	J		
116. -AT&T Inc (T) Common Stock	A	Dividend	J	T	Buy	06/03/16	J		
117. -AT&T Inc (T) Common Stock	A	Dividend	J	T	Buy (add'l)	06/24/16	J		
118. -Bank of America Corp (BAC) Common Stock	A	Dividend	J	T	Buy	06/03/16	J		
119. -Bank of America Corp (BAC) Common Stock	A	Dividend	J	T	Buy (add'l)	06/24/16	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 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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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)
120. -Apple, Inc. (AAPL) Common Stock	A	Dividend	J	T	Buy	06/03/16	J		
121. -Apple, Inc. (AAPL) Common Stock	A	Dividend	J	T	Buy (add'l)	06/24/16	J		
122. -Apple, Inc. (AAPL) Common Stock	A	Dividend	J	T	Buy (add'l)	07/27/16	J		
123. -Cisco Sysetems, Inc.(CSCO) Common Stock	A	Dividend	J	T	Buy	06/03/16	J		
124. -Cisco Sysetems, Inc.(CSCO) Common Stock	A	Dividend	J	T	Buy (add'l)	06/24/16	J		
125. -Ford Motor Company Nw (F) Common Stock	A	Dividend	J	T	Buy	06/03/16	J		
126. -Ford Motor Company Nw (F) Common Stock	A	Dividend	J	T	Buy (add'l)	06/24/16	J		
127. -Ford Motor Company Nw (F) Common Stock	A	Dividend	J	T	Buy (add'l)	07/28/16	J		
128. -Valero Energy Corp (VLO)	A	Dividend	J	T	Buy	06/03/16	J		
129. -Valero Energy Corp (VLO)	A	Dividend	J	T	Buy (add'l)	06/24/16	J		
130. -Starbucks Corp (SBUX)	A	Dividend	J	T	Buy	06/03/16	J		
131. -Starbucks Corp (SBUX)	A	Dividend	J	T	Buy (add'l)	06/24/16	J		
132. -Ishares MSCI EAFE ETF (EFA)	A	Int./Div.	J	T	Buy	06/03/16	J		
133. -Ishares MSCI EAFE ETF (EFA)	A	Int./Div.	J	T	Buy (add'l)	07/29/16	J		
134. -Ishares MSCI EAFE ETF (EFA)	A	Int./Div.	J	T	Buy (add'l)	08/31/16	J		
135. -Ishares MSCI EAFE ETF (EFA)	A	Int./Div.	J	T	Buy (add'l)	10/11/16	J		
136. -Vanguard Mid-Cap ETF (VO)	A	Dividend	J	T	Buy	06/03/16	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 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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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)
137. -Vanguard Mid-Cap ETF (VO)	A	Dividend	J	T	Buy (add'l)	07/29/16	J		
138. -Vanguard Mid-Cap ETF (VO)	A	Dividend	J	T	Buy (add'l)	08/31/16	J		
139. -Vanguard Growth ETF (VUG)	A	Dividend	J	T	Buy	06/03/16	J		
140. -Vanguard Growth ETF (VUG)	A	Dividend	J	T	Buy (add'l)	07/29/16	J		
141. -Vanguard Growth ETF (VUG)	A	Dividend	J	T	Buy (add'l)	08/31/16	J		
142. -Vanguard Growth ETF (VUG)	A	Dividend	J	T	Buy (add'l)	11/10/16	J		
143. -Vanguard Value ETF (VTV)	A	Dividend	J	T	Buy	06/03/16	J		
144. -Vanguard Value ETF (VTV)	A	Dividend	J	T	Buy (add'l)	07/29/16	J		
145. -Vanguard Value ETF (VTV)	A	Dividend	J	T	Buy (add'l)	08/31/16	J		
146. -Vanguard Value ETF (VTV)	A	Dividend	J	T	Buy (add'l)	11/10/16	J		
147. -Vanguard Small Cap ETF (VB)	A	Dividend	J	T	Buy	06/03/16	J		
148. -Vanguard Small Cap ETF (VB)	A	Dividend	J	T	Buy (add'l)	07/29/16	J		
149. -Vanguard Small Cap ETF (VB)	A	Dividend	J	T	Buy (add'l)	08/31/16	J		
150.									
151.									
152.									
153.									

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	

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)
154.									
155.									

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.)*

On the 2015 Report there was an error. Line 10. Franlin Mutual International A (FMIAX) should have been Fidelity Advisor New Insights (FNIAX) and Line 30. TCW Relative Value Large Cap (TGDIX) should have been Franklin Mutual Global Discovery A (TEDIX). Note that during the middle of the reporting period we did have a share class conversion on a few mutual funds. The only one reported in 2015 and was still held in 2016 report is BASIX which moved to BSIX.

Received letter from committee regarding corrections. Made all corrections with the exception of Bank of America Holding (BAC). The letter stated that we sold this asset but that it was not in the previous years FDR report. That is due to the stock was both purchased in 2016 and sold in 2016. Refer to line 22, 23 and line 68.

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Name of Person Reporting

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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 W. 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