AO 10 Rev. 1/2010	**FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2009**	*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** 05/04/2010
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** 01/01/2009 to 12/31/2009
7. Chambers or Office Address U. S. District Court 800 Market Street Knoxville, TN 37902	**8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations.** **Reviewing Officer**________ **Date**________	

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. Sign on last page.***

I. POSITIONS. *(Reporting individual only; see pp. 9-13 of filing instructions.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Director	Board of Visitors, University of Tennessee, College of Arts & Sciences
2.	Director	Bearden High School Foundation
3.		
4.		
5.		

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II. AGREEMENTS. *(Reporting individual only; see pp. 14-16 of filing instructions.)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

Varlan, Thomas A.

Name of Person Reporting	Date of Report
Varlan, Thomas A.	05/04/2010

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.					

Name of Person Reporting	Date of Report
Varlan, Thomas A.	05/04/2010

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.			

Name of Person Reporting	Date of Report
Varian, Thomas A.	05/04/2010

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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
1.	AmSouth Bank Accounts	B	Interest	L	T					
2.	Coca Cola Common Stock	B	Dividend	L	T					
3.	BB&T Common Stock	A	Dividend	J	T					
4.	City of Knoxville Deferred Compensation Program (457)	A	Dividend			Closed	02/06/09	M		
5.	- Fidelity Contrafund					Sold	02/06/09	K	B	
6.	- Nationwide Fixed Account					Sold	02/06/09	K	B	
7.	- AIM Century Vista Fd.					Sold	02/06/09	J	B	
8.	- NW Gartumura To. Return Fund D					Sold	02/06/09	J	A	
9.	-FedUS G'tsc Fnd 2-5Yrs.					Sold	02/06/09	J	B	
10.	- New Intl. Val Inst. S vc.					Sold	02/06/09	J	B	
11.	- New Bar Genesis Fund					Sold	02/06/09	J	A	
12.	- American Funds Growth Fund of America					Sold	02/06/09	J	B	
13.	Wachovia Securities - IRA 1	A	Dividend			Closed	02/06/09	L		
14.	- Evergreen US Govt.					Sold	02/06/09	J	A	
15.	- Alliance Bernstein Growth & Income Fd. Cl. C					Sold	02/06/09	J	A	
16.	- Allianz NJF Small Cap Value Fund CL-C (X)					Sold	02/06/09	J	A	
17.	- Dreyfus Premier Worldwide Growth Fd. Cl. C					Sold	02/06/09	J	A	

1. Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Varlan, Thomas A.	05/04/2010

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)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. - Eaton Vance Growth Tr. Worldwide Health Science Fd. C					Sold	02/06/09	J	A	
19. - Evergreen Omega Fd. Cl. C					Sold	02/06/09	J	A	
20. - Fidelity Advisor Ser. I Mid-Cap Fd. Cl. C					Sold	02/06/09	J	A	
21. - Ivy Fd. European Opportunities Fd. Cl. C					Sold	02/06/09	K	A	
22. - Goldman Sachs Core U.S. Equity Fd. Cl. C					Sold	02/06/09	J	B	
23. - Pimco High Yield Fund Cl. C					Sold	02/06/09	J	B	
24. - Seligman Communication & Information Fd. Inc. Cl. D					Sold	02/06/09	J	A	
25. - VK Emerging Growth CL. C					Sold	02/06/09	J	A	
26. Wachovia Securities IRA 2	A	Dividend			Closed	02/06/09	K		
27. - Evergreen Omega Fd. Cl. C					Sold	02/06/09	J	A	
28. - Goldman Sachs Tr. Growth Opps. Fd. Cl. C					Sold	02/06/09	J	A	
29. - John Hancock Invt. Tr. II Small Cap. Equity Fd. C					Sold	02/06/09	J	A	
30. - Ivy Fd. European Opportunities Fd. Cl. C					Sold	02/06/09	J	A	
31. UBS	A	Dividend			Closed	02/06/09	J		
32. - UBS Retirement Money Fund					Sold	02/06/09	J	A	
33. U. S. Savings Bond	A	Interest	J	T					
34. Tennessee's BEST Prepaid Tuition Accounts	A	Interest	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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Place "(X)" after each asset exempt from prior disclosure	(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)
35. Strategic Portfolio Service Advantage IRA - I	E	Dividend	M	T	Open	02/06/09	M		
36. - Fidelity Adv. Strategy Income	A	Dividend	J	T	Buy	02/26/09	J		
37. - UMB Scout Stock	A	Dividend	J	T	Buy	02/26/09	J		
38. - Fideltiy Advisor New Insights	A	Dividend	J	T	Buy	02/26/09	J		
39. - AM Century Equity Income	A	Dividend	J	T	Buy	02/26/09	J		
40. - Fidelity Advisors Float Rt	A	Dividend	J	T	Buy	02/26/09	J		
41. - Franklin Mutual Discovery	A	Dividend	J	T	Buy	02/26/09	J		
42. - American Century Diversified Bond	A	Dividend	J	T	Buy	02/26/09	J		
43. - American Century Heritage	A	Dividend	J	T	Buy	02/28/09	J		
44. - Franklin Mutual Discovery	A	Dividend	J	T	Buy (add'l)	03/13/09	J		
45. - American Century Equity Income	A	Dividend	J	T	Buy (add'l)	03/13/09	J		
46. - Fidelity Advisors New Insights	A	Dividend	J	T	Buy (add'l)	03/13/09	J		
47. - American Century Heritage	A	Dividend	J	T	Buy (add'l)	03/13/09	J		
48. - UMB Scout Stock	A	Dividend	J	T	Buy (add'l)	03/13/09	J		
49. - American Century Diversified Bond	A	Dividend	J	T	Buy (add'l)	03/13/09	J		
50. - Fidelity Advisor Float Rt.	A	Dividend	J	T	Buy (add'l)	03/13/09	J		
51. - Fidelity Advisors Strategy Income	A	Dividend	J	T	Buy (add'l)	03/13/09	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	
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Varlan, Thomas A.	05/04/2010

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Place "(X)" after each asset exempt from prior disclosure	(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)
52. - Fidelity Advisor Float Rt.	A	Dividend	J	T	Buy (add'l)	09/11/09	J		
53. - American Century Heritage	A	Dividend	J	T	Sold (part)	09/11/09	J	A	
54. - American Century Heritage	A	Dividend		T	Sold (part)	12/30/09	J	A	
55. - American Century Diversified Bond	A	Dividend	J	T	Sold (part)	12/30/09	J	A	
56. Strategic Advantage Service Portfolio IRA - 2	A	Dividend	J	T	Open	02/26/09	J		
57. - Franklin Mutual Discovery	A	Dividend	J	T	Buy	02/26/09	J		
58. - UMB Scount Stock	A	Dividend	J	T	Buy	02/26/09	J		
59. - Fidelity Advisors Strategy Income	A	Dividend	J	T	Buy	02/26/09	J		
60. - American Century Equity Income	A	Dividend	J	T	Buy	02/26/09	J		
61. - Fidelity Advisors Float Rt.	A	Dividend	J	T	Buy	02/26/09	J		
62. - Fidelity Advisors New Insights	A	Dividend	J	T	Buy	02/26/09	J		
63. - American Century Diversified Bond	A	Dividend	J	T	Buy	02/26/09	J		
64. - American Century Heritage	A	Dividend	J	T	Buy	02/26/09	J		
65. Strategic Portfolio Service Advantage, SEP/IRA	A	Dividend	J	T	Open	02/26/09	J		
66. - Ishares Russell 3000 Index Fund	A	Dividend	J	T	Buy	02/26/09	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	

Name of Person Reporting	Date of Report
Varlan, Thomas A.	05/04/2010

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

Name of Person Reporting	Date of Report
Varlan, Thomas A.	05/04/2010

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 [redacted]

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544