AO 10 Rev. 1/2013	**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)	**2. Court or Organization**	**3. Date of Report**
Mattice, Harry S.	U.S. District Court - EDTN	05/06/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
U. S. District Judge - Active	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2012 to 12/31/2012

7. Chambers or Office Address

Joel W. Solomon Federal Bldg.
900 Georgia Avenue, Room 104
Chattanooga, TN 37402

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.	Trustee	Trust # 1
2.	Adjunct Faculty	University of Tennessee College of Law
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.		

Name of Person Reporting	Date of Report
Mattice, Harry S.	05/06/2013

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.	2012	Teaching - University of Tennessee College of Law	$3,300.00
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.	2012	The Speech Language Reading Center, PLLC - 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.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

Name of Person Reporting	Date of Report
Mattice, Harry S.	05/06/2013

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
Mattice, Harry S.	05/06/2013

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)
1. Morgan Stanley Bank	A	Interest	L	T	Buy (add'l)	02/06/12	J		
2.					Buy (add'l)	03/01/12	J		
3.					Buy (add'l)	12/18/12	J		
4.					Sold	04/16/12	J		
5.					Sold	07/29/12	J		
6. Mass Mutual Life Insurance Whole Life (2)	B	Interest	L	T					
7. Northwestern Mutual Life Variable Comp Life		None	M	T					
8. (H) Trust # 1:									
9. Federated Tax-Free Obligs Funds	A	Interest	L	T					
10. RidgeWorth Large Cap Value Equity	C	Dividend	L	T	Sold (part)	11/23/12	L	D	
11. RidgeWorth Large Cap Growth Fund	B	Dividend	K	T					
12. RidgeWorth Intermediate Bond Fund	A	Interest			Sold	11/23/12	L	A	
13. Ridge Worth Short Term Bond Fund	A	Interest			Sold	11/23/12	J	A	
14. PimCo Commodity Real Return Strategy	A	Dividend			Sold	11/23/12	J	A	
15. Federal Farm Credit Bank Bond - 6/21/17	A	Interest			Redeemed	06/21/12	K	A	
16. Schroder US Small/Mid Cap Opportunity Fund-I	A	Dividend	J	T	Sold (part)	11/23/12	J	B	
17. T Rowe Price Institutional Large Cap Growth Fund-I	A	Dividend	K	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	

Name of Person Reporting	Date of Report
Mattice, Harry S.	05/06/2013

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)	(2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (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. Federated Strategic Value Equity Fund I	A	Dividend	K	T	Buy (add'l)	11/23/12	J		
19. Eaton Vance Atlanta Cap SMID-Cap I	A	Dividend	J	T	Buy	11/23/12	J		
20. Manning & Napier World OPPTYS-A	A	Dividend	K	T	Buy	11/23/12	K		
21. Oppenheimer Developing Mkts INSTL-Y	A	Dividend	K	T	Buy	11/23/12	K		
22. Hartford Dividend & Growth - Y	A	Dividend	K	T	Buy	11/23/12	K		
23. Neuberger Berman High Income BD-I	A	Interest	K	T	Buy	11/23/12	K		
24. PIMCO Emerging Local BD-I	A	Interest	J	T	Buy	11/23/12	J		
25. Doubleline Total Return BD-I	A	Interest	K	T	Buy	11/23/12	K		
26. T Rowe Price INSTL Large-Cap GRWTH-I	A	Dividend	K	T	Buy	11/23/12	K		
27. ISHARES Barclays 3-7 YR TREAS BD ETF	A	Interest	J	T	Buy	11/23/12	J		
28. (H) IRA #1:									
29. American GR FD of America F1 (GFAFX) X	A	Dividend	J	T					
30. Davis New York Venture A (NYVTX) X	A	Dividend	J	T					
31. Delaware SMID CAP Growth A (DFCIX) X	A	Dividend	J	T					
32. DWS RREEF Real Estate SEC A (RRRAX) X	A	Dividend	J	T					
33. Fidelity ADV DVRSFD INTL A (FDVAX) X	A	Dividend	J	T					
34. INVESCO PREMIER PTF INSTL (IPPXX) X	A	Dividend	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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☐ 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)	(2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (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. JP MORGAN MID CAP VALUE A (JAMCX) X	A	Dividend	J	T					
36. LEGG MASON WA GLB HIY LD BD A (SAHYX) X	A	Interest	J	T					
37. PIMCO TOTAL RETURN A (PTTAX) X	A	Dividend	J	T					
38. VIRTUS MULTI SECT SHT TRM BD A (NARAX) X	A	Interest	J	T	Sold (part)	12/20/12	J	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 $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	

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

Par III. A. Non-Investment Income. All income earned during reporting period was salary as employee of U.S. Government.

Part VII. Investments and Trusts. Trust Assets listed as numbers 9 to 27 are a part of an Irrevocable Insurance Trust [redacted]

Part VII Investment and Trusts. IRA Assets listed as numbers 29 to 38 are part of an IRA inherited [redacted]

Name of Person Reporting	Date of Report
Mattice, Harry S.	05/06/2013

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/ Harry S. Mattice

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