AO 10
Rev. 1/2013

FINANCIAL DISCLOSURE REPORT
INITIAL FILING

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
Phillips, Mary E.	U.S. District Court, Western District of Missouri	05/05/2013
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**
District Judge	☐ Nomination Date ☑ Initial ☐ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2012 to 12/31/2012

7. Chambers or Office Address

400 East 9th Street
Suite 7452
Kansas City, MO 64105

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.		
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.		

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.	2012	State of Missouri - 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
Phillips, Mary E.	05/05/2013

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.	U.S. Bank	Mortgage on Rental Property, Kansas City, Missouri (Pt. VII, Line 4)	M
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Phillips, Mary E.	05/05/2013

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)	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.	Country Club Bank Account	A	Interest	L	T					
2.	Bank of America Account	A	Int./Div.			Closed	12/03/12	J		
3.	Discovery Savings Account	B	Int./Div.			Closed	4/3/12	K		
4.	Rental Property, Kansas City, Missouri ($170,000-2007)	E	Rent	M	R					
5.	Mass.Mutual Variable Life Police - Oppenheimer Cap Appr.	A	Int./Div.	J	T					
6.	Mass.Mutual Virable Life - Fidelity VIP Contrafund	A	Int./Div.	J	T					
7.	Mass.mutual Virable Life - MML Equity Index Division	A	Int./Div.	J	T					
8.	457(b) Plan #1 (H)									
9.	American Century Value Fund		None	J	T					
10.	Drey Appreciation Fund		None	J	T					
11.	Northwestern Fund D		None	J	T					
12.	Northwestern International Index A		None	J	T					
13.	Invesco (X)		None	J	T					
14.	Vanguard Total Sock Market Index Fund (IRA)	A	Int./Div.	J	T					
15.	T. Rowe Price Small Cap Value Fund (IRA)	A	Int./Div.	K	T					
16.	457(b) Plan #2 (H)									
17.	ING Black Rock Large Cap Gr. Port - Inst		None	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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Phillips, Mary E.	05/05/2013

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☐ 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. ING Templeton Foreign Equity Port - Ins		None	J	T					
19. IRA Account #1 (H)									
20. T. Rowe Price Retirement Fund (2035)		None			Sold	12/13/12	M	D	
21. IRA Account #2 (H)									
22. Buffalo Fund - Midcap	A	Dividend			Sold	12/13/12	K	E	
23. Century Cap Management Small Cap Select	A	Dividend			Sold	12/13/12	K	D	
24. T. Rowe Price Int. emerging Markets Fund	A	Dividend			Sold	12/13/12	K	D	
25. Vanguard Retirement Fund (2035)	B	Dividend			Sold	12/13/12	L	E	
26. 457 (b) Plan #3 - MO 2035 Fund		None	L	T					
27. Vanguard Select Value	A	Dividend	K	T					
28. Brokerage Account #1 (H)									
29. Berkshire Hathaway B	A	Dividend			Sold	12/21/12	K	D	
30. American Fund - Growth Fund of American	A	Dividend			Sold	12/18/12	K	A	
31. Clipper Fund	A	Dividend			Sold	12/19/12	K	A	
32. Dodge & Cox Stock Fund	A	Dividend			Sold	12/14/12	K	C	
33. Greenspring Fund	A	Dividend			Sold	12/19/12	J	A	
34. Harbor Fund Bond Institutional	A	Dividend			Sold	12/14/12	J	B	

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35. Jenson Portfolio Fund, Cl J Shares	A	Dividend			Sold	12/14/12	L	D	
36. Loomis Sayles Bond Fund Retail	A	Dividend			Sold	12/14/12	J	C	
37. Matthew Pacific Tiger	A	Dividend			Sold	12/19/12	K	D	
38. Metropolitan West Total Return Fund	A	Dividend			Sold	12/14/12	K	C	
39. Vanguard Tax Managed capital Appreciation Fund	A	Dividend			Sold	12/13/12	K	A	
40. Vanguard Primecap Core Fund	A	Dividend	J	T					
41. Vanguard Tax Managed Small Cap Fund	A	Dividend			Sold	12/18/12	K	D	
42. Adorn Inc. (2007)		None	K	W					
43. Om Financial Fixed Inex Annuity-Prosperity Plus	A	Dividend	J	T					
44. National Western Life Ins. Equity Indexed Annuity	A	Dividend	K	T					
45. Alcatel Lucent		None	J	T					
46. Brokerage Account #2 (H)									
47. UNTS Gugg Flah Crum Prfd - bond		None	K	T	Buy	12/17/12	K		
48. Missouri Env Imp Ener - bond		None	K	T	Buy	12/18/12	K		
49. Platte Cnty Mo Reorg - bond		None	K	T	Buy	12/18/12	K		
50. Kansas City Mo San Swr S - bond		None	K	T	Buy	12/18/12	K		
51. St. Louis MO MFC Leasehld Assur RV CAV6.34 - bond		None	K	T	Buy	12/18/12	K		

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52. Aflac Inc		None	J	T	Buy	12/12/12	J		
53.					Buy (add'l)	12/18/12	J		
54. Boeing		None	J	T	Buy	12/12/12	J		
55.					Buy (add'l)	12/18/12	J		
56. Clorox Co		None	J	T	Buy	12/12/12	J		
57.					Buy (add'l)	12/18/12	J		
58. Colgate Palmolive		None	J	T	Buy	12/12/12	J		
59.					Buy (add'l)	12/18/12	J		
60. CSX Corporation		None	J	T	Buy	12/12/12	J		
61.					Buy (add'l)	12/18/12	J		
62. Diageo Plc New GB Spon ADR		None	J	T	Buy	12/12/12	J		
63.					Buy (add'l)	12/18/12	J		
64. Intel Corp		None	J	T	Buy	12/12/12	J		
65.					Buy (add'l)	12/18/12	J		
66. Johnson & Johnson Com		None	J	T	Buy	12/12/12	J		
67.					Buy (add'l)	12/18/12	J		
68. Medtronic		None	J	T	Buy	12/12/12	J		

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69.					Buy (add'l)	12/18/12	J		
70. Occidental Petroleum CRP		None	J	T	Buy	12/12/12	J		
71.					Buy (add'l)	12/18/12	J		
72. Unilever PLC Amer Shs New Spon		None	J	T	Buy	12/12/12	J		
73.					Buy (add'l)	12/18/12	J		
74. United Parcel Service Inc CL B		None	J	T	Buy	12/12/12	J		
75.					Buy (add'l)	12/18/12	J		
76. Ishares Trust DJ US Real State - (IYR)		None	K	T	Buy	12/12/12	K		
77.					Buy (add'l)	12/18/12	J		
78. Vanguard Index funds Mid-cap Growth (VOT)		None	K	T	Buy	12/12/12	K		
79.					Buy (add'l)	12/18/12	K		
80. Vanguard Index Funds Mid-Cap Value (VOE)		None	K	T	Buy	12/12/12	K		
81.					Buy (add'l)	12/18/12	K		
82. Vanguard MSCI Emerging Markets (VWO)		None	K	T	Buy	12/12/12	K		
83.					Buy (add'l)	12/18/12	K		
84. Vanguard Scottsdale (VONG)		None	L	T	Buy	12/12/12	L		
85.					Buy (add'l)	12/18/12	K		

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86. Vangaurd Scottsdale (VTWV)		None	K	T	Buy	12/12/12	K		
87. Vanguard Scottsdale (VTWG)		None	K	T	Buy	12/12/12	K		
88. Vangaurd MSCI ETF (VEA)		None	L	T	Buy	12/12/12	K		
89. Powershares DB Commodity Index (DBC)		None	K	T	Buy	12/12/12	K		
90.					Buy (add'l)	12/18/12	K		
91.									
92.									
93.									
94.									
95.									
96.									
97.									
98.									
99.									
100.									
101.									
102.									

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103.									
104.									

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

1. Part VII, Line 13 - American Century International Disc was automatically converted to Invesco by the 457(b) plan administrator

Name of Person Reporting	Date of Report
Phillips, Mary E.	05/05/2013

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