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
Phillips, Thomas W.	Eastern District of Tennessee	05/01/2013

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

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.		

Name of Person Reporting	Date of Report
Phillips, Thomas W.	05/01/2013

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.			
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	ONEIDA INDEPENDENT SCHOOL SYSTEM (RETIRED TEACHER) 0.00
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, Thomas W.	05/01/2013

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☐ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.	ATTEND ANNUAL REVIEW SEMINAR W/O CHARGE	TENNESSEE LAW INSTITUTE	$500.00
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.			

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. CD-1ST NAT'L BANK, ONEIDA, TN	B	Interest			Redeemed	04/06/12	K	B	
2. AMERIPRISE BROCKERAGE ACCOUNT (CASH EQUIVALENT)	A	Int./Div.	J	T					
3. CBRL GROUP, INC.	A	Dividend	J	T					
4. AMEX TRUST CO. - IRA	D	Int./Div.	M	T					
5. --AMERIPRISE INS MONEY MARKET	A	Interest	K	T					
6. --COLUMBIA FUNDS BALANCED CL A	B	Dividend	K	T					
7. --ISHARES LEHMAN 1-3 YR CREDIT	A	Dividend			Sold	08/15/12	K	A	
8. --ISHARES LEHMAN 1-3 YR CREDIT	A	Dividend			Sold	08/15/12	J	A	
9. --J. HANCOCK FLOAT RATE-A	A	Dividend			Sold	11/27/12	K	A	
10. --AUTOMATIC DATA PROCESSING, INC.	A	Dividend			Sold	01/18/12	J	A	
11. --SOUTHERN CO.	A	Dividend	J	T					
12. --ALTRIA GROUP, INC.	A	Dividend	J	T					
13. --FRK MUT GLB DISCOVERY-A	B	Dividend			Sold	08/13/12	K	B	
14. --PIMCO TOTAL RETURN-A	B	Dividend	K	T					
15. --400 MID CAP VALUE ETF	A	Dividend	J	T	Buy	01/03/12	J		
16. --COLUMBIA BALANCED CL A	A	Dividend	K	T	Buy	08/14/12	K		
17. --COLUMBIA BALANCED CL A	A	Dividend	K	T	Buy	12/06/12	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 =$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
Phillips, Thomas W.	05/01/2013

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)
18. --PRUDENTIAL SHORT TERM CORP BOND FUND INC CL A	D	Interest	M	T	Buy	08/15/12	M		
19. AMEX TRUST CO. ROTH IRA	B	Dividend	L	T	Buy	01/03/12	K		
20. --BLKRCK GLB ALLOCATION	B	Dividend	L	T	Buy	01/03/12	K		
21. AMEX - TRUST CO. IRA	C	Int./Div.	M	T					
22. --AMERIPRISE INS MONEY MARKET	B	Interest	K	T					
23. --SPDR DJ WILSHIRE MID CAP VALUE ETF	A	Dividend			Sold	08/15/12	J	A	
24. --COLUMBIA FUNDS BALANCED CL A	A	Dividend	K	T					
25. --COLUMBIA FUNDS BALANCED CL A	A	Dividend	K	T	Buy	11/20/12	K		
26. --ISHARES LEHMAN 1-3 YR CREDIT	A	Dividend			Sold (part)	08/15/12	K	A	
27. --J. HANCOCK FLOAT RATE-A	B	Dividend			Sold	11/27/12	K	B	
28. --PIMCO TOTAL RETURN-A	A	Dividend	J	T					
29. --FRK MUT GLB DISCOVERY-A	A	Dividend			Sold	08/13/12	J	A	
30. --PDR S&P DIVIDEND ETF	A	Dividend			Sold	11/29/12	J	A	
31. --44 SPDR S&P 400 MID CAP VALUE	A	Dividend			Sold	08/15/12	J	A	
32. --SPDR S&P DIVIDEND ETF	A	Dividend			Sold	11/29/12	J	A	
33. --PRUDENTIAL SHORT TERM CORP BOND FUND INC CL A	A	Dividend	K	T	Buy	08/16/12	K		
34. RVS STRAT INC ALLOC - A RIVERSOURCE MUTUAL FUNDS	B	Dividend	K	T					

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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	
	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	
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35. GLD STRAT INCOME -A GOLDMAN SACHS ASSET MGMT	B	Dividend	K	T	Sold (part)	08/13/12	K	B	
36. ISHARES S&P 500 GROWTH INDEX FUND	A	Dividend			Sold	11/29/12	K	A	
37. COLUMBIA FUNDS BAL CL A	A	Dividend	K	T	Buy	11/30/12	K		
38. ISHARES LEHMAN 1-3 YEAR CREDIT BOND FUND	A	Dividend	J	T					
39. COLUMBIA FUNDS BALANCED CL A	B	Dividend	K	T					
40. SPDR S&P DIVIDEND ETF	B	Dividend			Sold	11/29/12	K	B	
41. SPDR S&P 400 MID CAP VALUE	B	Dividend	K	T	Buy	01/06/12	K		
42. SPDR S&P 400 MID CAP VALUE	B	Dividend	K	T	Sold (part)	08/15/12	K	A	
43. GLD STRAT INCOME-A GOLDMAN SACHS ASSET MGMT	B	Dividend	K	T	Sold (part)	11/13/12	K	A	
44. GLD STRAT INCOME-A GOLDMAN SACHS ASSET MGMT	B	Dividend	K	T	Sold (part)	12/11/12	K	A	
45. FRK TN MUNI BOND-A FRANKLIN GROUP FUNDS	A	Dividend	J	T					
46. FRK MUT GLB DISCOVERY -A FRANKLIN GROUP FUNDS	A	Dividend			Sold	08/13/12	J	A	
47. MFS TENNESSEE MUNICIPAL BOND CL A	B	Interest	K	T	Buy	08/16/12	K		
48. MFS TENNESSEE MUNICIPAL BOND CL A	B	Interest	K	T	Buy	11/30/12	K		

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

Did not teach in 2012.

Name of Person Reporting	Date of Report
Phillips, Thomas W.	05/01/2013

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/ 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