AO 10
Rev. 1/2022

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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.	United States District Court	04/01/2022
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- Active	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
United States District Court Charles Evans Whittaker United States Courthouse 400 East Ninth Street, Room 7452 Kansas City, MO 64106		

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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Trustee	[redacted] Trust
2.		
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

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
1.	2021	State of Missouri- Salary
2.		
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ NONE *(No reportable reimbursements.)*

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

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Phillips, Mary E.	04/01/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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)	
1. Adorn, Inc.		None	J	W					
2. [redacted] Trust (H)									
3. Country Club Bank	A	Interest	L	T					
4. Schwab 1 (H) Trust									
5. Osage Sch Lake Ozark - bond	A	Interest	K	T					
6. Greene Co Reorg school - bond	C	Interest	L	T					
7. Missouri St. Health and EDL - bond	A	Interest	K	T					
8. Alphabet - GOOGL		None	K	T	Buy	01/15/21	K		
9. Bristol-Myers - BMY	A	Dividend	K	T	Buy	01/15/21	K		
10. Citigroup - C	A	Dividend	J	T	Buy	01/15/21	K		
11. Colgate Palmolive (CL)	A	Dividend	J	T					
12. Diageo plc - DEO	A	Dividend	J	T					
13. Intel Corp - INTC	A	Dividend	K	T					
14. Johnson & Johnson - JNJ	A	Dividend	J	T					
15. Medtronic - MDT	A	Dividend	K	T					
16. PepsiCo Inc	A	Dividend	J	T					
17. Rockwell Automation - ROK	A	Dividend	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; U =Book Value; V =Other; W =Estimated

Name of Person Reporting	Date of Report
Phillips, Mary E.	04/01/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A		B		C		D				
Description of Assets (including trust assets)		Income during reporting period		Gross value at end of reporting period		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)	
18.	Union Pacific - UNP	A	Dividend	J	T					
19.	IShares Trust Real Estate - IYR	B	Dividend	K	T					
20.	iShares MSCI Emerging Markets Index EEM	B	Dividend	L	T					
21.	Schwab Dividend - SCHD	B	Dividend	K	T	Buy	01/15/21	K		
22.	Vanguard Midcap Growth - VOT	A	Dividend	L	T					
23.	Vanguard Mid Cap Value - VOE	A	Dividend	K	T					
24.	Vanguard FTSE Emerging Markets - VWO	B	Dividend	K	T					
25.	Vanguard Russell 1000 Growth - VONG	B	Dividend	M	T					
26.	Vanguard Russell 1000 Value - VONV	B	Dividend	M	T					
27.	Vanguard Russell 2000 Growth - VTWG	A	Dividend	K	T					
28.	Vanguard FTSE Developed Market - VEA	D	Dividend	M	T					
29.	Matthews Asia Dividend - MIPIX	A	Dividend	L	T					
30.	Matthews Pacific Tiger - MIPTX	A	Dividend	K	T	Buy	01/15/21	K		
31.	T. Rowe Price Asia Opp - TRASX	A	Dividend	K	T	Buy	01/15/21	K		
32.	Vanguard Primecap Core - VPCCX	A	Dividend	L	T					
33.	Vanguard Selected Value - VASVX	A	Dividend	L	T					
34.	Vanguard Tax-Managed Small Cap - VTMSX	A	Dividend	K	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		
	U =Book Value	V =Other	W =Estimated			

Name of Person Reporting	Date of Report
Phillips, Mary E.	04/01/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		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)	
35. Cash Account Schwab - SWGXX	A	Interest	J	T					
36. Schwab 2 (Roth) (H)									
37. T. Rowe Price Overseas TROIX	A	Dividend	J	T					
38. UNTS Gugg Flah Crum PRFD	A	Dividend			Matured	04/22/21	K		
39. Cash Account Schwab - WGXX	A	Interest	K	T					
40. Schwab 3 (Rollover) (H)									
41. Intel Corp - INTC	A	Dividend			Sold	09/13/21	J		
42. Johnson & Johnson - JNJ	A	Dividend	J	T					
43. Medtronic - MDT	A	Dividend	J	T					
44. Meta - FB		None	K	T	Buy	09/13/21	K		
45. Pepsico - PEP	A	Dividend	J	T					
46. QUALCOMM Inc - QCOM	A	Dividend			Sold	09/13/21	J		
47. Rockwell Automation - ROK	A	Dividend	J	T					
48. Union Pacif Corp - UNP	A	Dividend	J	T					
49. Ishared US Real Estate - IYR	B	Dividend	K	T					
50. Vanguard Mid-Cap Growth - VOT	A	Dividend	K	T					
51. Vanguard Mid-cap Value -VOE	A	Dividend	K	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	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Phillips, Mary E.	04/01/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		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)	
52. Vanguard Emerging Markets - VWO	A	Dividend	K	T					
53. Vanguard Russell 1000 Growth - VONG	A	Dividend	L	T					
54. Vanguard Russell 2000 Value VTWV	B	Dividend	K	T					
55. Vanguard russell 2000 Growth - VTWG	A	Dividend	K	T					
56. Vanguard Developed MKT - VEA	B	Dividend	L	T					
57. Verizon Comm Int. NTS B/E - bond		None	K	T					
58. Matthews Asian Dividend MIPIX	A	Dividend	K	T					
59. Schwab US Dividend SCHD	A	Dividend	K	T					
60. Schwab 4 (Rollover) (H)									
61. T. Rowe Price Asia Opportunities TRASX	A	Dividend	K	T					
62. Cash Account - Schwab - SWGXX	A	Dividend	J	T					
63. Schwab 5 (Roth) (H)									
64. Intel Corp - INTC	A	Dividend			Sold	09/13/21	J		
65. Johnson & Johnson - JNJ	A	Dividend	J	T					
66. Medtronic - MDT	A	Dividend	J	T					
67. Meta - FB		None	K	T	Buy	09/13/21	K		
68. Pepsico - PEP	A	Dividend	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; U =Book Value; V =Other; W =Estimated

Name of Person Reporting	Date of Report
Phillips, Mary E.	04/01/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		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)	
69. Qualcomm - QCOM	A	Dividend			Sold	09/13/21	J		
70. Rockwell Automation - ROK	A	Dividend	J	T					
71. Union Pacitic Corp - UNP	A	Dividend	J	T					
72. IShares US Real Estate - IYR	A	Dividend	K	T					
73. Vanguard Mid-Cap Growth - VOT	A	Dividend	K	T					
74. Vanguard Mid-Cap Value - VOE	A	Dividend	K	T					
75. Vanguard Emerging Markets - VWO	A	Dividend	J	T					
76. Vanguard Russell 1000 Growth - VONG	A	Dividend	L	T					
77. Vanguard Russell 2000 Value - VTWV	A	Dividend	K	T					
78. Vanguard Russell 2000 Growth - VTWG	A	Dividend	K	T					
79. Vanguard Developed MKT - VEA	B	Dividend	K	T					
80. Vanguard Total Stock - VTSAX	A	Dividend	K	T					
81. Schwab US Dividend SCHD	B	Dividend	L	T					
82. T Rowe Price Asia Opportunities TRASX	A	Dividend	K	T					
83. Cash Account Schwab - SWGXX	A	Interest	J	T					
84. 457(b) Plan (H)									
85. MO2035 Fund	B	Interest	N	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
U =Book Value V =Other W =Estimated

Name of Person Reporting	Date of Report
Phillips, Mary E.	04/01/2022

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

Name of Person Reporting	Date of Report
Phillips, Mary E.	04/01/2022

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 G-330
One Columbus Circle, N.E.
Washington, D.C. 20544