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, Gregory A.	United States Court of Appeals for the Tenth Circuit	05/15/2022
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Circuit Court Judge, Active	**5a. Report Type (check appropriate type)** ☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	**6. Reporting Period** 01/01/2021 **to** 12/31/2021
7. Chambers or Office Address 2120 Capitol Avenue O'Mahoney Federal Building, Room 2603 Cheyenne, Wyoming 82001		

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.		
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 Wyoming Retirement System
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, Gregory A.	05/15/2022

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)	
1.	Wells Fargo First Eagle Global Inc Fd, Cl A SGENX	A	Int./Div.	J	T					
2.	Wells Fargo Blackrock Global Allocation Cl A MDLOX	A	Int./Div.	J	T					
3.	Wells Fargo Franklin U.S. Government Money 529 Portfolio - Class C	A	Int./Div.			Matured	01/08/21	K	A	
4.						Matured	08/13/21	K	A	
5.	Wyoming Retirement System-Pension	D	Interest	K	T					
6.	Wells Fargo Cash Sweep Account	A	Interest	K	T					
7.	Wells Fargo Cash Sweep Account	A	Interest	J	T					
8.	Wells Fargo Cash Sweep Account	A	Interest	J	T					
9.	Wells Fargo Cash Sweep Account	A	Interest	J	T					
10.	WF-Allianz Life Index Adv Var Annuity - IDX Perf Strat Using S&P 500 I		None	M	T					
11.	WF-Allianz Life Index Adv Var Annuity - IDX Perf Strat Using S&P 500 I		None	M	T					
12.	Wyoming Retirement System LifePath Index 2025Q	C	Int./Div.	M	T					
13.	Wells Fargo Franklin U.S. Government Money 529 Portfolio - Class A	C	Int./Div.	L	T	Buy (add'l)	01/08/21	K		
14.						Buy (add'l)	08/13/21	K		
15.						Sold (part)	12/29/21	J	C	
16.	Wells Fargo Hartford Mut Fds Inc HBLAX	A	Int./Div.			Sold	05/04/21	J	A	
17.	Meridian Trust Federal Credit Union Cash Accounts	A	Interest	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		

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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		C Gross value at end of reporting period		D Transactions during reporting period				
		(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.	Wells Fargo Alger Focus Equity Fund Z	B	Int./Div.	L	T	Buy (add'l)	05/04/21	J		
19.	Wells Fargo Hartford Mut FDS Inc Balanced Income FD CL I HBLIX	C	Int./Div.			Sold	05/04/21	K	C	
20.	Wells Fargo Fidelity Investments Money Market FDS INSTL FNSXX	A	Int./Div.	M	T					
21.	Wells Fargo Cohen & Steers PFD SECS & Income FD INC Class I	A	Int./Div.	K	T					
22.	Wells Fargo Guggenheim FDS TR Total Return BD FD INSTL CL GIBIX	A	Int./Div.			Sold	05/04/21	K	A	
23.	Wells Fargo Fidelity Investments Money Market FDS INSTL FNSXX	A	Int./Div.			Sold	05/04/21	K	A	
24.	Wells Fargo Cash Sweep Account	A	Int./Div.	J	T					
25.	Wells Fargo Calamos Market Neutral Income Fund Class I	A	Int./Div.	K	T	Buy	05/04/21	J		
26.	Wells Fargo Janus Henderson Funds Balanced FD Class I	A	Int./Div.	K	T	Buy	05/04/21	K		
27.	Wells Fargo Lord Abbett Convertible FD CL I	A	Int./Div.	J	T	Buy	05/04/21	J		
28.	Wells Fargo Goldman Sachs TR Income Builder FD Instl CL	B	Int./Div.	K	T	Buy	05/04/21	K		
29.	Wells Fargo Alger Focus Equity Fund Class C	C	Int./Div.	K	T	Buy	05/10/21	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	

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

1) Lines 12, 13, 18 and 20 of the prior year disclosure have been omitted from Part VII of the current year disclosure as these assets were 100% sold in the prior year.
2) Description on current year report line 24 changed from the prior year report as it should be Wells Fargo Cash Sweep not Wells Fargo 529 Plan Cash Sweep.

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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/ Gregory A. 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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