



Filing ID #10027796

FINANCIAL DISCLOSURE REPORT

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FILER INFORMATION

Name: Tom Phillips
Status: Congressional Candidate
State/District: NJ07

FILING INFORMATION

Filing Type: Candidate Report
Filing Year: 2019
Filing Date: 05/15/2019

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|--|-------|--------------------|----------------|-------------------------------|-----------------------|
| ADP 401k ⇒ BlackRock Global Allocation Fund, Inc. - Investor A Class [MF] | | \$1,001 - \$15,000 | Tax-Deferred | | |
| ADP 401k ⇒ ClearBridge Aggressive Growth Fund - Class A [MF] | | \$1,001 - \$15,000 | Tax-Deferred | | |
| ADP 401k ⇒ Franklin Small Cap Growth Fund - Class A [MF] | | \$1,001 - \$15,000 | Tax-Deferred | | |
| ADP 401k ⇒ Goldman Sachs Mid Cap Value Fund - Class A [MF] | | \$1,001 - \$15,000 | Tax-Deferred | | |
| ADP 401k ⇒ Invesco Comstock Fund - Class A [MF] | | \$1,001 - \$15,000 | Tax-Deferred | | |
| ADP 401k ⇒ Invesco Stable Asset Fund [MF] | | \$1,001 - \$15,000 | Tax-Deferred | | |
| ADP 401k ⇒ Janus Henderson Enterprise Fund - Class S [MF] | | \$1,001 - \$15,000 | Tax-Deferred | | |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|---|-------|--------------------|----------------|-------------------------------|-----------------------|
| ADP 401k ⇒ Oppenheimer Global Fund - Class A [MF] | | \$1,001 - \$15,000 | Tax-Deferred | | |
| ADP 401k ⇒ Oppenheimer International Growth Fund - Class A [MF] | | \$1,001 - \$15,000 | Tax-Deferred | | |
| ADP 401k ⇒ Pioneer Bond Fund - Class A [MF] | | \$1,001 - \$15,000 | Tax-Deferred | | |
| ADP 401k ⇒ State Street Russell Small Cap Index Securities Lending Series Fund - Class VIII [MF] | | \$1 - \$1,000 | Tax-Deferred | | |
| ADP 401k ⇒ State Street S&P 500 Index Securities Lending Series Fund - Class IX [MF] | | \$1,001 - \$15,000 | Tax-Deferred | | |
| ADP 401k ⇒ State Street S&P MidCap Index Non-Lending Series Fund - Class J [MF] | | \$1,001 - \$15,000 | Tax-Deferred | | |
| ADP 401k ⇒ T. Rowe Price Retirement 2040 Fund - Class R [MF] | | \$1,001 - \$15,000 | Tax-Deferred | | |
| ADP 401k ⇒ T. Rowe Price Retirement 2045 Fund - Class R [MF] | | \$1,001 - \$15,000 | Tax-Deferred | | |
| ADP 401k ⇒ T. Rowe Price Retirement 2050 Fund - Class R [MF] | | \$1,001 - \$15,000 | Tax-Deferred | | |
| ADP 401k ⇒ Voya Corporate Leaders 100 Fund - Class A [MF] | | \$1,001 - \$15,000 | Tax-Deferred | | |
| Bank of America [BA] | JT | \$1,001 - \$15,000 | Interest | \$1 - \$200 | \$1 - \$200 |
| DESCRIPTION: Jointly held Bank Accounts- Checking and Savings | | | | | |
| CMC Interactive 401k Plan ⇒ American New World (RNWEX) [MF] | | \$1 - \$1,000 | Tax-Deferred | | |
| CMC Interactive 401k Plan ⇒ Franklin MicroCap Value Adv (FVRMX) [MF] | | \$1 - \$1,000 | Tax-Deferred | | |
| CMC Interactive 401k Plan ⇒ Hartford MidCap HLS IA (HIMCX) [MF] | | \$1 - \$1,000 | Tax-Deferred | | |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|---|-------|----------------|----------------|-------------------------------|-----------------------|
| CMC Interactive 401k Plan ⇒ Invesco Diversified Dividend (LCEVX) [MF] | | \$1 - \$1,000 | Tax-Deferred | | |
| CMC Interactive 401k Plan ⇒ Janus Balanced [MF] | | \$1 - \$1,000 | Tax-Deferred | | |
| CMC Interactive 401k Plan ⇒ Janus Triton (JATTX) [MF] | | \$1 - \$1,000 | Tax-Deferred | | |
| CMC Interactive 401k Plan ⇒ JPMorgan SmartRetirement 2040 Select (SMTSX) [MF] | | \$1 - \$1,000 | Tax-Deferred | | |
| CMC Interactive 401k Plan ⇒ JPMorgan SmartRetirement 2050 Select (JTSSX) [MF] | | \$1 - \$1,000 | Tax-Deferred | | |
| CMC Interactive 401k Plan ⇒ Laudus U.S. Large Cap Growth Fund (LGILX) [MF] | | \$1 - \$1,000 | Tax-Deferred | | |
| CMC Interactive 401k Plan ⇒ MFS Mid Cap Value R4 (MVCJX) [MF] | | \$1 - \$1,000 | Tax-Deferred | | |
| CMC Interactive 401k Plan ⇒ Oppenheimer International Diversified Y (OIDYX) [MF] | | \$1 - \$1,000 | Tax-Deferred | | |
| CMC Interactive 401k Plan ⇒ Parnassus Equity Income (PRBLX) [MF] | | \$1 - \$1,000 | Tax-Deferred | | |
| CMC Interactive 401k Plan ⇒ Principal MidCap S&P 400 Index (PMFPX) [MF] | | \$1 - \$1,000 | Tax-Deferred | | |
| CMC Interactive 401k Plan ⇒ Schwab International Index (SWISX) [MF] | | \$1 - \$1,000 | Tax-Deferred | | |
| CMC Interactive 401k Plan ⇒ Schwab S&P 500 Select (SWPPX) [MF] | | \$1 - \$1,000 | Tax-Deferred | | |
| CMC Interactive 401k Plan ⇒ Schwab Small Cap Index (SWSSX) [MF] | | \$1 - \$1,000 | Tax-Deferred | | |
| CMC Interactive 401k Plan ⇒ Schwab Value Adv Money (SWVXX) [MF] | | \$1 - \$1,000 | Tax-Deferred | | |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|--|-------|-----------------------|----------------|-------------------------------|-----------------------|
| CMC Interactive 401k Plan ⇒ Vanguard Interm Term Bond Index Adm (VBILX) [MF] | | \$1 - \$1,000 | Tax-Deferred | | |
| New York Saves 529 Plan ⇒ NY Saves DC1 [5P] LOCATION: NY DESCRIPTION: DC 1 | DC | \$1 - \$1,000 | Tax-Deferred | | |
| New York Saves 529 Plan ⇒ NY Saves- DC2 [5P] LOCATION: NY DESCRIPTION: DC 2 | DC | \$1 - \$1,000 | Tax-Deferred | | |
| Novartis 401k ⇒ Novartis 2030 Target Retirement Fund [MF] | | \$100,001 - \$250,000 | Tax-Deferred | | |
| Novartis 401k ⇒ Novartis 2040 Target Retirement Fund [MF] | | \$100,001 - \$250,000 | Tax-Deferred | | |
| Wells Fargo IRA ⇒ Income Fund Amer Inc Class A AMECX [MF] | | \$1,001 - \$15,000 | Tax-Deferred | | |

* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

SCHEDULE C: EARNED INCOME

| Source | Type | Amount Current Year to Filing | Amount Preceding Year |
|---------------------|---------------|-------------------------------|-----------------------|
| Novartis | spouse salary | N/A | N/A |
| Jet Set Sports | Salary | \$39,115.40 | \$83,481.00 |
| New York University | Salary | \$5,775.00 | \$11,453.00 |

SCHEDULE D: LIABILITIES

| Owner | Creditor | Date Incurred | Type | Amount of Liability |
|-------|------------|---------------|--------------------------|---------------------|
| JT | Citigroup | March 2018 | Revolving Charge Account | \$15,001 - \$50,000 |
| JT | Home Depot | March 2018 | Revolving Charge Account | \$15,001 - \$50,000 |

| Owner | Creditor | Date Incurred | Type | Amount of Liability |
|-------|--|----------------|------------------------------|-----------------------|
| | FedLoan Servicing | June 2015 | Student Loans Consolidation | \$100,001 - \$250,000 |
| | NJ Class | September 2008 | Student Loan for Grad School | \$15,001 - \$50,000 |
| | COMMENTS: This was fully paid off in March of 2019 | | | |
| | Wells Fargo | November 2002 | Student Loan | \$15,001 - \$50,000 |
| JT | Bank of America | March 2018 | Revolving Charge Account | \$10,000 - \$15,000 |

SCHEDULE E: POSITIONS

None disclosed.

SCHEDULE F: AGREEMENTS

None disclosed.

SCHEDULE J: COMPENSATION IN EXCESS OF \$5,000 PAID BY ONE SOURCE

None disclosed.

SCHEDULE A ASSET CLASS DETAILS

- ADP 401k
- CMC Interactive 401k Plan
- New York Saves 529 Plan (Owner: DC)
LOCATION: NY
DESCRIPTION: Dependent Children 529 plans
- Novartis 401k (Owner: SP)
- Wells Fargo IRA

EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

Trusts: Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?

☐ Yes ☒ No

Exemption: Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?

☐ Yes ☒ No

CERTIFICATION AND SIGNATURE

☒ I CERTIFY that the statements I have made on the attached Financial Disclosure Report are true, complete, and correct to the best of my knowledge and belief.

Digitally Signed: Tom Phillips , 05/15/2019