

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) BREEN, J. DANIEL	2. Court or Organization WESTERN DISTRICT OF TENNESSEE	3. Date of Report 05/15/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. DISTRICT JUDGE/ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address 444 UNITED STATES COURTHOUSE 111 SOUTH HIGHLAND AVENUE JACKSON, TN 38301		
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. Insert signature on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Executive Committee	National Conference of Federal Trial Judges
2. Board of Directors	Federal Judges' Association
3. Trustee	Trust #1
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

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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.	
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. American Bar Association	2/10/2011-2/11/2011	Atlanta GA	National Conference of Federal Trial Judges	travel, lodging and meals
2. Federal Judges Association	4/12/2011-4/14/2011	Washington, DC	Meeting	travel, lodging and meals
3. American Bar Association	8/4/2011-8/7/2011	Toronto, Canada	Meeting	travel, lodging and meals
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

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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		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)	(5) Identity of buyer/seller (if private transaction)
1. Bancorp South	A	Interest	K	T					
2. IRA - Fidelity Mag.	B	Dividend	L	T					
3. CMA ACCT. - MERRILL LYNCH									
4. Idacorp, Inc.	A	Dividend	J	T					
5. Procter & Gamble CS	A	Dividend	K	T					
6. AT&T CS	A	Dividend	J	T					
7. Coca-Cola CS	A	Dividend	J	T					
8. E.I. Dupont CS	A	Dividend	J	T					
9. Johnson & Johnson CS	A	Dividend	J	T					
10. Waddell & Reed Acct									
11. Waddell & Reed Strategy Port	A	Dividend	J	T					
12. Waddell & Reed Balanced Port	A	Dividend	J	T					
13. Waddell & Reed Bond Port	A	Dividend	J	T					
14. Waddell & Reed Core Equity	A	Dividend	J	T					
15. Waddell & Reed Growth Port	A	Dividend	J	T					
16. Waddell & Reed High Income Port	A	Dividend	J	T					
17. Waddell & Reed Science & Tech Port	A	Dividend	J	T					

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 \$5,000,000	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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18. Waddell & Reed Small Cap Growth Port	A	Dividend	J	T					
19. Waddell & Reed Trgt. Fd. Intl. Growth Port	A	Dividend	J	T					
20. Waddell & Reed Value Port	A	Dividend	J	T					
21. Waddell & Reed Global Ntrl. Res. Port	A	Dividend	J	T					
22. Waddell & Reed Mid Cap Gwth Port	A	Dividend	J	T					
23. Waddell & Reed Target Microcap Gwth	A	Dividend	J	T					
24. Waddell & Reed Target Energy Port	A	Dividend	J	T					
25. ING Acct.									
26. ING Am. Fds. Gwth-Inc. Port	A	Dividend	J	T					
27. Fidelity Contrafund	A	Dividend	J	T					
28. ING FMR SM Diversified Midcap	A	Dividend	J	T					
29. ING JP Morgan Small Cap Cove Eq. Port	A	Dividend	J	T					
30. ING An. Fds. Int'l Port	A	Dividend	J	T					
31. IRA ACCOUNT - MERRILL LYNCH									
32. Allianz NFJ Int'l Value Fund	A	Dividend			Sold	10/18/11	J	A	
33. American Adj. Bd.	A	Dividend	J	T	Buy	10/26/11	J		
34. American New Perspective	A	Dividend			Sold	10/18/11	J	A	

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	
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35. Cambiar Opp. Fd.	A	Dividend	J	T	Buy	10/26/11	J		
36. American Fundamental Investors	A	Dividend			Sold	10/18/11	J	A	
37. Delaware Corp. Bd. Fund	A	Dividend	J	T	Buy	10/26/11	J		
38. American Short Term Bond	A	Dividend			Sold	10/18/11	J	A	
39. Dreyfus App. Fd.	A	Dividend	J	T	Buy	10/26/11	J		
40. Coca Cola - CS	A	Dividend	J	T					
41. Blackrock Low Duration Bd. Fd.	A	Dividend			Sold	10/18/11	K	A	
42. Eaton Vance Floating Rate Fd.	A	Dividend	J	T	Buy	10/26/11	J		
43. Fidelity Advisor New Insights Fd.	A	Dividend			Sold	10/18/11	J	A	
44. Federated Strategic Value Div.	A	Dividend	J	T	Buy	10/26/11	J		
45. Duke Energy-CS	A	Dividend			Sold	11/01/11	J	A	
46. Exxon Mobil - CS	A	Dividend	J	T					
47. General Electric - CS	A	Dividend	J	T					
48. Home Depot - CS	A	Dividend			Sold	10/18/11	J	A	
49. FPA New Income Inc.	A	Dividend	J	T	Buy	10/26/11	J		
50. Household Int'l - CS	A	Dividend			Sold	10/18/11	J	A	
51. Mainstay Large Cap Growth Fd.	A	Dividend	J	T	Buy	10/26/11	J		

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52. Johnson & Johnson - CS	A	Dividend	J	T					
53. J. P. Morgan Chase & Co.	A	Dividend			Sold	10/18/11	J	A	
54. Metropolitan West Total Bd. Fd.	A	Dividend	J	T	Buy	10/26/11	J		
55. McDonalds - CS	A	Dividend	J	T					
56. Loomis Sayles Strategic Inc. Fd.	A	Dividend			Sold	10/18/11	J	A	
57. Permanent Portfolio Fd.	A	Dividend	J	T	Buy	10/26/11	J		
58. Microsoft Corp. - CS	A	Dividend			Sold	10/18/11	J	A	
59. Pioneer Strategic Inc. Fd.	A	Dividend	J	T	Buy	10/26/11	J		
60. Fidelity Advisor Mid-Cap Fd.	A	Dividend			Sold	10/18/11	J	A	
61. Prudential Short Term Corp. Fd.	A	Dividend	J	T	Buy	10/26/11	J		
62. Spectra Energy Corp. CS	A	Dividend			Sold	10/18/11	J	A	
63. TCW Total Return Bd. Fd.	A	Dividend	J	T	Buy	10/26/11	J		
64. Wal-Mart Stores - CS	A	Dividend	J	T					
65. Blackrock Global Alloc. Fd.	A	Dividend			Sold	10/18/11	J	A	
66. IRA- MERRILL LYNCH									
67. Sallie Mae Bank - CD	A	Interest			Redeemed	11/01/11	J	A	
68. American Century Adj. Bd.	A	Dividend	K	T	Buy	10/27/11	K		

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69. EKSPORT STARS SPX	A	Interest			Sold	11/01/11	J	A	
70. Dreyfus App. Fd.	A	Dividend	K	T	Buy	10/27/11	K		
71. Allianz NFJ Int'l Value Fd.	A	Dividend			Sold	11/01/11	J	A	
72. Eaton Vance Floating Rate Fd.	A	Dividend	K	T	Buy	10/27/11	K		
73. American New Perspective Fd.	A	Dividend			Sold	11/01/11	J	A	
74. Federated Strategic Value Fd.	A	Dividend	J	T	Buy	10/27/11	J		
75. American Fundamental Investors	A	Dividend			Sold	10/21/11	J	A	
76. First Eagle Gold Fd.	A	Dividend	J	T	Buy	10/27/11	J		
77. Ivy Asset Strategy	A	Dividend	J	T	Buy	10/27/11	J		
78. American Short Term Bond Fd.	A	Dividend			Sold	11/01/11	J	A	
79. Mainstay Large Cap Growth Fd.	A	Dividend	K	T	Buy	10/27/11	K		
80. Blackrock Low Duration Bond Fd.	A	Dividend			Sold	11/01/11	J	A	
81. Pimco Total Return Fd.	A	Dividend	K	T	Buy	10/27/11	K		
82. Fidelity Advisor	A	Dividend	J	T					
83. Wells Fargo Adv. Small Cap Fd.	A	Dividend	J	T	Buy	10/27/11	J		
84. Pioneer Strategic Inc. Fd.	A	Dividend	K	T	Buy	10/27/11	K		
85. Blackrock Global Alloc. Fd.	A	Dividend			Sold	11/01/11	K	A	

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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 \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
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86. Prudential Jennison Value Fd.	A	Dividend	K	T	Buy	10/27/11	K		
87. Sallie Mae Bank CD	A	Interest			Redeemed	11/01/11	J	A	
88. Prudential Short Term Corp. Bd. Fd.	A	Dividend	K	T	Buy	10/27/11	K		
89. John Hancock Balanced	A	Dividend			Sold	11/01/11	J	A	
90. Templeton Gbl Bond Fd.	A	Dividend	J	T	Buy	10/27/11	J		
91. Am. Short Term Bd. Fd.	A	Dividend			Sold	11/01/11	J	A	
92. American Century Inflation Adj. Bd.	A	Dividend	J	T	Buy	10/27/11	J		
93. Blackrock Low Duration Bd. Fd.	A	Dividend			Sold	11/01/11	J	A	
94. Dreyfus Appreciation Fd.	A	Dividend	J	T	Buy	10/27/11	J		
95. Fidelity Advisor New Insights Fd.	A	Dividend			Sold	10/21/11	J	A	
96. Eaton Vance Floating Rat Fd.	A	Dividend	J	T	Buy	10/27/11	J		
97. Goldman Sachs Grwth Fd.	A	Dividend			Sold	10/21/11	J	A	
98. Federated Strategic Value Fd.	A	Dividend	J	T	Buy	10/27/11	J		
99. Loomis Sayles Global Mkts Fd.	A	Dividend			Sold	11/01/11	J	A	
100. First Eagle Gold Fd.	A	Dividend	J	T	Buy	10/27/11	J		
101. Loomis Sayles Strag. Inc. Fd.	A	Dividend			Sold	11/01/11	K	A	
102. Ivy Asset Strategy	A	Dividend	J	T	Buy	10/27/11	J		

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103. Merrill Lynch Money Market Fd.	A	Interest	J	T					
104. Merrill Lynch Retirement Reserves	A	Interest	J	T					
105. Procter & Gamble CS	A	Dividend	J	T					
106. Waddell & Reed Advisors Small Cap	A	Dividend	J	T					
107. Waddell & Reed Accumulative	A	Dividend	J	T					
108. Waddell & Reed Core Investment	A	Dividend	J	T					
109. Waddell & Reed Advisors Cash Management	A	Dividend	J	T					
110. BanCorp South CD	A	Interest	J	T					
111. Ivy VIP Asset Strategy	A	Dividend	K	T					
112. Ivy VIP Balanced Fd.	A	Dividend	J	T					
113. Ivy Energy Fd.	A	Dividend	J	T					
114. Ivy Global Nat'l Res. Fd.	A	Dividend	K	T					
115. Ivy Intl Grwth Fd.	A	Dividend	J	T					
116. Ivy Sci NC Tech Fd.	A	Dividend	J	T					
117. TRUST #1									
118. ML Bank Deposit Program	A	Interest	L	T					
119. SP500 Stepup Issuer BAC	A	Interest	K	T	Buy	10/27/11	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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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		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)	(5) Identity of buyer/seller (if private transaction)
120. Global CLIRN Issuer BAC	A	Interest	K	T	Buy	07/29/11	K		
121. MUTUAL FUNDS									
122. Columbia Acorn Fd.	A	Dividend	J	T					
123. Eaton Vance Large Cap	A	Dividend			Sold	11/21/11	K	A	
124. First Eagle Global Fd.	A	Dividend			Sold	11/21/11	K	A	
125. Ivy Asset Strategy	A	Dividend			Sold	11/21/11	J	A	
126. Janus Forty Fd	A	Dividend	K	T					
127. John Hancock Strategic Incm.	A	Dividend	K	T					
128. Lord Abbett National T/F	B	Dividend	K	T					
129. Nuveen High Yield Muni Bd. Fd.	B	Dividend	K	T					
130. Nuveen Trdwnds Value Fd.	A	Dividend			Sold	11/21/11	J	A	
131. Oppenheimer Developing Mkts. Fd.	A	Dividend	J	T					
132. Pimco Global Multi Asset Fd.	A	Dividend	J	T					
133. Templeton Global Bond Fd.	A	Dividend	K	T					
134. Eksport ARN Gold Spot	A	Dividend	J	T					
135. SEK ARN RICIGLER	A	Dividend	J	T					

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.)*

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Name of Person Reporting

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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/ **J. DANIEL BREEN**

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