

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) Whyte, Ronald M.	2. Court or Organization Northern District California	3. Date of Report 06/13/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address U.S. District Court 280 S. First Street San Jose, CA 95113		
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Member of Exec. Committee	Santa Clara Inn of Court
2.	Member	Intellectual Property Board of Advisors - George Washington Law School
3.	Member	Santa Clara Law School IP Advisory Board
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 Conference
Institute

06/11/2012-06/13/2012 New York, NY

Patent Program

Reimbursement for food, travel and
lodging2. Sedona Conference
Organization

10/10/2012-10/12/2012 Del Mar, CA

Patent Conference

Reimbursement for food, travel and
lodging

3.

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. Sacramento Utility Bond	A	Interest	J	T	Redeemed (part)	05/05/12	J	A	
2. California Water Bond due 2016	A	Interest	J	T					
3. California Water Bond due 2018	A	Interest	J	T					
4. Davis NY Venture Mut Fund	A	Dividend			Sold	09/25/12	J	A	
5. Templeton Foreign Fund	B	Dividend	L	T					
6. Dryden Cal Muni Fund	B	Dividend	K	T					
7. Pax World Fund	C	Dividend	M	T					
8. First Eagle (Sogen) International Fund	B	Dividend	M	T					
9. Bank of the West Acct	A	Interest	J	T					
10. Bank of the West Acct	A	Interest	J	T					
11. Condo, Blaine County, Ketchum, ID	D	Rent	N	S					
12. Calamos Investment Trust Growth Fund	C	Dividend	L	T					
13. Eaton Vance Health Science Fund	D	Dividend			Sold	09/13/12	M	D	
14. von Weise Properties, LLC	E	Distribution	N	W					
15. Oppenheimer Dev Mkrs Fd	A	Dividend	K	T					
16. Ceres Ca Redev Bond	A	Interest			Redeemed	11/11/12	K	A	
17. Solano CA 3.5% Bond	B	Interest			Redeemed	11/01/12	K	A	

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	B = \$1,001 - \$2,500 F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	C = \$2,501 - \$5,000 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	D = \$5,001 - \$15,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	E = \$15,001 - \$50,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000
2. Value Codes	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market

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18. Pomona CA Bond	B	Interest	L	T					
19. ML Bank Deposit	A	Interest	M	T					
20. Reassure Annuity	D	Interest	M	T					
21. Fremont CA Un High Sch Bond	B	Interest	K	T					
22. Alameda Corridor Tran Bond		None	L	T					
23. San Jose Redev Agy Bond	C	Interest	L	T					
24. Dreyfus Appreciation Fund	B	Dividend	M	T					
25. FIA Card Services NA	A	Interest	L	T					
26. Pimco Short Term Fd.	C	Dividend	M	T					
27. USAA Cornerstone Strat Fund	A	Dividend	J	T					
28. Blackrock Global Alloc. Fund	B	Dividend	M	T					
29. Currency Shares-Australian Dollars	A	Dividend	J	T					
30. Currency Shares-Canadian ETF	A	Dividend	J	T					
31. iShares Barclays 1-3 Year Credit	A	Dividend	K	T					
32. iShares Barclays 1-3 Treas.	A	Dividend	K	T					
33. Ivy Asset Strategy Fd	B	Dividend	L	T					
34. Merck Hard Currency Fd	A	Dividend	K	T					

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35. Pimco Commodity RR Strat.	B	Dividend	L	T					
36. Sector SPDR Utilities	B	Dividend	K	T					
37. SPDR Gold Trust		None	K	T					
38. SPDRS P Div ETF	B	Dividend	L	T					
39. Vanguard MSCI Emerg	A	Dividend	K	T					
40. Wisdomtree Inv. Inc.		None	J	T					
41. ML Bank Deposit	A	Interest	J	T					
42. ETFS Physical Prec. Metal		None	K	T					
43. First Trust Global Copper	A	Dividend	K	T					
44. SPDR BD Int. Govt. Infl	A	Dividend	K	T					
45. Blackrock Muni	B	Dividend	K	T					
46. Health Care Select SPDR	A	Dividend	K	T	Buy	02/14/12	K		
47. Sector SPDR Consrms STPL	A	Dividend	K	T	Buy	02/14/12	K		
48. Sector SPDR Index Fund	A	Dividend	K	T	Buy	02/14/12	K		
49. TIAA CRF Retirement Portfolio Fund	A	Interest	K	T					
50.									

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

Part VII, Item 11: Ketchum ID condo's assessed value is \$282,750.

The Los Gatos, CA [REDACTED] item 13 on my 2011 report is no longer listed [REDACTED].

Part VII, Item 50: TIAA Retirement Portfolio Fund was not listed on previous reports because I was not aware that [REDACTED] had it from [REDACTED] employment.

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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/ Ronald M. Whyte**

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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