

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 05/16/2016
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 01/01/2015 to 12/31/2015
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Member	Santa Clara Law School IP Advisory Board
2.	
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

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. Federal Circuit Bar Ass0c.

05/06/2015-05/08/2015

Wilmington, Delaware

Federal Circuit Bar
ConferenceReimbursement for food, travel and
lodging

2. Federal Circuit Bar Ass0c.

06/21/2015-06/23/2015

Irvine, California

Federal Circuit Bar
ConferenceReimbursement for food , travel and
lodging

3.

4.

5.

6.

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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. California Water Bond due 2016	A	Interest	J	T					
2. California Water Bond due 2018	A	Interest	J	T					
3. Templeton Foreign Fund	A	Dividend	K	T	Sold (part)	11/29/15	K	C	T
4. Prudential CA Muni Frind	B	Dividend	L	T					
5. Pax World Fund	E	Dividend	M	T					
6. First Eagle (Sogen) International Fund	D	Dividend	N	T					
7. Bank of the West Acct	A	Interest	J	T					
8. Bank of the West Acct	A	Interest	J	T					
9. Condo, Blaine County, Ketchum, ID	D	Rent	N	S					
10. Calamos Investment Trust Growth Fund	E	Distribution	M	T					
11. von Weise Properties, LLC	E	Distribution	M	W					
12. Oppenheimer Dev Mrks Fd	A	Dividend	K	T					
13. ML Bank Deposit	A	Interest	N	T					
14. Jackson Nat. Life Ins. Co. Tax Deferred Annuity	D	Interest	M	T					
15. Fremont CA Un High Sch Bond	B	Interest	K	T					
16. Alameda Corridor Tran Bond		None	L	T					
17. San Jose Redev Agy Bond	C	Interest	L	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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18. Dreyfus Appreciation Fund	E	Dividend	K	T	Sold (part)	10/06/15	L	E	T
19. Bank of America RASP)	A	Interest	M	T					
20. Pimco Short Term Fd.	A	Dividend	J	T	Sold (part)	05/08/15	K	D	T
21. Blackrock Global Alloc. Fund	D	Dividend	M	T					
22. iShares Barclays 1-3 Year Credit	A	Dividend			Sold	10/29/15	K	A	T
23. iShares Barclays 1-3 Treas.	A	Dividend			Sold	05/08/15	K	A	T
24. Ivy Asset Strategy Fd	C	Dividend	L	T					
25. Merck Hard Currency Fd		None			Sold	10/06/15	K	A	T
26. Pimco Commodity RR Strat.	A	Dividend	J	T	Sold (part)	10/29/15	J	A	T
27. Sector SPDR Utilities	B	Dividend	K	T					
28. SPDR Gold Trust		None			Sold	10/29/15	K	A	T
29. SPDRS P Div ETF	C	Dividend	K	T	Sold (part)	11/10/15	L	E	T
30. Vanguard MSCI Emerg		None			Sold	12/10/15	J	A	T
31. Wisdomtree Inv. Inc. (now Wisdom Tree Emerging Currency)		None			Sold	05/12/15	J	A	T
32. ML Bank Deposit	A	Interest	J	T					
33. ETFS Physical Prec. Metal		None	J	T					
34. First Trust Index Global Nat. Res. Inc. (FTRI)	A	Dividend	J	T					

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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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35. SPDR BD Int. Govt. Infl	A	Dividend	J	T	Sold (part)	10/06/15	K	A	T
36. Blackrock Muni	B	Dividend	K	T					
37. Healthcare Select SPDR	A	Dividend	K	T	Sold (part)	11/10/15	K	E	T
38. Sector SPDR Consmrs STPL	B	Dividend	K	T	Sold (part)	11/10/15	J	A	T
39. Sector SPDR Industrial Fund	B	Dividend	K	T					
40. TIAA CRF Retirement Portfolio Fund	A	Interest	K	T					
41. Guggenheim Bulletshares 2021 Corp. Bd.	A	Dividend	K	T	Buy	05/08/15	L		T
42. Guggenheim Bulletshares 2017 Corp. Bd.	A	Dividend	K	T	Buy	05/08/15	L		T
43. Guggenheim Bulletshares 2020 Corp. Bd.	A	Dividend	K	T	Buy	05/08/15	L		T
44. Guggenheim Bulletshares 2019 Corp. Bd.	A	Dividend	K	T	Buy	05/08/15	L		T
45. Guggenheim Bulletshares 2018 Corp. Bd.	A	Dividend	K	T	Buy	05/08/15	L		T
46. iShares PHLX Semiconductor ETF	A	Dividend	J	T	Buy	06/11/15	J		T
47. iShares PHLX Semiconductor ETF		None	J	T	Sold (part)	11/10/15	J	A	T
48. First Trust INDXX Global Nat. (First Trust ISE Global Copper) (cu)	A	Dividend	J	T					
49. First Trust INDXX Global Nat. Res. Inc. (FTRI)	A	Dividend	J	T					
50. Franklin Convertible Securities	A	Dividend	J	T	Buy	11/10/15	J		T
51. iShares NASDAQ Biotech	A	Dividend	J	T	Buy	10/06/15	J		T

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52. iShares IBOXX \$ Inv Grade Corp. Bd.	A	Dividend	K	T	Buy	11/10/15	K		T
53. Prudential Short Term Corp. Bond Fd. Z	A	Dividend	K	T	Buy	11/10/15	K		T
54. Thornburg LTD Term Inc. Fd. CL1	A	Dividend	L	T	Buy	10/06/15	L		T
55. Vanguard Financials ETF	A	Dividend	K	T	Buy	11/10/15	K		T
56. Vanguard Consumer Discretionary ETF	A	Dividend	K	T	Buy	10/06/15	K		T
57. Vanguard Value ETF	A	Dividend	K	T	Buy	10/29/15	K		T
58. Vanguard Materials ETF	A	Dividend	J	T	Buy	10/29/15	J		T
59. Vanguard Information Tech ETF	A	Dividend	K	T	Buy	10/29/15	K		T
60. Vanguard Telecomm Svcs ETF	A	Dividend	K	T	Buy	10/29/15	K		T
61. Vanguard REIT ETF	A	Dividend	J	T	Buy	10/29/15	J		T
62. Vanguard Intermediate Term Corp. Bd.	A	Dividend	K	T	Buy	10/06/15	K		T
63. Amex. Technology Sclt SPDR		None			Buy	10/06/15	K		T
64. Amex. Technology Sclt SPDR		None			Sold	10/29/15	K	B	T
65.									
66.									

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

Part VII, Item 9: Ketchum ID condo's assessed value is \$296,888

Item 14 of Part VII: Jackson National Life Insurance Co. has advised that this annuity is a fixed, tax deferred annuity.

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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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544