

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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 05/11/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) CHIEF U.S. DISTRICT JUDGE/ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
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.		

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 (terminated 5/19/14)
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.				
2. American Bar Association	2/6/2014-2/8/2014	Chicago, IL	National Conference of Federal Trial Judges	travel, lodging and meals
3. Federal Judges Association	5/03/14-5/07/14	Washington, D.C.	Board of Directors Meeting	travel, lodging and meals
4. American Bar Association	8/7/14-8/10/14	Boston, MA	Annual Meeting	travel, lodging and meals
5. Tennessee Bar Association	8/22/15-8/23/15	Nashville, TN	Committee Meeting	travel, lodging and meals

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE CODE
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	K	T					
3. CMA ACCT. - MERRILL LYNCH									
4. Idacorp, Inc.	A	Dividend	J	T					
5. Proctor & 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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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 Gwth and Inc. Portfolio	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 Smapp Cap Core Eq. Port	A	Dividend	J	T					
30. ING Am. Fds. Int'l Port	A	Dividend	J	T					
31. IRA ACCOUNT - MERRILL LYNCH									
32. Ivy Asset Strategy Fd.	A	Dividend	J	T					
33. J.P. Morgan Strategic Inc. Fd.	A	Dividend	J	T					
34. Dreyfus App. Fd.	A	Dividend	J	T					

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35. Eaton Vance Floating Rate Fd.	A	Dividend	J	T					
36. Coca Cola - CS	A	Dividend	J	T					
37. Exxon Mobil - CS	A	Dividend	J	T					
38. General Electric - CS	A	Dividend	J	T					
39. Mainstay Large Cap Growth Fd.	A	Dividend	J	T					
40. Mainstay Marketfield Fd.	A	Dividend	J	T					
41. Johnson & Johnson - CS	A	Dividend	J	T					
42. McDonalds - CS	A	Dividend	J	T					
43. Oakmark Select Fd.	A	Dividend	J	T					
44. Oppenheimer Int'l Growth Fd.	A	Dividend	J	T	Buy	12/05/14	J		
45. Permanent Portfolio Fd.	A	Dividend	J	T					
46. Pioneer Strategic Inc. Fd.	A	Dividend	J	T					
47. Prudential Short Term Corp. Fd.	A	Dividend	J	T					
48. TCW Total Returns Bd. Fd.	A	Dividend	J	T					
49. Wal-Mart Stores - CS	A	Dividend	J	T					
50. Wells Fargo Adv. Small Cap Fd.	A	Dividend	J	T					
51. Western Asset Core Plus Bd Fd.	A	Dividend	K	T	Buy	12/05/14	J		

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52. IRA - MERRILL LYNCH									
53. Blackrock Eqty. Div. Fd.	A	Dividend			Sold	12/04/14	J	A	
54. Clearbridge Agg. Gwth Fd.	A	Dividend	J	T	Buy	12/24/14	J		
55. Dreyfus App. Fd.	A	Dividend			Sold	12/23/14	J	A	
56. Consumer Discretionary SPDR	A	Dividend	J	T	Buy	12/22/14	J		
57. Eaton Vance Floating Rate Fd.	A	Dividend			Sold	12/23/14	J	A	
58. Delaware Value Fd.	A	Dividend	J	T	Buy	12/22/14	J		
59. Permanent Portfolio Fd.	A	Dividend			Sold	12/04/14	J	A	
60. Federated Int'l Leaders Fd.	A	Dividend	J	T	Buy	12/22/14	J		
61. Hotchkis and Wiley Mid Cap	A	Dividend	J	T	Buy	12/22/14	J		
62. TCW Total Return Bd. Fd.	B	Dividend	K	T					
63. Health Care Select SPDR	A	Dividend	J	T	Buy	12/22/14	J		
64. First Tr. Exchange Traded Fd.	A	Dividend	J	T	Buy	12/22/14	J		
65. First Tr. ISE Cloud Comp	A	Dividend	J	T	Buy	12/22/14	J		
66. Ivy Asset Strategy Inc. Fd.	A	Dividend			Sold	12/04/14	J	A	
67. First Eagle Global	A	Dividend	J	T	Buy	12/22/14	J		
68. J.P. Morgan Strategic Inc. Fd.	A	Dividend			Sold	12/04/14	J	A	

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69. iShares Russell 1000	A	Dividend	J	T	Buy	12/22/14	J		
70. Mainstay Large Cap Growth Fd.	A	Dividend			Sold	12/04/14	J	A	
71. iShares NASDAQ Biotech	A	Dividend	J	T	Buy	12/22/14	J		
72. Mainstay Marketfield Fd.	A	Dividend			Sold	12/04/14	J	A	
73. iShares Russell Midcap	A	Dividend	J	T	Buy	12/22/14	J		
74. Oakmark Select Fd.	A	Dividend	K	T					
75. iShares MSCI EAFE	A	Dividend	J	T	Buy	12/22/14	J		
76. MFS Value Fd.	A	Dividend			Sold	12/04/14	K	A	
77. iShares RS 2000 Value	A	Dividend	J	T	Buy	12/22/14	J		
78. Wells Fargo Adv. Small Cap Fd.	A	Dividend			Sold	12/22/14	J	A	
79. iShares RS 2000 Gwth	A	Dividend	J	T	Buy	12/22/14	J		
80. Pioneer Strategic Inc. Fd.	A	Dividend			Sold	12/23/14	J	A	
81. Loomis Sayles Strategic Inc.	A	Dividend	K	T	Buy	12/22/14	K		
82. Prudential Short Term Corp Bd. Fd.	A	Dividend			Sold	12/04/14	J	A	
83. Nuveen Real Estate Fd.	A	Dividend	J	T	Buy	12/22/14	J		
84. Dreyfus Appreciation Fd.	A	Dividend			Sold	12/23/14	J	A	
85. Sector SPDR Financial	A	Dividend	J	T	Buy	12/22/14	J		

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86. Wells Fargo Adv. Small Cap. Fd.	A	Dividend			Sold	12/23/14	J	A	
87. T. Rowe Price Diversified Sm Cap	A	Dividend	J	T	Buy	12/22/14	J		
88. The Oakmark Select Fd.	A	Dividend			Sold	12/23/14	J	A	
89. Templeton Gbl. Bond Fd.	A	Dividend	K	T	Buy	12/22/14	K		
90. TCW Total Return Bd. Fd.	A	Dividend			Sold	12/23/14	J	A	
91. Oakmark Int'l. Fd.	A	Dividend	J	T	Buy	12/22/14	J		
92. Permanent Portfolio Fd.	A	Dividend	J	T					
93. Vanguard Consumer Staples	A	Dividend	J	T	Buy	12/22/14	J		
94. Ivy Asset Strategy	A	Dividend			Sold	12/8/14	J	A	
95. Vanguard Materials ETF	A	Dividend	J	T	Buy	12/22/14	J		
96. John Hancock Classic Value Fd.	A	Dividend			Sold	12/04/14	J	A	
97. Vanguard Info. Tech.	A	Dividend	J	T	Buy	12/22/14	J		
98. Mainstay Strategy Fd.	A	Dividend			Sold	12/23/14	J	A	
99. Vanguard Energy ETF	A	Dividend	J	T	Buy	12/22/14	J		
100. Merrill Lynch Money Market Fd.	A	Interest	L	T					
101. Vanguard Indust. ETF	A	Dividend	J	T	Buy	12/22/14	J		
102. Pioneer Strategic Inc. Fd.	A	Dividend			Sold	12/8/14	J	A	

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103. Vanguard MSCI Emerg. Mkts.	A	Dividend	J	T	Buy	12/22/14	J		
104. Merrill Lynch Retirement Reserves	A	Interest	J	T					
105. Vanguard Corp. Leaders Fd.	A	Dividend	J	T	Buy	12/22/14	J		
106. Prudential Short Term Bd. Fd.	A	Dividend	J	T					
107. Metropolitan West Total Ret.	A	Dividend	J	T	Buy	12/22/14	J		
108. Procter & Gamble CS	A	Dividend	J	T					
109. Waddell & Reed Advisors Small Cap	A	Dividend	J	T					
110. Waddell & Reed Accumulative	A	Dividend	J	T					
111. Waddell & Reed Core Investment	A	Dividend	J	T					
112. Waddell & Reed Advisors Cash Management	A	Dividend	J	T					
113. BanCorp South CD	A	Interest	J	T					
114. Ivy VIP Asset Strategy	A	Dividend	K	T					
115. Ivy VIP Balanced Fd.	A	Dividend	J	T					
116. Ivy Energy Fd.	A	Dividend	J	T					
117. Ivy Global Nat'l Res. Fd.	A	Dividend	K	T					
118. Ivy Intl Grwth Fd.	A	Dividend	J	T					
119. Ivy Sci NC Tech Fd.	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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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. TRUST #1									
121. ML Bank Deposit Program	A	Interest	J	T	Sold	05/19/14	K	A	Trust terminated 5/19/14
122.									for line 121 see part VIII

1. Income Gain Codes:	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
(See Columns B1 and D4)	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	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	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	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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

Line 121 of Part VII - In 2013, the sole life beneficiary of Trust #1 died. Pursuant to the terms of the Trust, I was instructed to transfer the assets of the Trust to the Sisters of Mercy Convent in North Carolina. Most of the assets were transferred in 2013 to the Convent with the remainder transferred in 2014. Tax and estate returns were filed in 2014, following which my duties as trustee ceased on May 19, 2014.

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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
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