

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) BREEN, JDANIEL	2. Court or Organization WESTERN DISTRICT OF TENNESSEE	3. Date of Report 5/14/2013
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 01/01/2012 to 12/31/2012
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
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. American Bar Association	2/2/2012-2/5/2012	New Orleans, LA	National Conference of Federal Trial Judges	travel, lodging and meals
2. American Bar Association	5/3/2012-5/5/2012	National Harbor, MD	Strategic Planning Meeting	travel, lodging and meals
3. Federal Judges Association	5/8/2012-5/10/2012	Washington, D.C.	Board of Directors Meeting	travel, lodging and meals
4. American Bar Association	8/2/2012-8/7/2012	Chicago, IL	Annual Meeting	travel, lodging and meals
5. American Bar Association	9/12/2012-9/14/2012	Chicago, IL	Section Officers Conference	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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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	L	T	Sold (part)	11/15/12	K	E	
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	Sold (part)	10/12/12	J	A	
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	Sold (part)	10/12/12	J	A	
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. American Century Adj. Bd.	A	Dividend	J	T					
33. Cambiar Opp. Fd.	A	Dividend			Sold	9/24/12	J	A	
34. MFS Value Fd.	A	Dividend	J	T	Buy	9/24/12	J		

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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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. Delaware Corp. Bd. Fund	A	Dividend	J	T					
36. Dreyfus App. Fd.	A	Dividend	J	T					
37. Coca Cola - CS	A	Dividend	J	T					
38. Eaton Vance Floating Rate Fd.	A	Dividend			Sold	3/5/12	J	A	
39. Federated Strategic Value Div.	A	Dividend	J	T	Sold (part)	3/23/12	J	A	
40. Exxon Mobil - CS	A	Dividend	J	T					
41. General Electric - CS	A	Dividend	J	T					
42. FPA New Income Inc.	A	Dividend	J	T					
43. Mainstay Large Cap Growth Fd.	A	Dividend	J	T					
44. Johnson & Johnson - CS	A	Dividend	J	T					
45. Metropolitan West Total Bd. Fd.	A	Dividend	J	T					
46. McDonalds - CS	A	Dividend	J	T					
47. Permanent Portfolio Fd.	A	Dividend	J	T					
48. Pioneer Strategic Inc. Fd.	A	Dividend	J	T					
49. Prudential Short Term Corp. Fd.	A	Dividend	J	T					
50. TCW Total Return Bd. Fd.	A	Dividend	J	T					
51. Wal-Mart Stores - CS	A	Dividend	J	T					

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52. IRA- MERRILL LYNCH									
53. American Century Adj. Bd.	A	Dividend	J	T					
54. Dreyfus App. Fd.	A	Dividend	J	T					
55. Eaton Vance Floating Rate Fd.	A	Dividend			Sold	3/5/12	K	A	
56. Permanent Portfolio Fd.	A	Dividend	J	T	Buy	3/23/12	J		
57. Federated Strategic Value Fd.	A	Dividend	J	T					
58. First Eagle Gold Fd.	A	Dividend			Sold	3/23/12	J	A	
59. TCW Total Return Bd. Fd.	B	Dividend	K	T	Buy	6/6/12	K		
60. Ivy Asset Strategy	A	Dividend	J	T					
61. Mainstay Large Cap Growth Fd.	A	Dividend	J	T					
62. Pimco Total Return Fd.	A	Dividend			Sold	3/23/12	K	A	
63. Oakmark Select Fd.	A	Dividend	K	T	Buy	3/23/12	K		
64. Fidelity Advisor	A	Dividend			Sold	3/23/12	J	A	
65. Wells Fargo Adv. Small Cap Fd.	A	Dividend	J	T					
66. Pioneer Strategic Inc. Fd.	A	Dividend	J	T					
67. Prudential Jennison Value Fd.	A	Dividend			Sold	3/23/12	K	A	
68. Prudential Short Term Corp. Bd. Fd.	A	Dividend	J	T					

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69. Templeton Gbl Bond Fd.	A	Dividend	J	T					
70. American Century Inflation Adj. Bd.	A	Dividend	J	T					
71. Dreyfus Appreciation Fd.	A	Dividend	J	T					
72. Wells Fargo Adv. Small Cap. Fd.	A	Dividend	J	T	Buy	3/23/12	J		
73. Eaton Vance Floating Rat Fd.	A	Dividend			Sold	3/5/12	J	A	
74. The Oakmark Select Fd.	A	Dividend	J	T	Buy	3/23/12	J		
75. Federated Strategic Value Fd.	A	Dividend	J	T					
76. TCW Total Return Bd. Fd.	A	Dividend	J	T	Buy	6/6/12	J		
77. First Eagle Gold Fd.	A	Dividend			Sold	3/23/12	J	A	
78. Permanent Portfolio Fd.	A	Dividend	J	T	Buy	3/23/12	J		
79. Ivy Asset Strategy	A	Dividend	J	T					
80. Mainstay Strategy Fd.	A	Dividend	J	T	Buy	10/27/12	J		
81. Merrill Lynch Money Market Fd.	A	Interest	J	T					
82. Pioneer Strategic Inc. Fd.	A	Dividend	J	T	Buy	10/27/12	J		
83. Merrill Lynch Retirement Reserves	A	Interest	J	T					
84. Prudential Short Term Bd. Fd.	A	Dividend	J	T	Buy	3/23/12	J		
85. Procter & Gamble CS	A	Dividend	J	T					

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86. Waddell & Reed Advisors Small Cap	A	Dividend	J	T					
87. Waddell & Reed Accumulative	A	Dividend	J	T					
88. Waddell & Reed Core Investment	A	Dividend	J	T					
89. Waddell & Reed Advisors Cash Management	A	Dividend	J	T					
90. BanCorp South CD	A	Interest	J	T					
91. Ivy VIP Asset Strategy	A	Dividend	K	T					
92. Ivy VIP Balanced Fd.	A	Dividend	J	T					
93. Ivy Energy Fd.	A	Dividend	J	T					
94. Ivy Global Nat'l Res. Fd.	A	Dividend	K	T					
95. Ivy Intl Grwth Fd.	A	Dividend	J	T					
96. Ivy Sci NC Tech Fd.	A	Dividend	J	T					
97. TRUST #1									
98. ML Bank Deposit Program	A	Interest	K	T					
99. SP500 Stepup Issuer BAC	A	Interest			Sold	11/26/12	K	A	
100. SP500 ARN Issuer BAC	A	Interest	K	T	Buy	11/29/12	K		
101. Global CLIRN Issuer BAC	A	Interest			Sold	7/27/12	K	A	
102. Basket CLIRN Issuer BAC	A	Interest	K	T	Buy	7/27/12	K		

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103. MUTUAL FUNDS									
104. Columbia Acorn Fd.	A	Dividend			Sold	1/20/12	J	A	
105. First Eagle Global	B	Dividend	K	T	Buy	1/20/12	K		
106. Janus Forty Fd	A	Dividend			Sold	1/20/12	J	A	
107. Bernstein Adv. Qulty. Inc.	A	Dividend	J	T	Buy	1/20/12	J		
108. John Hancock Strategic Incm.	A	Dividend			Sold	01/20/12	J	A	
109. Intrepid Small Cap Fd.	A	Dividend	J	T	Buy	01/20/12	J		
110. Lord Abbett National T/F	B	Dividend			Sold	01/20/12	J	A	
111. Invesco Bd. Fd.	A	Dividend	J	T	Buy	01/20/12	J		
112. Nuveen High Yield Muni Bd. Fd.	B	Dividend			Sold	01/20/12	J		
113. Ivy Asset Strategy Fd.	B	Dividend	J	T	Buy	01/20/12	J		
114. Oppenheimer Developing Mkts. Fd.	B	Dividend			Sold	01/20/12	J	A	
115. John Hancock Inc. Fd.	B	Dividend	K	T	Buy	01/20/12	K		
116. Pimco Global Multi Asset Fd.	A	Dividend			Sold	01/20/12	J	A	
117. Loomis Sayles Corp Plus Bd. Fd.	A	Dividend	K	T	Buy	01/20/12	K		
118. Templeton Global Bond Fd.	A	Dividend	K	T					
119. Eksport ARN Gold Spot	A	Dividend			Sold	7/26/12	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	
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. Gold ARN Issuer, SEK	A	Dividend	J	T	Buy	7/26/12	J		
121. SEK ARN RICIGLER	A	Dividend	J	T					
122. Permanent Portfolio Fd.	A	Dividend	J	T	Buy	01/20/12	J		
123. Pimco All Asset Auth. Fd.	B	Dividend	J	T	Buy	01/20/12	J		
124. Van Kampn Unit Trs 1176	B	Interest	J	T	Buy	01/20/12	J		
125. Western Asset High Yield Fd.	A	Dividend	J	T	Buy	01/20/12	J		
126. Yacktman Focused Fd.	A	Dividend	K	T	Buy	01/20/12	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 \$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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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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/ JDANIEL 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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