

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 05/18/2014
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 01/01/2013 to 12/31/2013
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	Intellectual Property Board of Advisors - George Washington Law School
2.	Member	Santa Clara Law School IP Advisory Board
3.		
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. National CLE Conference on IP	01/04/2013-01/06/2013	Aspen, CO	Patent Program	Reimbursement for food, travel and lodging
2. IP Law Summit	03/21/2013-03/24/2013	Colorado Springs, CO	Patent Conference	Reimbursement for food, travel and lodging
3. American Law Institute Conference on Patent Law	05/29//2013-06/01/2013	New York, NY	Patent Program	Reimbursement for food, travel and lodging
4. Sedona Conference	10/09/2013-10/11/2013	Del Mar, CA	Conference on Patent Law	Reimbursement for food, travel and lodging
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.)*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. Sacramento Utility Bond	A	Interest			Redeemed	05/01/13	J	A	
2. California Water Bond due 2016	A	Interest	J	T					
3. California Water Bond due 2018	A	Interest	J	T					
4. Templeton Foreign Fund	C	Dividend	L	T					
5. Dryden Cal Muni Fund (now Prudential)	B	Dividend	K	T					
6. Pax World Fund	E	Dividend	N	T					
7. First Eagle (Sogen) International Fund	D	Dividend	N	T					
8. Bank of the West Acct	A	Interest	J	T					
9. Bank of the West Acct	A	Interest	J	T					
10. Condo, Blaine County, Ketchum, ID	D	Rent	N	S					
11. Calamos Investment Trust Growth Fund	E	Dividend	M	T					
12. von Weise Properties, LLC	E	Distribution	N	W					
13. Oppenheimer Dev Mkrs Fd	A	Dividend	K	T					
14. Pomona CA Bond	B	Interest			Redeemed	02/01/13	L	A	
15. ML Bank Deposit	A	Interest	M	T					
16. Reassure Annuity	D	Interest	M	T					
17. Fremont CA Un High Sch Bond	B	Interest	K	T					

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

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☐ NONE (No reportable income, assets, or transactions.)

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	(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)

18. Alameda Corridor Tran Bond		None	L	T					
19. San Jose Redev Agy Bond	C	Interest	L	T					
20. Dreyfus Appreciation Fund	B	Dividend	M	T					
21. FIA Card Services NA	A	Interest	M	T					
22. Pimco Short Term Fd.	B	Dividend	M	T					
23. USAA Cornerstone Strat Fund	A	Dividend	J	T					
24. Blackrock Global Alloc. Fund	D	Dividend	M	T					
25. Currency Shares-Australian Dollars	A	Dividend			Sold	09/12/13	J	A	
26. Currency Shares-Canadian ETF	A	Dividend			Sold	09/12/13	J	A	
27. iShares Barclays 1-3 Year Credit	A	Dividend	K	T					
28. iShares Barclays 1-3 Treas.	A	Dividend	K	T					
29. Ivy Asset Strategy Fd	B	Dividend	L	T					
30. Merck Hard Currency Fd	A	Dividend	K	T					
31. Pimco Commodity RR Strat.	B	Dividend	K	T	Sold (part)	09/12/13	K	A	
32. Sector SPDR Utilities	B	Dividend	K	T					
33. SPDR Gold Trust		None	K	T					
34. SPDRS P Div ETF	C	Dividend	M	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	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. Vanguard MSCI Emerg	A	Dividend	J	T					
36. Wisdomtree Inv. Inc.		None	J	T					
37. ML Bank Deposit	A	Interest	J	T					
38. ETFS Physical Prec. Metal		None	J	T	Sold (part)	09/12/13	K	A	
39. First Trust Global Copper	A	Dividend	K	T	Sold (part)	09/12/13	J	A	
40. SPDR BD Int. Govt. Infl	A	Dividend	K	T					
41. Blackrock Muni	B	Dividend	K	T					
42. Healthcare Select SPDR	B	Dividend	L	T					
43. Sector SPDR Consrms STPL	B	Dividend	K	T					
44. Sector SPDR Industrial Fund	A	Dividend	K	T					
45. TIAA CRF Retirement Portfolio Fund	A	Interest	K	T					
46.									

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

Part VII, Item 10: Ketchum ID condo's assessed value is \$282,750.

Part VII, Item 47 is correctly described as Industrial Fund rather than Index Fund as indicated on my 2012 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/ 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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