

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 4/25/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) SENIOR U.S. DISTRICT JUDGE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address 417 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
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. American Bar Association	2/3/2017 - 2/4/2017	Miami, FL	Meeting	travel, hotel and meals
2. American Bar Association	5/12/2017 - 5/13/2017	Atlanta, GA	Meeting	travel, hotel and meals
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. Bancorp South	A	Interest	K	T					
2. IRA - Fidelity Mag.	A	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	Sold (part)	01/18/17	J	A	
12. Waddell & Reed Balanced Port	A	Dividend	J	T	Sold (part)	03/15/17	J	A	
13. Waddell & Reed Bond Port	A	Dividend	J	T	Sold (part)	01/18/17	J	A	
14.					Sold (part)	03/15/17	J	A	
15. Waddell & Reed Core Equity	A	Dividend	J	T	Sold (part)	01/18/17	J	A	
16.					Sold (part)	03/15/17	J	A	
17. Waddell & Reed Growth 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 H ~\$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 High Income Port	A	Dividend	J	T	Sold (part)	01/18/17	J	A	
19.					Sold (part)	03/15/17	J	A	
20. Waddell & Reed Science & Tech Port	A	Dividend	J	T	Sold (part)	01/18/17	J	A	
21. Waddell & Reed Small Cap Growth Port	A	Dividend	J	T	Sold (part)	01/18/17	J	A	
22. Waddell & Reed Trgt. Fd. Intl. Growth Port	A	Dividend	J	T					
23. Waddell & Reed Value Port	A	Dividend	J	T					
24. Waddell & Reed Global Ntrl. Res. Port	A	Dividend	J	T					
25. Waddell & Reed Mid Cap Gwth Port	A	Dividend	J	T					
26. Waddell & Reed Target Microcap Gwth	A	Dividend	J	T					
27. Waddell & Reed Target Energy Port	A	Dividend	J	T					
28. VOYA Acct.									
29. VOYA Gwth and Inc. Portfolio	A	Dividend	J	T					
30. VOYA Large Cap Gwth Portfolio	A	Dividend	J	T					
31. VOYA FMR SM Diversified Midcap	A	Dividend	J	T					
32. VOYA JP Morgan Small Cap Core Eq. Port	A	Dividend	J	T					
33. VOYA Am. Fds. Int'l Port	A	Dividend	J	T					
34. IRA ACCOUNT - MERRILL LYNCH									

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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35. Ivy Asset Strategy 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			Sold	01/18/17	J	A	
40. Johnson & Johnson - CS	A	Dividend	J	T					
41. McDonalds - CS	A	Dividend	J	T					
42. Oakmark Select Fd.	A	Dividend			Sold	01/18/17	J	A	
43. Oppenheimer Int'l Growth Fd.	A	Dividend	J	T					
44. Permanent Portfolio Fd.	A	Dividend	J	T					
45. Pioneer Strategic Inc. Fd.	A	Dividend			Sold	01/18/17	J	A	
46. Prudential Short Term Corp. Fd.	A	Dividend			Sold	01/18/17	J	A	
47. Pimco Income Fd.	A	Dividend	J	T					
48. TCW Total Return Bd. Fd.	A	Dividend	J	T					
49. Wal-Mart Stores - CS	A	Dividend	J	T					
50. Wisdomtree Europe Equity Fd	A	Dividend			Sold	03/15/17	J	A	
51. Western Asset Core Plus Bd Fd.	A	Dividend	J	T					

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52. IRA - MERRILL LYNCH									
53. The American Beacon London Inc Fd.	A	Dividend	J	T	Buy	03/15/17	J		
54. Clearbridge Large Cap Gwth Fd.	A	Dividend	J	T	Buy	03/15/17	J		
55.					Buy (add'l)	06/22/17	J		
56. Blackrock Strategic Inc.	A	Dividend			Sold	03/15/17	J	A	
57. Blackrock Global	A	Dividend	J	T					
58. Blackrock Equity Div. Fd.	A	Dividend	J	T					
59. Boston Partners Research Fd.	A	Dividend	K	T					
60. Consumer Discretionary SPDR	A	Dividend	J	T					
61. Delaware Value Fd.	A	Dividend	J	T					
62. Federated Int'l Leaders Fd.	A	Dividend	J	T					
63. Glenmade Small Cap. Equity Fd.	A	Dividend			Sold	03/15/17	J	A	
64. iShares TIPS	A	Dividend	J	T					
65. iShares MSCI CDA ETF	A	Dividend	J	T					
66. iShares MSCI Switzerland	A	Dividend	J	T					
67. iShares MSCI Sweden ETF	A	Dividend	J	T					
68. iShares MSCI Pacific	A	Dividend	J	T					

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69. iShares MSCI Japan ETF	A	Dividend	J	T					
70. iShares MSCI UK ETF	A	Dividend	J	T					
71. iShares MSCI INC CORE	A	Dividend	J	T					
72. iShares 3-7 yr Treas. Bd	A	Dividend	J	T					
73. iShares U.S. Preferred ETF	A	Dividend	J	T					
74. iShares S&P 500 Gwth	A	Dividend	J	T					
75. iShares MBS ETF	A	Dividend	J	T					
76. iShares S and P Mid-Cap 400 ETF	A	Dividend	J	T					
77. Vaneck Vectors J.P.	A	Dividend	J	T					
78. First Tr. Exchange Traded Fd.	A	Dividend	J	T					
79. First Tr. ISE Cloud Comp	A	Dividend	J	T					
80. First Eagle Global	A	Dividend	J	T					
81. Oppenheimer Senior Floating Rate Fd.	A	Dividend	J	T					
82. Healthcare Select SPDR	A	Dividend	J	T	Buy	12/22/17	J		
83. Powershares Preferred Portfolio	A	Dividend	J	T					
84. Powershares EM Sovereign Fd.	A	Dividend	J	T					
85. Real Estate Select Sector SPDR	A	Dividend	J	T					

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86. iShares NASDAQ Biotech	A	Dividend	J	T					
87.					Buy (add'l)	08/11/17	J		
88. Sector SPDR Energy	A	Dividend			Sold	02/24/17	J	A	
89. iShares IBOXX	A	Dividend	J	T					
90. iShares MSCI Eurozone ETF	A	Dividend	J	T	Buy	10/24/17	J		
91. Metropolitan West Total Rtn Bond Fd.	A	Dividend			Sold	10/24/17	J	A	
92. Sector SPDR Real Estate Select	A	Dividend	J	T					
93. SPDR U.S. Dvnd Aristocrat ETF	A	Dividend	J	T					
94. iShares Russell 1000 Value	A	Dividend	J	T					
95. iShares Russell 1000 Growth	A	Dividend	J	T	Buy	01/10/17	J		
96. iShares TR Russell 2000	A	Dividend	J	T	Buy	05/22/17	J		
97. iShares US Treasury Bond	A	Dividend	J	T	Buy	01/20/17	J		
98. iShares TR Core MSCI EAF ETF	A	Dividend	J	T	Buy	09/28/17	J		
99. Pimco Foreign Bond Fd	A	Dividend	J	T	Buy	01/20/17	J		
100. SPDR Blmbrg Brclly HiYd Bd	A	Dividend	J	T	Buy	01/20/17	J		
101. T Rowe Price Emg Mkts Stk Fd	A	Dividend	J	T	Buy	09/28/17	J		
102. Loomis Sayles Strategic Inc.	A	Dividend	K	T					

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103. Oakmark Global Selet Fd	A	Dividend	J	T	Buy	02/24/17	J		
104. Loomis Sayles Gwth Fd.	A	Dividend			Sold	02/24/17	J	A	
105. Nuveen Real Estate Fd.	A	Dividend	J	T					
106.					Buy (add'l)	3/15/17	J		
107. MFS Value Fd Cl 1	A	Dividend	J	T					
108. Sector SPDR Financial	A	Dividend	J	T					
109. T. Rowe Price Blue Chip Gwth Fd.	A	Dividend	J	T					
110. Templeton Glbl. Bond Fd.	A	Dividend	K	T					
111. TCW Total Rtn Bond Fd..	A	Dividend	J	T					
112. Oakmark Int'l Fd	A	Dividend	J	T					
113.					Buy (add'l)	01/20/17	J		
114.					Buy (add'l)	03/15/17	J		
115.					Buy (add'l)	08/07/17	J		
116. Transamerica MidCap Fd.	A	Dividend	J	T					
117.					Buy (add'l)	03/15/17	J		
118. Permanent Portfolio Fd.	A	Dividend	K	T					
119. Vanguard Consumer Staples ETF	A	Dividend	J	T					

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Name of Person Reporting

BREEN, J. DANIEL

Date of Report

4/25/2018

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.					Buy (add'l)	03/15/17	J		
121. Vanguard Dividend Appreciation ETF	A	Dividend	J	T	Buy	03/15/17	J		
122. Vanguard Materials ETF	A	Dividend	J	T					
123. Vanguard Mega Cap 300	A	Dividend	J	T	Buy	03/15/17	J		
124. Vanguard Info. Tech. ETF	A	Dividend	J	T					
125. Vanguard Intermediate Bd ETF	A	Dividend	J	T					
126.					Buy (add'l)	03/15/17	J		
127. Vanguard Short Term Bd.	A	Dividend	J	T					
128.					Buy (add'l)	01/20/17	J		
129. Merrill Lynch Money Market Fd.	A	Interest	L	T					
130. Vanguard Indust. ETF	A	Dividend			Sold	01/20/17	J	A	
131. Merrill Lynch Retirement Reserves	A	Interest	J	T					
132. VOYA Corp. Leaders Fd.	A	Dividend	J	T					
133. Prudential Short Term Bd. Fd.	A	Dividend	J	T					
134. Procter & Gamble CS	A	Dividend	J	T					
135. Waddell & Reed Advisors Small Cap	A	Dividend	J	T					
136. Waddell & Reed Accumulative	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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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)
137. Waddell & Reed Core Investment	A	Dividend	J	T					
138. Waddell & Reed Advisors Cash Management	A	Dividend	J	T					
139. BanCorp South CD	A	Interest	J	T					
140. Ivy VIP Asset Strategy	A	Dividend	K	T					
141. Ivy VIP Balanced Fd.	A	Dividend	J	T					
142. Ivy Energy Fd.	A	Dividend	J	T					
143. Ivy Global Nat'l Res. Fd.	A	Dividend	K	T					
144. Ivy Intl Grwth Fd.	A	Dividend	J	T					
145. 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	
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Line 77, Vaneck Vectors J.P., was erroneously listed as Market Vectors J.P. in the 2016 report on line 88. This is not a new investment, only a company name correction.

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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
Administrative Office of the United States Courts
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