

# FINANCIAL DISCLOSURE REPORT FINAL FILING

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                     |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Whyte, Ronald M.                                                                                                                     | <b>2. Court or Organization</b><br><br>Northern District California                                                                                                                                                                                                                                 | <b>3. Date of Report</b><br><br>04/06/2017                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>U.S. District Judge - Senior                                                  | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input type="checkbox"/> Annual <input checked="" type="checkbox"/> Final<br><b>5b.</b> <input checked="" type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2016<br>to<br>10/31/2016 |
| <b>7. Chambers or Office Address</b><br><br>U.S. District Court<br>280 S. First Street<br>San Jose, CA 95113                                                                                              |                                                                                                                                                                                                                                                                                                     |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                                     |                                                                  |

## 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          | 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.)

|    | <u>DATE</u> | <u>PARTIES AND TERMS</u> |
|----|-------------|--------------------------|
| 1. |             |                          |
| 2. |             |                          |
| 3. |             |                          |

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Name of Person Reporting

Whyte, Ronald M.

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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.)*DATESOURCE AND TYPEINCOME  
(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.)*DATESOURCE 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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. \_\_\_\_\_

2. \_\_\_\_\_

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.)*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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Name of Person Reporting

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. California Water Bond due 2016                                                                                           | A                                       | Interest                                      |                                                 |                                           | Matured                                         | 08/01/16                | J                               | A                              | T                                                                 |
| 2. California Water Bond due 2018                                                                                           | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. Templeton Foreign Fund                                                                                                   |                                         | None                                          |                                                 |                                           | Sold                                            | 02/11/16                | K                               | A                              | T                                                                 |
| 4. Prudential CA Muni Frind                                                                                                 | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. Pax World Fund                                                                                                           | C                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 6. First Eagle Global Fund                                                                                                  |                                         | None                                          | 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                                               | W                                         |                                                 |                         |                                 |                                |                                                                   |
| 10. Calamos Investment Trust Growth Fund                                                                                    |                                         | None                                          | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. von Weise Properties, LLC                                                                                               | E                                       | Distribution                                  | M                                               | W                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. Oppenheimer Dev Mkrs Fd                                                                                                 |                                         | None                                          |                                                 |                                           | Sold                                            | 02/17/16                | K                               | C                              | 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                                      |                                                 |                                           | Matured                                         | 08/01/16                | L                               | A                              | T                                                                 |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,001 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code I<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. Dreyfus Appreciation Fund                                                                                               |                                         | None                                          |                                                 |                                           | Sold                                            | 01/22/16                | M                               | B                              | T                                                                 |
| 19.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 20. Bank of America RASP)                                                                                                   |                                         | None                                          | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 21. Pimco Short Term Fd.                                                                                                    | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 22. Blackrock Global Alloc. Fund                                                                                            |                                         | None                                          | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 23. iShares Barclays 1-3 Year Credit                                                                                        | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 09/16/16                | J                               |                                | T                                                                 |
| 24. iShares Barclays U.S. Preferred Stock.                                                                                  | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 05/26/16                | J                               |                                | T                                                                 |
| 25. iShares Barclays U.S. Preferred Stock                                                                                   | A                                       | Dividend                                      | K                                               | T                                         | Buy<br>(add'l)                                  | 07/12/16                | J                               |                                | T                                                                 |
| 26. Ivy Asset Strategy Fd                                                                                                   |                                         | None                                          |                                                 |                                           | Sold                                            | 02/17/16                | L                               | A                              | T                                                                 |
| 27. Pimco Commodity RR Strat.                                                                                               |                                         | None                                          |                                                 |                                           | Sold                                            | 02/17/16                | J                               | A                              | T                                                                 |
| 28. Sector SPDR Utilities                                                                                                   | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 01/22/16                | J                               | A                              | T                                                                 |
| 29. Sector SPDR Utilities                                                                                                   | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 09/16/16                | J                               | C                              | T                                                                 |
| 30. SPDR Gold Trust                                                                                                         |                                         | None                                          | K                                               | T                                         | Sold<br>(part)                                  | 09/16/16                | J                               | A                              | T                                                                 |
| 31. SPDRS P Div ETF                                                                                                         | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 06/17/16                | K                               | D                              | T                                                                 |
| 32. ETFS Physical Prec. Metal                                                                                               |                                         | None                                          | J                                               | T                                         | Sold<br>(part)                                  | 02/17/16                | J                               | A                              | T                                                                 |
| 33. First Trust Index Global Nat. Res. Inc.<br>(FTRI)                                                                       |                                         | None                                          |                                                 |                                           | Sold                                            | 02/17/16                | J                               | A                              | T                                                                 |
| 34. SPDR BD Int. Govt. Infl                                                                                                 |                                         | None                                          |                                                 |                                           | Sold                                            | 02/17/16                | K                               | D                              | T                                                                 |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                    |   |              |   |   |                |          |   |   |   |
|----------------------------------------------------|---|--------------|---|---|----------------|----------|---|---|---|
| 35. Blackrock Muni                                 | B | Dividend     | K | T |                |          |   |   |   |
| 36. Healthcare Select SPDR                         | A | Dividend     | K | T | Sold<br>(part) | 08/30/16 | J | D | T |
| 37. Sector SPDR Consrms STPL                       | A | Dividend     | K | T | Sold<br>(part) | 01/22/16 | J | A | T |
| 38. Sector SPDR Industrial Fund                    | A | Dividend     | K | T | Sold<br>(part) | 08/30/16 | J | A | T |
| 39. TIAA CRF Retirement Portfolio Fund             | A | Distribution | J | T |                |          |   |   |   |
| 40. Guggenheim Bulletshares 2021 Corp. Bd.         | B | Dividend     | L | T |                |          |   |   |   |
| 41. Guggenheim Bulletshares 2017 Corp. Bd.         | A | Dividend     | K | T |                |          |   |   |   |
| 42. Guggenheim Bulletshares 2020 Corp. Bd.         | A | Dividend     | L | T |                |          |   |   |   |
| 43. Guggenheim Bulletshares 2019 Corp. Bd.         | A | Dividend     | L | T |                |          |   |   |   |
| 44. Guggenheim Bulletshares 2018 Corp. Bd.         | A | Dividend     | K | T |                |          |   |   |   |
| 45. iShares PHILX Semiconductor ETF                | A | Dividend     |   |   | Sold           | 08/23/16 | K | B | T |
| 46. First Trust INDXX Global Nat. Res. Inc. (FTRI) |   | None         |   |   | Sold           | 02/17/16 | J | A | T |
| 47. Franklin Convertible Securities                | A | Dividend     |   |   | Sold           | 09/16/16 | J | A | T |
| 48. iShares NASDAQ Biotech                         | A | Dividend     |   |   | Sold           | 08/30/16 | J | A | T |
| 49. iShares IBOX \$ Inv Grade Corp. Bd.            | A | Dividend     |   |   | Sold           | 06/17/16 | K | B | T |
| 50. Prudential Short Term Corp. Bond Fd. Z         | A | Dividend     | K | T | Buy<br>(add'l) | 05/16/16 | L |   | T |
| 51. Thronburg LTD Term Corp. Bond Fd. Z            | A | Dividend     | K | T | Sold<br>(part) | 09/19/16 | J | A | T |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52. Thornburg LTD Term Inc. Fd. CL1                                                                                         | A                                       | Dividend                                      | L                                               | T                                         | Buy                                             | 05/16/16                | L                               |                                | T                                                                 |
| 53. Vanguard Financials ETF                                                                                                 | A                                       | Dividend                                      | K                                               | T                                         | Sold<br>(part)                                  | 03/18/16                | K                               | A                              | T                                                                 |
| 54.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 55. Vanguard Consumer Discretionary ETF                                                                                     | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 04/19/16                | J                               | A                              | T                                                                 |
| 56. Vanguard Value ETF                                                                                                      |                                         | None                                          |                                                 |                                           | Buy                                             | 02/18/16                | J                               |                                | T                                                                 |
| 57. Vanguard Value ETF                                                                                                      | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 04/19/16                | K                               | A                              | T                                                                 |
| 58. Vanguard Materials ETF                                                                                                  | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 05/16/16                | J                               | A                              | T                                                                 |
| 59. Vanguar Info Tech ETF                                                                                                   | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 05/06/16                | K                               | A                              | T                                                                 |
| 60. Vanguard Telecomm Srvs ETF                                                                                              | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 01/22/16                | K                               | A                              | T                                                                 |
| 61. Vanguard Telecomm Srvs ETF                                                                                              | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 09/16/16                | K                               | B                              | T                                                                 |
| 62. Vanguard REIT ETF                                                                                                       | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 09/16/16                | J                               | A                              | T                                                                 |
| 63. Vanguard Intermediate Term Corp. Bd.                                                                                    | B                                       | Dividend                                      | K                                               | T                                         | Sold<br>(part)                                  | 09/16/16                | N                               | A                              | T                                                                 |
| 64. ASG Managed Futures                                                                                                     |                                         | None                                          | K                                               | T                                         | Buy                                             | 06/03/16                | K                               |                                | T                                                                 |
| 65. ASG Managed Futures                                                                                                     |                                         | None                                          | K                                               | T                                         | Sold<br>(part)                                  | 09/16/16                | J                               | A                              | T                                                                 |
| 66. First Eagle Overseas CLI                                                                                                |                                         | None                                          | K                                               | T                                         | Buy                                             | 09/16/16                | K                               |                                | T                                                                 |
| 67. SPDR KBW Bank ETF                                                                                                       |                                         | None                                          | K                                               | T                                         | Buy                                             | 03/18/16                | K                               |                                | T                                                                 |
| 68. Select Sector SPDR Tr                                                                                                   |                                         | None                                          | K                                               | T                                         | Buy                                             | 01/22/16                | K                               |                                | T                                                                 |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Whyte, Ronald M.

Date of Report

04/06/2017

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 69. Select Sector SPDR Tr                                                                                                   | A                                       | Dividend                                      | K                                               | T                                         | Sold<br>(part)                                  | 09/16/16                | K                               | A                              | T                                                                 |
| 70. Sector SPDR Energy                                                                                                      |                                         | None                                          | J                                               | T                                         | Buy                                             | 09/16/16                | J                               |                                | T                                                                 |
| 71. Vaneck Vectors Semicond.                                                                                                |                                         | None                                          |                                                 |                                           | Buy                                             | 08/23/16                | J                               |                                | T                                                                 |
| 72. Vaneck Vectors Semicond.                                                                                                |                                         | None                                          |                                                 |                                           | Sold                                            | 08/23/16                | J                               | A                              | T                                                                 |
| 73. Vaneck Vectors Semicond.                                                                                                |                                         | None                                          | K                                               | T                                         | Sold                                            | 10/21/16                | J                               | A                              | T                                                                 |
| 74. Vanguard Short Term Fund                                                                                                | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 09/16/16                | K                               |                                | T                                                                 |
| 75. Franklin Floating Fund                                                                                                  | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 09/16/16                | K                               |                                | T                                                                 |
| 76. iShares Select DIVD ETF                                                                                                 |                                         | None                                          |                                                 |                                           | Buy                                             | 02/11/16                | K                               |                                | T                                                                 |
| 77. iShares Select DIVD ETF                                                                                                 | B                                       | Dividend                                      | K                                               | T                                         | Sold<br>(part)                                  | 09/16/16                | J                               | A                              | T                                                                 |
| 78. iShares S&P Growth                                                                                                      |                                         | None                                          | K                                               | T                                         | Buy                                             | 01/22/16                | J                               |                                | T                                                                 |
| 79. iSares S&P Growth                                                                                                       | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 04/29/16                | J                               | A                              | T                                                                 |
| 80. Vanguard Short Term Corp Bond Fd                                                                                        | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 09/16/16                | K                               |                                | T                                                                 |
| 81. Materials Select Sector SPDR                                                                                            |                                         |                                               |                                                 |                                           | Buy                                             | 05/16/16                | J                               |                                | T                                                                 |
| 82. Materials Select Sector SPDR                                                                                            | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 09/16/16                | J                               | A                              | T                                                                 |
| 83. Franklin CA Intermed Term                                                                                               | C                                       | Dividend                                      | N                                               | T                                         | Buy                                             | 03/24/16                | N                               |                                | T                                                                 |
| 84. First Trust ISE Revere                                                                                                  |                                         | None                                          | J                                               |                                           | Buy                                             | 08/10/16                | J                               |                                | T                                                                 |
| 85. First Trust ISE Revere                                                                                                  | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 09/16/16                | J                               | A                              | T                                                                 |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

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Name of Person Reporting

Whyte, Ronald M.

Date of Report

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 86. First Trust NYSE ARCA Biotech                                                                                           |                                         |                                               |                                                 |                                           | Buy                                             | 08/30/16                | J                               |                                | T                                                                 |
| 87. First Trust NYSE ARCA Biotech                                                                                           |                                         | None                                          | J                                               | T                                         | Sold<br>(part)                                  | 09/16/16                | J                               | A                              | T                                                                 |
| 88. iShares US Preferred Stock                                                                                              |                                         |                                               |                                                 |                                           | Buy                                             | 05/26/16                | J                               |                                | T                                                                 |
| 89. iShares US Preferred Stock                                                                                              | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 09/16/16                | J                               | A                              | T                                                                 |
| 90. Metropolitan West Tr. Bond Fund                                                                                         | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 09/16/16                | J                               |                                | T                                                                 |
| 91. NTXS ASG Fut Str Fund Y                                                                                                 |                                         | None                                          | K                                               | T                                         | Buy                                             | 06/13/16                | K                               |                                | T                                                                 |
| 92. NTXS ASG Fut Str Fund Y                                                                                                 |                                         | None                                          | K                                               | T                                         | Sold<br>(part)                                  | 09/16/16                | J                               | A                              | T                                                                 |
| 93. ML Bank Deposit                                                                                                         | A                                       | Interest                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
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| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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Name of Person Reporting

Whyte, Ronald M.

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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 deferred annuity.

In this Amended Report, the following corrections have been made to Section VII:

Vanguard Short Term Fund was sold during the reporting period.

ML Bank Deposit was owned during the reporting period

Vanguard Information Tech ETF was sold during the reporting period.

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Name of Person Reporting

Whyte, Ronald M.

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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