

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2009

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

1. Person Reporting (last name, first, middle initial) BREEN, J. DANIEL	2. Court or Organization WESTERN DISTRICT OF TENNESSEE	3. Date of Report 05/10/2010
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 01/01/2009 to 12/31/2009
7. Chambers or Office Address 444 UNITED STATES COURTHOUSE 111 SOUTH HIGHLAND AVENUE JACKSON, TN 38301	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION	NAME OF ORGANIZATION/ENTITY
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.)

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.)*

<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	2/12/2009-2/15/2009	Boston, MA	National Conference of Federal Trial Judges	travel, lodging and meals
2.	Federal Judges Association	5/02/2009-5/04/2009	Washington, DC	Meeting	travel, lodging 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.)*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					
3. CMA ACCT. - MERRILL LYNCH									
4. Idaho Power Co. CS (now known as Idacorp, Inc.)	A	Dividend	J	T					
5. Procter & Gamble CS	A	Dividend	K	T					
6. Chicago, IL Brd. Ed. Bonds	A	Interest	J	T					
7. AT&T CS	A	Dividend	J	T					
8. Coca-Cola CS	A	Dividend	J	T					
9. E.I. DuPont CS	A	Dividend	J	T					
10. Johnson & Johnson CS	A	Dividend	J	T					
11. Waddell & Reed Acct									
12. Waddell & Reed Strategy Port	A	Dividend	J	T					
13. Waddell & Reed Balanced Port	A	Dividend	J	T					
14. Waddell & Reed Bond Port	A	Dividend	J	T					
15. Waddell & Reed Core Equity	A	Dividend	J	T					
16. Waddell & Reed Growth Port	A	Dividend	J	T					
17. Ivy VLP Mny Mkt	A	Interest	L	T					

1. Income Gain Codes

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,001 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

T = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$30,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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Name of Person Reporting

BREEN, J. DANIEL

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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)
18. Waddell & Reed High Income Port	A	Dividend	J	T					
19. Waddell & Reed Science & Tech Port	A	Dividend	J	T					
20. Waddell & Reed Small Cap Growth Port	A	Dividend	J	T					
21. Waddell & Reed Trgt. Fd. Intl. Growth Port	A	Dividend	J	T					
22. Waddell & Reed Value Port	A	Dividend	J	T					
23. Waddell & Reed Global Ntrl. Res. Port	A	Dividend	J	T					
24. Waddell & Reed Mid Cap Gwth Port	A	Dividend	J	T					
25. Waddell & Reed Target Microcap Gwth	A	Dividend	J	T					
26. Waddell & Reed Target Energy Port	A	Dividend	J	T					
27. ING Acct.									
28. ING Am. Fds. Gwth-Inc. Port	A	Dividend	J	T					
29. Fidelity Contrafund	A	Dividend	J	T					
30. ING FMR SM Diversified Midcap	A	Dividend	J	T					
31. ING JP Morgan Small Cap Cove Eq. Port	A	Dividend	J	T					
32. ING Am. Fds. Int'l Port	A	Dividend	J	T					
33. IRA ACCOUNT - MERRILL LYNCH									
34. American Capital WLG GRW and Inc.	A	Dividend			Sold	5/26/09	J	A	

1. Income Gain Codes

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

L = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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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. 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)
35. American Capital Income	A	Dividend	J	T	Buy	5/26/09	J		
36. American Cap. WLD, GRW and Inc,	A	Dividend			Sold	5/26/09	J	A	
37. American New Perspective	A	Dividend	J	T					
38. American Short Term Bond	A	Dividend	J	T	Buy	9/11/09	J		
39. Coca Cola - CS	A	Dividend	J	T					
40. Blackrock Low Duration Bd. Fd.	A	Dividend	K	T	Buy	9/11/09	K		
41. Duke Energy-CS	A	Dividend	J	T					
42. Exxon Mobil - CS	A	Dividend	J	T					
43. General Electric - CS	A	Dividend	J	T					
44. Goldman Sachs Mid Cap Value Fd.	A	Dividend			Sold	9/11/09	J	A	
45. Home Depot - CS	A	Dividend	J	T					
46. Household Int'l - CS	A	Dividend	J	T					
47. Johnson & Johnson - CS	A	Dividend	J	T					
48. J. P. Morgan Chase & Co.	A	Dividend	J	T					
49. McDonalds - CS	A	Dividend	J	T					
50. Loomis Sayles Strategic Inc. Fd.	A	Dividend	J	T	Buy	6/24/09	J		
51. Merrill Lynch Variable Coupon Notes	A	Dividend			Sold	2/13/09	J	A	

1 Income Gain Codes
(See Columns B1 and D4)
2 Value Codes
(See Columns C1 and D3)
3 Value Method Codes
(See Column C2)

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
F = \$50,001 - \$100,000
G = \$100,001 - \$1,000,000
H = \$1,000,001 - \$5,000,000
I = \$5,000,001 - \$50,000,000
J = \$50,000 or less
K = \$5,001 - \$50,000
L = \$50,001 - \$100,000
M = \$100,001 - \$250,000
N = \$250,001 - \$500,000
O = \$500,001 - \$1,000,000
P = \$1,000,001 - \$5,000,000
Q = Appraisal
R = Cost (Real Estate Only)
S = Assessment
T = Cash Market
U = Book Value
V = Other
W = Estimated

11 = More than \$5,000,000
12 = More than \$5,000,000
13 = More than \$5,000,000
14 = More than \$5,000,000
15 = More than \$5,000,000
16 = More than \$5,000,000
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97 = More than \$5,000,000
98 = More than \$5,000,000
99 = More than \$5,000,000
100 = More than \$5,000,000

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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-I)	(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)
52. Microsoft Corp - CS	A	Dividend	J	T					
53. Fidelity Advisor Mid-Cap Fd.	A	Dividend	J	T	Buy	2/13/09	J		
54. Spectra Energy Corp. CS	A	Dividend	J	T					
55. Wal-Mart Stores - CS	A	Dividend	J	T					
56. Pimco Total Return Fd.	A	Dividend	J	T					
57. Blackrock Global Alloc. Fd.	A	Dividend	J	T	Buy	11/10/09	J		
58. IRA- MERRILL LYNCH									
59. Sallie Mae Bank - CD	A	Interest	J	T	Buy	5/27/09	J		
60. DN Southside Bank - CD	A	Interest	J	T	Buy	5/21/09	J		
61. American Cap Grwth and Inc. Fd.	A	Dividend			Sold	6/23/09	J	A	
62. American New Perspective Fd	A	Dividend	J	T	Buy	6/23/09	J		
63. American Capital Income	A	Dividend	J	T					
64. American Growth Fd.	A	Dividend			Sold	9/11/09	J	A	
65. American Short Term Bond Fd.	A	Dividend	J	T	Buy	9/11/09	J		
66. Blackrock Low Duration Bond Fd.	A	Dividend	K	T	Buy	10/2/09	K		
67. Fidelity Advisor	A	Dividend	J	T					
68. Eaton Vance Low Duration Fd.	A	Dividend	J	T	Buy	9/11/09	J		

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

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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. 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)
69. Blackrock Global Alloc	A	Dividend	K	T					
70. National City Bank CD	A	Interest			Sold	5/21/09	J		
71. Franklin Income Fd	B	Dividend	K	T					
72. Franklin Growth Fd.	A	Dividend			Sold	9/11/09	J		
73. Sallie Mae Bank CD	A	Interest	J	T	Buy	5/27/09	J		
74. John Hancock Balanced	A	Dividend	J	T					
75. DN Southside Bank CD	A	Interest	J	T	Buy	5/21/09	J		
76. AmCap. WLD Grw and Inc.	A	Dividend			Sold	9/11/09	J		
77. Am. Short Term Bd. Fd.	A	Dividend	J	T	Buy	9/11/09	J		
78. Primco Total Return Fd.	A	Dividend	J	T					
79. Calamos Mkt. Neutral Inc. Fd.	A	Dividend			Sold	10/2/09	K	A	
80. Blackrock Low Duration Bd. Fd.	A	Dividend	J	T	Buy	10/2/09	J		
81. Goldman Sachs Growth Fd	A	Dividend	J	T	Buy	9/11/09	J		
82. Eaton Vance Large Cap Value Fd	A	Dividend	J	T					
83. Hartford Cap Apprec. Fd	A	Dividend	K	T					
84. Loomis Sayles Strag. Inc. Fd	A	Dividend	K	T					
85. Merrill Lynch Money Market Fd	A	Interest	J	T					

1. Income Codes

(See Columns B1 and B4)

2. Value Codes

(See Columns C1 and C3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

B = \$50,001 - \$100,000

C = \$15,000 or less

D = \$250,001 - \$500,000

E = \$25,000,001 - \$50,000,000

F = Appraisal

G = Book Value

H = \$1,001 - \$2,500

I = \$100,001 - \$1,000,000

J = \$15,001 - \$50,000

K = \$500,001 - \$1,000,000

L = Cost (Real Estate Only)

M = Other

N = \$2,501 - \$5,000

O = \$1,000,001 - \$5,000,000

P = \$50,001 - \$100,000

Q = \$1,000,001 - \$5,000,000

R = More than \$50,000,000

S = Assessment

T = Estimated

U = \$5,001 - \$15,000

V = More than \$5,000,000

W = \$100,001 - \$250,000

X = \$5,000,001 - \$25,000,000

Y = Cash Market

Z = \$15,001 - \$50,000

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-69 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/yyyy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
86. Merrill Lynch Retirement Reserves	A	Interest	J	T					
87. Procter & Gamble CS	A	Dividend	J	T					
88. Waddell & Reed Advisors Small Cap	A	Dividend	J	T					
89. Waddell & Reed Accumlative	A	Dividend	J	T					
90. Waddell & Reed Core Investment	A	Dividend	J	T					
91. Waddell & Reed Advisors Cash Management	A	Dividend	J	T					
92. First State Bank CD	B	Interest			Redeemed	9/14/09	J	A	
93. BanCorp South CD	A	Interest	J	T					
94. Ivy VIP Asset Strategy	A	Dividend	K	T					
95. Ivy VIP Balanced Fd.	A	Dividend	J	T					
96. Ivy Energy Fd.	A	Dividend	J	T					
97. Ivy Global Nat'l Res. Fd.	A	Dividend	J	T					
98. Ivy Intl Grwth Fd.	A	Dividend	J	T					
99. Ivy Sci NC Tech Fd.	A	Dividend	J	T					
100.									
101. TRUST #1 (lines 101-128) (x)									
102. - ML Bank Deposit Program	A	Interest	K	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

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
Q = \$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
R = Block Value

R = Cost (Real Estate Only)
V = Other

S = Assessment
W = Estimated

T = Cash Market

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BREEN, J. DANIEL

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
103. - CD GE Capital Financial	A	Interest	J	T	Buy	6/18/09	J		
104. -ML ARM SPX	B	Dividend			Sold	10/22/09	L	D	
105. - RBC ARN SPX	A	Dividend	K	T	Buy	10/28/09	K		
106. MUTUAL FUNDS									
107. -Blackrock Global Alloc. Fd.	A	Dividend			Sold	6/18/09	L	C	
108. - Blackrock Cap & Inc. Strat	A	Dividend	J	T					
109. -Blackrock Cap & Inc. Strat	A	Dividend			Sold	6/18/09	J		
110. - Eaton Vance Large Cap	A	Dividend	J	T	Buy	6/18/09	J		
111. Clough Global Alloc. Fd.	A	Dividend			Sold	6/18/09	K		
112. - First Eagle Global Fd.	A	Dividend	J	T	Buy	6/18/09	J		
113. - Hartford Mid Cap FC CL C	A	Dividend	J	T	Buy	6/18/09	J		
114. - Ivy Asset Strategy	A	Dividend	K	T	Sold (part)	6/18/09	K		
115. - Janus Forty Fd	A	Dividend	K	T	Buy	6/18/09	K		
116. - Loomis Sayles Strategic	A	Dividend	K	T	Buy	6/18/09	K		
117. - Lord Abbett National T/F	B	Dividend	L	T	Buy	6/18/09	L		
118. - Nuveen High Yield Muni Bd. Fd.	B	Dividend	K	T	Buy	6/18/09	K		
119. - Nuveen Tridwinds Value Fd	A	Dividend	J	T	Buy	6/18/09	J		

1. Income Gain Codes

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P1 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

I12 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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BREEN, J. DANIEL

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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. - Principal High Yield	A	Dividend	J	T	Buy	6/18/09	J		
121. -Aim Constellation Fd	A	Dividend			Sold	6/18/09	J		
122. - Bac ARn Rogrer	A	Dividend	J	T	Buy	6/25/09	J		
123. -Citigroup Inc. CS	A	Dividend			Sold	6/18/09	J		
124. -Conoco Phillips CS	A	Dividend			Sold	6/18/09	J		
125. -Lifepoint Hosp. Inc. CS	A	Dividend			Sold	6/18/09	J		
126. -Microsoft Corp. CS	A	Dividend			Sold	6/18/09	J		
127. -Sek Am GEIB	A	Dividend			Sold	4/18/09	L		
128. -Travelers Co. CS	A	Dividend			Sold	6/18/09	J		

1. Income Gain Codes
(See Columns B1 and D4)
2. Value Codes
(See Columns C1 and D3)
3. Value Method Codes
(See Column C2)

A = \$1,000 or less
F = \$50,001 - \$100,000
J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000
Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000
R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H11 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H12 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000
T = Cash Market

E = \$15,001 - \$50,000

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

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BREEN, J. DANIEL.

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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

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544