

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 04/24/2020
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 01/01/2019 to 12/31/2019
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.	_____	_____

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

BREEN, J. DANIEL

Date of Report

04/24/2020

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	01/25/2019 to 01/27/2019	Las Vegas, NV	Meeting	travel, hotel and meals
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
BREEN, J. DANIEL	04/24/2020

V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
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.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

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)
1. Bancourp South	A	Interest	K	T					
2. IRA - Fidelity Mag.	A	Dividend	K	T					
3. CMA ACCT. - MERRILL LYNCH									
4. Fed. Inst 1 Prime Val. Obligations	A	Dividend	L	T	Buy	11/20/19	L		
5. Idacorp, Inc.	A	Dividend	J	T					
6. Proctor & Gamble CS	A	Dividend	L	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	Sold (part)	01/18/19	J	A	
13. Waddell & Reed Balanced Port	A	Dividend	J	T	Sold (part)	03/15/19	J	A	
14. Waddell & Reed Bond Port	A	Dividend	J	T	Sold (part)	01/18/19	J	A	
15.					Sold (part)	03/15/19	J	A	
16. Waddell & Reed Core Equity	A	Dividend	J	T	Sold (part)	01/18/19	J	A	
17.					Sold (part)	03/15/19	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

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

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

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.)

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	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)
18. Waddell & Reed Growth Port	A	Dividend			Sold	03/15/19	J	A	
19. Waddell & Reed High Income Port	A	Dividend	J	T	Sold (part)	01/18/19	J	A	
20.					Sold (part)	03/15/19	J	A	
21. Waddell & Reed Science & Tech Port	A	Dividend	J	T	Sold (part)	01/18/19	J	A	
22. Waddell & Reed Small Cap Growth Port	A	Dividend	J	T	Sold (part)	01/18/19	J	A	
23. Waddell & Reed Trgt. Fd. Intl. Growth Port	A	Dividend			Sold	03/15/19	J	A	
24. Waddell & Reed Value Port	A	Dividend			Sold	03/15/19	J	A	
25. Waddell & Reed Global Ntrl. Res. Port	A	Dividend	J	T					
26. Waddell & Reed Mid Cap Gwth Port	A	Dividend			Sold	03/15/19	J	A	
27. Waddell & Reed Target Microcap Gwth	A	Dividend			Sold	03/15/19	J	A	
28. Waddell & Reed Target Energy Port	A	Dividend			Sold	03/15/19	J	A	
29. VOYA ACCT.									
30. VOYA Gwth and Inc. Portfolio	A	Dividend	J	T					
31. VOYA Large Cap Gwth Portfolio	A	Dividend	J	T					
32. VOYA FMR SM Diversified Midcap	A	Dividend	J	T					
33. VOYA JP Morgan Small Cap Core Eq. Port	A	Dividend	J	T					
34. VOYA Am. Fds. Int'l Port	A	Dividend	J	T					

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(See Columns C1 and D3)

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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.)

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35. IRA ACCOUNT - MERRILL LYNCH									
36. Ivy Asset Strategy Fd.	A	Dividend	J	T					
37. Coca Cola - CS	A	Dividend	J	T					
38. Exxon Mobil - CS	A	Dividend	J	T					
39. General Electric - CS	A	Dividend	J	T					
40. Johnson & Johnson - CS	A	Dividend	J	T					
41. McDonalds - CS	A	Dividend	J	T					
42. Permanent Portfolio Fd.	A	Dividend	J	T					
43. Pimco Income Fd.	A	Dividend	K	T					
44. Pimco Inv. Grade Bd.	A	Dividend	J	T	Buy	06/26/19	J		
45. TCW Total Return Bd. Fd.	A	Dividend	J	T					
46. Schwab US Sm. Cap ETF	A	Dividend	J	T	Buy	01/22/19	J		
47. Vanguard Mtg Backed SEC	A	Dividend	J	T	Buy	06/26/19	J		
48. Western Asset Core Plus Bd Fd.	A	Dividend	J	T					
49. IRA - MERRILL LYNCH									
50. The American Beacon London Inc Fd.	A	Dividend	K	T					
51. Calamos Mkt Nev. Inc Fd	A	Dividend	J	T					

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(See Columns B1 and D4)

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(See Columns C1 and D3)

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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.)

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52. Clearbridge Large Cap Gwth Fd.	A	Dividend	J	T					
53. Columbia Inc. Div.	A	Dividend	J	T	Buy	06/13/19	J		
54. Blackrock Equity Div. Fd.	A	Dividend	J	T					
55. Boston Partners Research Fd.	A	Dividend	K	T					
56. Comm. Svcs Select Sector	A	Dividend	J	T					
57. Consumer Discretionary SPDR	A	Dividend	J	T					
58. Deleware Value Fd.	A	Dividend	K	T					
59. First Trust Dow Jones Index Fd	A	Dividend	J	T					
60. iShares Edge MSCI Min Emging Mkts	A	Dividend	J	T					
61. iShares U.S. Preferred ETF	A	Dividend	J	T					
62. iShares S&P 500 Gwth	A	Dividend	J	T					
63. ISH USD Hi Yd Corp Bd	A	Dividend	J	T	Buy	03/21/19	J		
64. iShares S and P Mid-Cap 400 ETF	A	Dividend	J	T					
65. Janus Henderson Bal. Fd.	A	Dividend	J	T	Buy	2/14/19	J		
66. First Tr. ISE Cloud Comp	A	Dividend	J	T					
67. Healthcare Select SPDR	A	Dividend	J	T					
68. Pacific Fd. Strategic Inc.	A	Dividend	J	T	Buy	06/13/19	J		

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(See Columns B1 and D4)

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(See Columns C1 and D3)

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69. Real Estate Select Sector SPDR	A	Dividend	J	T					
70. iShares NASDAQ Biotech	A	Dividend	J	T					
71. Sector SPDR Energy	A	Dividend	J	T					
72. iShares 1BOXX	A	Dividend	J	T					
73. Sector SPDR Real Estate Select	A	Dividend			Sold	06/26/19	J	A	
74. SPDR U.S. Dvdnd Aristocrat ETF	A	Dividend			Sold	06/26/19	J	A	
75. iShares Russell 1000 Value	A	Dividend	J	T					
76. iShares Russell 1000 Growth	A	Dividend	J	T					
77. iShares TR Russell 2000	A	Dividend	J	T					
78. iShares Inc. Core Emerging Mkts	A	Dividend	J	T	Buy	06/26/19	J		
79. iShares US Treasury Bond	A	Dividend	J	T					
80. iShares TR Core MSCI EAF ETF	A	Dividend	J	T					
81. Pimco Foreign Bond Fd	A	Dividend	J	T					
82. SPDR Blmbrg Brclly HiYd Bd	A	Dividend	J	T					
83. T Rowe Price Emg Mkts Stk Fd	A	Dividend	J	T					
84. Loomis Sayles Strategic Inc.	A	Dividend	K	T					
85. Nuveen Real Estate Fd.	A	Dividend	J	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

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86. MFS Value Fd Cl 1	A	Dividend	J	T					
87. Neuberger Berman Int'l Eq. Fd	A	Dividend			Sold	06/26/19	J	A	
88. Sector SPDR Financial	A	Dividend	J	T					
89. T. Rowe Price Blue Chip Gwth Fd.	A	Dividend	K	T					
90. Templeton Gbl. Bond Fd.	A	Dividend	K	T					
91. TCW Total Rtn Bond Fd..	A	Dividend	J	T					
92. Oakmark Int'l Fd	A	Dividend	J	T					
93. Oppenheimer Global Opp.Fd.	A	Dividend	J	T					
94. Transamerica MidCap Fd.	A	Dividend	J	T					
95. Permanent Portfolio Fd.	A	Dividend	J	T					
96. Vanguard Consumer Staples ETF	A	Dividend	J	T					
97. Vanguard Dividend Appreciation ETF	A	Dividend	J	T					
98. Vanguard Materials ETF	A	Dividend	J	T					
99. Vanguard Mega Cap 300	A	Dividend			Sold	06/26/19	J	A	
100. Vanguard Info. Tech. ETF	A	Dividend	J	T					
101. Vanguard Intermediate Bd ETF	A	Dividend	J	T					
102. Vanguard Mid-Cap Val. Idx.	A	Dividend	J	T					

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103. Vanguard Short Term Bd	A	Dividend	J	T					
104. Merrill Lynch Money Market Fd.	A	Interest	L	T					
105. Merrill Lynch Retirement Reserves	A	Interest	J	T					
106. VOYA Corp. Leaders Fd.	A	Dividend			Sold	06/26/19	J	A	
107. Procter & Gamble CS	A	Dividend	J	T					
108. Waddell & Reed Advisors Small Cap	A	Dividend			Sold	01/18/19	J	A	
109. Waddell & Reed Accumulative	A	Dividend			Sold	01/18/19	J	A	
110. Waddell & Reed Core Investment	A	Dividend			Sold	01/18/19	J	A	
111. Waddell & Reed Advisors Cash Management	A	Dividend			Sold	01/18/19	J	A	
112. BanCorp South CD	A	Interest	J	T					
113. Ivy VIP Asset Strategy	A	Dividend	K	T	Sold (part)	01/18/19	J	A	
114. Ivy VIP Balanced Fd.	A	Dividend	J	T	Sold (part)	03/15/19	J	A	
115. Ivy Energy Fd.	A	Dividend			Sold	03/15/19	J	A	
116. Ivy Global Nat'l Res. Fd.	A	Dividend	K	T					
117. Ivy Intl Grwth Fd.	A	Dividend			Sold	03/15/19	J	A	
118. Ivy Sci and Tech Fd.	A	Dividend	J	T					
119. Utah My529 Acct (Vanguard Total Stock Market Index)	A	Dividend	K	T	Buy	12/31/19	K		

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(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

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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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting BREEN, J. DANIEL	Date of Report 04/24/2020
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

BREEN, J. DANIEL

Date of Report

04/24/2020

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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One Columbus Circle, N.E.
Washington, D.C. 20544