

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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 04/19/2021
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	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address 417 UNITED STATES COURTHOUSE 111 SOUTH HIGHLAND AVENUE JACKSON, TN 38301		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.		
2.		
3.		

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions)*

A. Filer's Non-Investment Income



NONE *(No reportable non-investment income.)*

DATE

SOURCE AND TYPE

INCOME
(yours, not spouse's)

1.		
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.*

(Dollar amount not required except for honoraria.)



NONE *(No reportable non-investment income.)*

DATE

SOURCE AND TYPE

1.		
2.		
3.		
4.		

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)



NONE *(No reportable reimbursements.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.	Federal Judicial Center	3/7/2020 to 3/11/2020	New York, NY	Meeting	travel, hotel and meals
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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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					
5. Idacorp, Inc.	A	Dividend	J	T					
6. Proctor & Gamble CS	A	Dividend	K	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)	01/17/20	J	A	
13. Waddell & Reed Balanced Port	A	Dividend	J	T	Sold (part)	01/20/20	J	A	
14. Waddell & Reed Bond Port	A	Dividend	J	T	Sold (part)	01/17/20	J	A	
15.					Sold (part)	01/20/20	J	A	
16. Waddell & Reed Core Equity	A	Dividend	J	T	Sold (part)	01/17/20	J	A	
17.					Sold (part)	01/20/20	J	A	

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

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18. Waddell & Reed High Income Port	A	Dividend	J	T	Sold (part)	01/17/20	J	A	
19.					Sold (part)	01/20/20	J	A	
20. Waddell & Reed Science & Tech Port	A	Dividend	J	T	Sold (part)	01/17/20	J	A	
21. Waddell & Reed Small Cap Growth Port	A	Dividend	J	T	Sold (part)	01/17/20	J	A	
22. Waddell & Reed Global Ntrl. Res. Port	A	Dividend	J	T					
23. VOYA ACCT.									
24. VOYA Gwth and Inc. Portfolio	A	Dividend	J	T					
25. VOYA Large Cap Gwth Portfolio	A	Dividend	J	T					
26. VOYA FMR SM Diversified Midcap	A	Dividend	J	T					
27. VOYA JP Morgan Small Cap Core Eq. Port	A	Dividend	J	T					
28. VOYA Am. Fds. Int'l Port	A	Dividend	J	T					
29. IRA ACCOUNT - MERRILL LYNCH									
30. Ivy Asset Strategy Fd.	A	Dividend	J	T					
31. Coca Cola - CS	A	Dividend	J	T					
32. Exxon Mobil - CS	A	Dividend	J	T					
33. General Electric - CS	A	Dividend	J	T					
34. Johnson & Johnson - CS	A	Dividend	J	T					

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2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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35. McDonalds - CS	A	Dividend	J	T					
36. Pacer Benchmark Data	A	Dividend	J	T	Buy	10/20/20	J		
37. Permanent Portfolio Fd.	A	Dividend	J	T	Buy (add'l)	10/02/20	J		
38. Pimco Income Fd.	A	Dividend	K	T					
39. SPDR S&P DIVIDEND ETF	A	Dividend	J	T	Buy	01/11/20	J		
40. Pimco Inv. Grade Bd.	A	Dividend	J	T					
41. TCW Total Return Bd. Fd.	A	Dividend	J	T					
42. Schwab US Sm. Cap ETF	A	Dividend	J	T					
43. Vanguard Mtg Backed SEC	A	Dividend	J	T					
44. Western Asset Core Plus Bd Fd.	A	Dividend	J	T					
45. IRA - MERRILL LYNCH									
46. The American Beacon London Inc Fd.	A	Dividend	K	T					
47. Calamos Mkt Nev. Inc Fd	A	Dividend	J	T					
48. Clearbridge Large Cap Gwth Fd.	A	Dividend	K	T					
49. Columbia Inc. Div.	A	Dividend	J	T					
50. Blackrock Equity Div. Fd.	A	Dividend	J	T					
51. Boston Partners Research Fd.	A	Dividend	K	T					

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52. Comm. Svcs Select Sector	A	Dividend	J	T					
53. Consumer Discretionary SPDR	A	Dividend	J	T					
54. Deleware Value Fd.	A	Dividend	K	T					
55. Edgewood Grwth Fd.	A	Dividend	J	T	Buy	01/16/20	J		
56. First Trust Dow Jones Index Fd	A	Dividend	J	T					
57. Invesco Emging Mkts ETF	A	Dividend	J	T	Buy	01/16/20	J		
58. Invesco Preferred ETF	A	Dividend	J	T	Buy	01/16/20	J		
59. Invesco Global Opp Fd	A	Dividend	J	T	Buy	01/16/20	J		
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					
64. iShares S and P Mid-Cap 400 ETF	A	Dividend	J	T					
65. Janus Henderson Bal. Fd.	A	Dividend			Sold	03/12/20	J	A	
66. First Tr. ISE Cloud Comp	A	Dividend	J	T					
67. Healthcare Select SPDR	A	Dividend	J	T					
68. Lord Abbett Bd Fd	A	Dividend	J	T	Buy	01/24/20	J		

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69. Pacific Fd. Strategic Inc.	A	Dividend	J	T					
70. Real Estate Select Sector SPDR	A	Dividend	J	T					
71. iShares NASDAQ Biotech	A	Dividend	J	T					
72. Sector SPDR Energy	A	Dividend	J	T					
73. iShares 1BOXX	A	Dividend	J	T					
74. iShares Russell 1000 Value	A	Dividend	J	T					
75. iShares Russell 1000 Growth	A	Dividend	J	T					
76. iShares TR Russell 2000	A	Dividend	J	T					
77. iShares Inc. Core Emerging Mkts	A	Dividend	J	T	Buy (add'l)	03/17/20	J		
78. iShares US Treasury Bond	A	Dividend	J	T					
79. iShares TR Core MSCI EAF ETF	A	Dividend	J	T					
80. Pimco Foreign Bond Fd	A	Dividend	J	T					
81. SPDR Blmbrg Brclly HiYd Bd	A	Dividend	J	T	Buy (add'l)	03/12/20	J		
82. T Rowe Price Emg Mkts Stk Fd	A	Dividend	J	T					
83. Loomis Sayles Strategic Inc.	A	Dividend	K	T					
84. Nuveen Real Estate Fd.	A	Dividend	J	T					
85. MFS Value Fd Cl 1	A	Dividend	J	T					

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86. Sector SPDR Financial	A	Dividend	J	T					
87. T. Rowe Price Blue Chip Gwth Fd.	A	Dividend	K	T					
88. Templeton Gbl. Bond Fd.	A	Dividend	J	T					
89. TCW Total Rtn Bond Fd..	A	Dividend	J	T					
90. Oakmark Int'l Fd	A	Dividend	J	T					
91. Oppenheimer Global Opp.Fd.	A	Dividend	J	T					
92. Transamerica MidCap Fd.	A	Dividend	J	T					
93. Transamerica Short Term Bd Fd	A	Dividend	J	T	Buy	10/02/20	J		
94. Permanent Portfolio Fd.	A	Dividend	J	T					
95. ProShares Online Retail ETF	A	Dividend	J	T	Buy	10/20/20	J		
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 Info. Tech. ETF	A	Dividend	J	T					
100. Vanguard Industrial ETF	A	Dividend	J	T	Buy	10/02/20	J		
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. Procter & Gamble CS	A	Dividend	J	T					
107. BanCorp South CD	A	Interest	J	T					
108. Ivy VIP Asset Strategy	A	Dividend	K	T					
109. Ivy VIP Balanced Fd.	A	Dividend	J	T					
110. Ivy Government Securities	A	Dividend	J	T	Buy	05/18/20	J		
111. Ivy Core Equity	A	Dividend	K	T	Buy	05/18/20	J		
112. Ivy Global Nat'l Res. Fd.	A	Dividend	K	T					
113. Ivy Corporate Bond A	A	Dividend	J	T	Buy	03/12/20	J		
114. Ivy Accumulative A	A	Dividend	J	T	Buy	05/18/20	J		
115. Ivy Sci and Tech Fd.	A	Dividend	J	T					
116. Ivy Wilshire Global Allocation A	A	Dividend	K	T	Buy	03/12/20	J		
117. Utah My529 Acct (Vanguard Total Stock Market Index)	A	Dividend	L	T	Buy (add'l)	12/31/20	J		

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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

04/19/2021

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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Washington, D.C. 20544