

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) White, Jeffrey S.	2. Court or Organization U.S. District, Northern Calif	3. Date of Report 05/02/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Court Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address U.S. District Court, Northern District of Calif. 1301 Clay Street Oakland, CA 94612		
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

Page 2 of 15

Name of Person Reporting

White, Jeffrey S.

Date of Report

05/02/2014

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. Jan - Dec	Orrick Herrington Defined Benefit Plan	\$23,400.00
2. Jan- Dec	UC Hastings College of Law - Teaching	\$6,222.00
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.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 15

Name of Person Reporting

White, Jeffrey S.

Date of Report

05/02/2014

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 15

Name of Person Reporting

White, Jeffrey S.

Date of Report

05/02/2014

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. ISHARES MSCI Eafe Index Fund	A	Dividend	K	T					
2. GMAC 0% Bond		None	K	T					
3. ISHARES DJ US Basic Materials	A	Dividend	K	T					
4. ISHARES US Consumer Noncyclic	B	Dividend	L	T					
5. ISHARES US Consumer Cyclic	A	Dividend	L	T					
6. ISHARES DJ US Energy Sector	B	Dividend	M	T					
7. ISHARES DJ US Financial Sector	A	Dividend	L	T					
8. ISHARES DJ US Healthcare Sector	B	Dividend	M	T					
9. ISHARES DJ US Telecommunications	B	Dividend	L	T					
10. ISHARES DJ US Utilities Sector	B	Dividend	K	T					
11. Consumer Discretionary Sector SPDR	B	Dividend	L	T					
12. Consumer Staples Select Sector SPDR Trust	C	Dividend	M	T					
13. Financial Select Sector SPDR	A	Dividend	L	T					
14. Health Care Select Sector SPDR	B	Dividend	M	T					
15. Industrial Select Sector SPDR	B	Dividend	M	T					
16. Legg Mason Clearbridge Diversified Large Cap Growth Fund	A	Dividend	J	T					
17. Oppenheimer Intl Diversified Fund Class A	A	Dividend	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 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,001 - \$500,000,000	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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 15

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White, Jeffrey S.

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☐ 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 I (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. Oppenheimer Main Street Oppo. Fund Class A	A	Dividend	K	T					
19. Oppenheimer Main Street Small Cap Fund Class A	A	Dividend	K	T					
20. Oppenheimer Equity Fund Class A	A	Dividend	K	T					
21. SPDR Homebuilders ETF	A	Dividend	K	T					
22. iShares Dow Jones U.S. Real Estate Index	A	Dividend	K	T					
23. Ally Bank CDs	A	Interest	J	T					
24. Guggenheim BRIC ETF	A	Dividend	K	T					
25. California St CA GO 5%	B	Interest	K	T					
26. Provident Credit Union	A	Interest	J	T					
27. Orrick Investments 2000 LLC	B	Int./Div.	J	U					
28. Pollock Montgomery Washington Tower Investors II Partnership	A	Int./Div.	K	U					
29. Lincoln Financial Annuity - Lincoln VIP Moderate Profile		None	M	T					
30. Lincoln Financial Annuity - Lincoln Choice Plus		None	N	T					
31. Pollock 2007-2008 Independent Investors, LLC	A	Int./Div.	J	U					
32. Pollock 2006 Properties Preference Return, LLC	D	Distribution	M	U					
33. Schwab US Treasury Fund Sweep	A	Interest	K	T					
34. California St CA GO 2%	A	Interest	K	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	
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FINANCIAL DISCLOSURE REPORT

Page 6 of 15

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White, Jeffrey S.

Date of Report

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

35. Pebblebrook Hotel 8% Preferred	A	Interest	J	T					
36. JPMorgan 7.9% Preferred	A	Interest	J	T	Buy	01/29/13	J		
37. NuStar Logistics 7.625% Preferred Notes	A	Interest	J	T	Buy	01/14/13	J		
38. Summit Hotel 9.25% Perp	A	Interest	J	T	Buy	01/24/13	J		
39. Zions Bancorp 6.3% Perp	A	Interest	J	T	Buy	02/05/13	J		
40.									
41. Citigroup IRA # 1	D	Int./Div.	M	T					
42. -MFS Total Return Fund A									
43. -Citibank NA South Dakota Bank Deposit Program					Closed	07/1/13	J		
44. -Legg Mason ClearBridge Fdmtl All CP Value Fund C1 A									
45. -Alcoa Inc 6% Bond					Redeemed	06/28/13	J		
46. -Entergy New Orleans Inc 5.25% Bond					Matured	08/01/13	J		
47. -Dow Chemical Co 6.85% Debs					Matured	08/15/13	J		
48. -Aircas Inc 2.85% Bond					Matured	10/1/13	J		
49. -Amerian Express Credit Corp 3% Bond					Matured	12/15/13	J		
50. -Hartford Finl Services Group 4.75% Bond									
51. -Morgan Stanley Global Sub 4.75% Notes									

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 7 of 15

Name of Person Reporting

White, Jeffrey S.

Date of Report

05/02/2014

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
52. -Bank of America 5.375% Notes									
53. -Fortune Brands Inc 6.375% Bond					Redeemed	07/05/13	J		
54. -Genworth Financial 5.75% Bond									
55. -Southwest Airlines Co 5.25% Notes									
56. -Sunoco Inc 4.875% Bonds									
57. -General Elec Cap Corp Medium Term 2.95% Bond									
58. -Wells Fargo & Co New Medium Term 2.1% Bond									
59. -Citibank Bank Deposit Program					Open	11/30/13	J		
60. -Goldman Sachs Group Inc Medium Term NTS 3.7%					Buy	07/5/13	K		
61. -First TR Exchange Traded FD Dow Jones					Buy	08/16/13	J		
62. -Ishares TR Russell Mid-Cap ETF					Buy	12/16/13	J		
63. -Ishares TR NASDAQ Biotechnology ETF					Buy	10/01/13	J		
64. -Select Sector SPDR TR Financial					Buy	08/05/13	J		
65. -Vanguard World FDS Vanguard Consumer					Buy	07/11/13	J		
66.									
67. Citigroup IRA # 2	A	Int./Div.	K	T					
68. -MFS Total Return Fund A									

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FINANCIAL DISCLOSURE REPORT

Page 8 of 15

Name of Person Reporting

White, Jeffrey S.

Date of Report

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69. -Citibank NA South Dakota Bank Deposit Program					Closed	01/15/13	J		
70. -Legg Mason ClearBridge Fdmtl AL CP Value Fund CI A									
71. -Bank Of America Corp 4.875% Bonds					Redeemed	01/15/13	J		
72. -Citibank Bank Deposit Program					Open	01/15/13	J		
73. Charles Schwab - IRA Rollover	F	Int./Div.	P1	T					
74. -Financial Select Sector SPDR									
75. -India Fund, Inc					Sold	09/18/13	J		
76. -Industrial Select Sect SPDR									
77. -ISHARES FTSE/Xinua China 25									
78. -ISHARES - MSCI Australia Index									
79. -ISHARES - MSCI Canada Index									
80. -ISHARES - MSCI EAFE Index Fund									
81. -ISHARES - MSCI Emerging Markets Index									
82. -ISHARES - MSCI Malaysia Index									
83. -ISHARES - S&P Europe 350 Index					Buy (add'l)	09/18/13	J		
84. -ISHARES - S&P Latin America 400 Index									
85. -ISHARES - Global Industrials									

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FINANCIAL DISCLOSURE REPORT

Page 9 of 15

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86. -General Electric Capital Corp 4.8% Bond					Matured	05/01/13	L		
87. -PepsiCo Inc 4.65% Bond					Matured	02/15/13	K		
88. -Du Pont de Nemours 5.00%					Matured	07/15/13	L		
89. -California St CA GO- Taxable 4.85%									
90. -Caterpillar - Fiancial Services Corp 6.2%					Matured	09/30/13	K		
91. -Dell Inc 5.625%					Sold	11/29/13	J	A	
92. -Hewlett Packard - Electronic Data System 6%					Matured	08/01/13	L		
93. -IBM Corp 6.5%					Matured	10/15/13	L		
94. -Wyeth (Pfizer) 5.5%					Sold	12/16/13	M	A	
95. -iShares MSCI Turkey Index									
96. -Berkshire Hathaway Bond 4.5%					Matured	01/15/13	K		
97. -California St CA GO- Taxable 3.95%									
98. -California St CA GO- Taxable 6.2%									
99. -Hershey Company 5% Bond					Matured	04/01/13	K		
100. -California St CA GO-Taxable 5.2%									
101. -Chesapeake Energy Corp 7.375%					Matured	07/15/13	K		
102. -Energy Select Sector SPDR									

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FINANCIAL DISCLOSURE REPORT

Page 10 of 15

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103. -Ford Motor Credit Notes									
104. -Metlife Inc 5% Bond									
105. -Petrobras Int Fin Co 3.875% Bond									
106. -Pitney Bowes Inc 5% Bond									
107. -Royal Caribbean Cruises 7% Bond					Matured	06/15/13	K		
108. -Schwab US Treasury Fund Sweep									
109. -Aegon NV 4.625% Bond									
110. -American Intl Group 5.05% Bond									
111. -ArcelorMittal 4.25% Bond									
112. -Avon Products Inc 5.625% Bond					Sold	04/15/13	K	A	
113. -Best Buy Co 3.75% Bond									
114. -Capital One Bank 7.375% Bond									
115. -Computer Sciences Corp 6.5% Bond									
116. -Deutsche Bank 8.05% Preferred Stock									
117. -Hanes Brand Inc 8%					Sold (part)	12/16/13	J		
118. -Hewlett Packard 3% Bond									
119. -Limited Brands Inc 5.25% Bond									

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FINANCIAL DISCLOSURE REPORT

Page 11 of 15

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120. -Limited Brands Inc 6.9% Bond									
121. -Manulife Financial Corp 3.4% Bond									
122. -Morgan Stanley 2.875% Bond									
123. -Morgan Stanley 4% Bond									
124. -Pharmaceutical HOLDERS Trust Common Stock									
125. -Prudential Financial Inc 6.2% Bond									
126. -R.R. Donnelley 5.5% Bond									
127. -Southwest Airlines Co 5.25% Bond									
128. -Xerox Corporation 4.25% Bond									
129. -Zions Bancorp 4.5% Bond									
130. -Zions Cap Trust 9.5%					Buy	03/05/13	J		
131.					Redeemed	09/15/13	J		
132. -Calif State CA Go 5.95%					Buy	02/01/13	K		
133. -Citigroup 7.125% Preferred					Buy	09/13/13	K		
134. -Hewlett-Packard Co 2.65% Bond					Buy	01/18/13	L		
135. -EcoStar Dish Corp 7.75% Bond					Buy	05/21/13	K		
136. -Macso Corp 4.8% Bond					Buy	06/05/13	K		

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

FINANCIAL DISCLOSURE REPORT

Page 12 of 15

Name of Person Reporting

White, Jeffrey S.

Date of Report

05/02/2014

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)
137. -Southwest Airlines Co 5.75% Bond					Buy	06/07/13	K		
138. -Vodafone Group Plc 2.875% Bond					Buy	02/19/13	K		
139. -Merrill Lynch & Co (BAC) 6.05% Bond					Buy	07/25/13	K		
140. -Whirlpool Corp 7.75% Bond					Buy	07/01/13	K		
141. -Bank of America Corp 5.42% Bond					Buy	02/04/13	K		
142. -Time Warner Inc 5.85% Bond					Buy	07/19/13	K		
143. -JP Morgan Chase & Co 2% Bond					Buy	09/27/13	K		
144. -Tesoro Corp 4.25% Bond					Buy	01/09/13	L		
145. -Cleveland Electric 7.880% Bond					Buy	12/23/13	K		
146. -Newell Rubbermaid Inc 2.050% Bond					Buy	12/23/13	L		
147. -Nasdaq Omx Group 5.25% Bond					Buy	09/30/13	K		
148. -AT & T Inc 5.5% Bond					Buy	12/23/13	K		
149. -Ford Motor Credit 5% Bond					Buy	12/23/13	L		
150. -Owens-Illinois Inc 7.8% Bond					Buy	10/15/13	K		
151. -Bank of America Corp 5.49% Bond					Buy	09/30/13	K		
152.									
153. Schwab IRA Account	A	Int./Div.	L	T					

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		

FINANCIAL DISCLOSURE REPORT

Page 13 of 15

Name of Person Reporting

White, Jeffrey S.

Date of Report

05/02/2014

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)
154. -Guggenheim BRIC ETF					Sold (part)	03/04/13	J		
155. -Powershares QQQ Nasdaq 100									
156. -iShares S&P 500/Barr Browth									
157. -iShares S&P Global 100									
158. -Schwab US Treasury Fund - Sweep									

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

FINANCIAL DISCLOSURE REPORT

Page 14 of 15

Name of Person Reporting

White, Jeffrey S.

Date of Report

05/02/2014

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

FINANCIAL DISCLOSURE REPORT

Page 15 of 15

Name of Person Reporting

White, Jeffrey S.

Date of Report

05/02/2014

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/ Jeffrey S. White

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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