

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 05/09/2019
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 01/01/2018 to 12/31/2018
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.

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) 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.	A	Dividend	K	T					
3. CMA ACCT. - MERRILL LYNCH									
4. Idacorp, Inc.	A	Dividend	J	T					
5. Proctor & Gamble CS	A	Dividend	K	T					
6. AT&T CS	A	Dividend	J	T					
7. Coca-Cola CS	A	Dividend	J	T					
8. E.I. Dupont CS	A	Dividend	J	T					
9. Johnson & Johnson CS	A	Dividend	J	T					
10. WADDELL & REED ACCT.									
11. Waddell & Reed Strategy Port	A	Dividend	J	T	Sold (part)	01/19/18	J	A	
12. Waddell & Reed Balanced Port	A	Dividend	J	T	Sold (part)	03/16/18	J	A	
13. Waddell & Reed Bond Port	A	Dividend	J	T	Sold (part)	01/19/18	J	A	
14.					Sold (part)	03/16/18	J	A	
15. Waddell & Reed Core Equity	A	Dividend	J	T	Sold (part)	01/19/18	J	A	
16.					Sold (part)	03/16/18	J	A	
17. Waddell & Reed Growth Port	A	Dividend	J	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		

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

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18. Waddell & Reed High Income Port	A	Dividend	J	T	Sold (part)	01/19/18	J	A	
19.					Sold (part)	03/16/18	J	A	
20. Waddell & Reed Science & Tech Port	A	Dividend	J	T	Sold (part)	01/19/18	J	A	
21. Waddell & Reed Small Cap Growth Port	A	Dividend	J	T	Sold (part)	01/19/18	J	A	
22. Waddell & Reed Trgt. Fd. Intl. Growth Port	A	Dividend	J	T					
23. Waddell & Reed Value Port	A	Dividend	J	T					
24. Waddell & Reed Global Ntrl. Res. Port	A	Dividend	J	T					
25. Waddell & Reed Mid Cap Gwth Port	A	Dividend	J	T					
26. Waddell & Reed Target Microcap Gwth	A	Dividend	J	T					
27. Waddell & Reed Target Energy Port	A	Dividend	J	T					
28. VOYA ACCT.									
29. VOYA Gwth and Inc. Portfolio	A	Dividend	J	T					
30. VOYA Large Cap Gwth Portfolio	A	Dividend	J	T					
31. VOYA FMR SM Diversified Midcap	A	Dividend	J	T					
32. VOYA JP Morgan Small Cap Core Eq. Port	A	Dividend	J	T					
33. VOYA Am. Fds. Int'l Port	A	Dividend	J	T					
34. IRA ACCOUNT - MERRILL LYNCH									

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	

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35. Ivy Asset Strategy Fd.	A	Dividend	J	T	Sold (part)	01/19/18	J	A	
36. Coca Cola - CS	A	Dividend	J	T					
37. Exxon Mobil - CS	A	Dividend	J	T					
38. General Electric - CS	A	Dividend	J	T					
39. Johnson & Johnson - CS	A	Dividend	J	T					
40. McDonalds - CS	A	Dividend	J	T					
41. Oppenheimer Int'l Growth Fd.	A	Dividend			Sold	07/23/18	J	A	
42. Permanent Portfolio Fd.	A	Dividend	J	T					
43. Pimco Income Fd.	A	Dividend	K	T					
44. TCW Total Return Bd. Fd.	A	Dividend	J	T					
45. Wal-Mart Stores - CS	A	Dividend			Sold	03/28/18	J	A	
46. Western Asset Core Plus Bd Fd.	A	Dividend	J	T					
47. IRA - MERRILL LYNCH									
48. The American Beacon London Inc Fd.	A	Dividend	J	T					
49. Calamos Mkt Nev. Inc Fd	A	Dividend	J	T	Buy	11/29/18	J		
50. Clearbridge Large Cap Gwth Fd.	A	Dividend	J	T	Buy (add'l)	07/23/18	J		
51. Blackrock Global	A	Dividend			Sold	07/23/18	J	A	

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52. Blackrock Equity Div. Fd.	A	Dividend	J	T					
53. Boston Partners Research Fd.	A	Dividend	K	T					
54. Comm. Svcs Select Sector	A	Dividend	J	T	Buy	10/18/18	J		
55. Consumer Discretionary SPDR	A	Dividend	J	T					
56. Delaware Value Fd.	A	Dividend	K	T					
57. Federated Int'l Leaders Fd.	A	Dividend			Sold	07/23/18	J	A	
58. First Trust Dow Jones Index Fd	A	Dividend	J	T	Buy	11/29/18	J		
59. iShares Edge MSCI Min Emrging Mkts	A	Dividend	J	T	Buy	11/29/18	J		
60. iShares TIPS	A	Dividend			Sold	07/23/18	J	A	
61. iShares MSCI CDA ETF	A	Dividend			Sold	07/23/18	J	A	
62. iShares MSCI Switzerland	A	Dividend			Sold	07/23/18	J	A	
63. iShares MSCI Sweden ETF	A	Dividend			Sold	07/23/18	J	A	
64. iShares MSCI Pacific	A	Dividend			Sold	07/23/18	J	A	
65. iShares MSCI Japan ETF	A	Dividend			Sold	07/23/18	J	A	
66. iShares MSCI UK ETF	A	Dividend			Sold	07/23/18	J	A	
67. iShares MSCI INC CORE	A	Dividend			Sold	07/23/18	J	A	
68. iShares 3-7 yr Treas. Bd	A	Dividend			Sold	07/23/18	J	A	

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69. iShares U.S. Preferred ETF	A	Dividend	J	T	Buy (add'l)	07/23/18	J		
70. iShares S&P 500 Gwth	A	Dividend	J	T					
71. iShares MBS ETF	A	Dividend			Sold	07/23/18	J	A	
72. iShares S and P Mid-Cap 400 ETF	A	Dividend	J	T					
73. Vaneck Vectors J.P.	A	Dividend			Sold	07/23/18	J	A	
74. First Tr. Exchange Traded Fd.	A	Dividend			Sold	07/23/18	J	A	
75. First Tr. ISE Cloud Comp	A	Dividend	J	T	Buy (add'l)	07/23/18	J		
76. First Eagle Global	A	Dividend			Sold	07/23/18	J	A	
77. Oppenheimer Senior Floating Rate Fd.	A	Dividend			Sold	07/23/18	J	A	
78. Healthcare Select SPDR	A	Dividend	J	T					
79. Powershares Preferred Portfolio	A	Dividend			Sold	07/23/18	J	A	
80. Powershares EM Sovereign Fd.	A	Dividend			Sold	07/23/18	J	A	
81. Real Estate Select Sector SPDR	A	Dividend	J	T					
82. iShares NASDAQ Biotech	A	Dividend	J	T					
83. Sector SPDR Energy	A	Dividend	J	T	Buy	03/06/18	J		
84. iShares IBOX	A	Dividend	J	T					
85. iShares MSCI Eurozone ETF	A	Dividend			Sold	03/06/18	J	A	

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86. Sector SPDR Real Estate Select	A	Dividend	J	T					
87. SPDR U.S. Dvnd Aristocrat ETF	A	Dividend	J	T					
88. iShares Russell 1000 Value	A	Dividend	J	T					
89. iShares Russell 1000 Growth	A	Dividend	J	T	Buy (add'l)	07/23/18	J		
90. iShares TR Russell 2000	A	Dividend	J	T					
91. iShares US Treasury Bond	A	Dividend	J	T					
92. iShares TR Core MSCI EAF ETF	A	Dividend	J	T					
93. Pimco Foreign Bond Fd	A	Dividend	J	T					
94. SPDR Blmbrg Brclly HiYd Bd	A	Dividend	J	T					
95. T Rowe Price Emg Mkts Stk Fd	A	Dividend	J	T					
96. Loomis Sayles Strategic Inc.	A	Dividend	K	T					
97. Oakmark Global Selet Fd	A	Dividend			Sold	07/23/18	J	A	
98. Nuveen Real Estate Fd.	A	Dividend	J	T	Buy (add'l)	07/23/18	J		
99. MFS Value Fd C11	A	Dividend	J	T					
100. Neuberger Berman Int'l Eq. Fd	A	Dividend	J	T	Buy	06/22/18	J		
101. Sector SPDR Financial	A	Dividend	J	T	Buy (add'l)	03/28/18	J		
102. T. Rowe Price Blue Chip Gwth Fd.	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 ~\$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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103. Templeton Gbl. Bond Fd.	A	Dividend	K	T					
104. TCW Total Rtn Bond Fd.	A	Dividend	J	T	Buy (add'l)	07/23/18	J		
105. Oakmark Int'l Fd	A	Dividend	J	T					
106. Oppenheimer Global Opp.Fd.	A	Dividend	J	T	Buy	7/23/18	J		
107. Transamerica MidCap Fd.	A	Dividend	J	T	Buy (add'l)	07/23/18	J		
108. Permanent Portfolio Fd.	A	Dividend	K	T					
109. Vanguard Consumer Staples ETF	A	Dividend	J	T	Buy (add'l)	07/23/18	J		
110. Vanguard Dividend Appreciation ETF	A	Dividend	J	T	Buy (add'l)	07/23/18	J		
111. Vanguard Materials ETF	A	Dividend	J	T	Buy (add'l)	03/06/18	J		
112. Vanguard Mega Cap 300	A	Dividend	J	T	Buy (add'l)	07/23/18	J		
113. Vanguard Info. Tech. ETF	A	Dividend	J	T					
114. Vanguard Intermediate Bd ETF	A	Dividend	J	T	Buy (add'l)	07/23/18	J		
115. Vanguard Mid-Cap Val. Idx.	A	Dividend	J	T	Buy	07/23/18	J		
116. Vanguard Short Term Bd	A	Dividend	J	T					
117. Merrill Lynch Money Market Fd.	A	Interest	L	T					
118. Merrill Lynch Retirement Reserves	A	Interest	J	T					
119. VOYA Corp. Leaders Fd.	A	Dividend	J	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 ~\$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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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. Prudential Short Term Bd. Fd.	A	Dividend			Sold	07/23/18	J	A	
121. Procter & Gamble CS	A	Dividend	J	T					
122. Waddell & Reed Advisors Small Cap	A	Dividend	J	T					
123. Waddell & Reed Accumulative	A	Dividend	J	T					
124. Waddell & Reed Core Investment	A	Dividend	J	T					
125. Waddell & Reed Advisors Cash Management	A	Dividend	J	T					
126. BanCorp South CD	A	Interest	J	T					
127. Ivy VIP Asset Strategy	A	Dividend	K	T					
128. Ivy VIP Balanced Fd.	A	Dividend	J	T					
129. Ivy Energy Fd.	A	Dividend	J	T					
130. Ivy Global Nat'l Res. Fd.	A	Dividend	K	T					
131. Ivy Intl Grwth Fd.	A	Dividend	J	T					
132. Ivy Sci NC Tech Fd.	A	Dividend	J	T					
133. Utah My529 Acct (Vanguard Total Stock Market Index)	A	Dividend	K	T	Buy	12/31/18	J		

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 \$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	

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

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Name of Person Reporting

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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/ **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