

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) Whyte, Ronald M.	2. Court or Organization Northern District of California	3. Date of Report 2/20/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address U.S. District Court 280 South First Street San Jose, CA 95113		
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. Insert signature on last page.		

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

☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Member of Exec. Committee	Santa Clara Inn of Court
2.	Member	Intellectual Property Board of Advisors - George Washington Law School
3.	Member	Santa Clara Law School Advisory Board
4.		
5.		

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

☒ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
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. 2011	Teaching Santa Clara Law School	\$1,500.00
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. 2011	Court Designated Child Advocates - wages
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. Intellectual Property Owner's Educational Foundation	05/22 - 05/30	Brussels, Belgium	Patent Law Seminar	Transportation, Meals, Hotel
2. ALI - ABA	10/12 - 10/14	Chicago, IL	Patent Law Seminar	Transportation, Meals, Hotel
3. Courts and Patent Policy Conference	11/03 - 11/06	Washington, D.C.	Patent Law Seminar	Transportation, Meals, Hotel
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. Emeryville Redev Bond	A	Interest			Redeemed	09/01/11	J	A	
2. Sacramento Utility Bond	A	Interest	J	T					
3. California Water Bond due 2016	A	Interest	J	T					
4. California Water Bond due 2018	A	Interest	J	T					
5. Davis NY Venture Mut Fund	B	Dividend	K	T					
6. Templeton Foreign Fund	B	Dividend	K	T					
7. Prudential (Dryden) Cal Muni Fund	B	Dividend	K	T					
8. Pax World Fund	C	Dividend	M	T					
9. First Eagle Global Fund	D	Dividend	M	T	Sold (part)	04/15/11	K	E	
10. Bank of the West Acct	A	Interest	J	T					
11. Bank of the West Acct	A	Interest	J	T					
12. Condo, [REDACTED] Blaine County, ID	D	Rent	N	S					
13. Condo, [REDACTED], Santa Clara County, CA		None	N	S					
14. Calamos Investment Trust Growth Fund	C	Dividend	L	T					
15. Eaton Vance Health Science Fund	D	Dividend	L	T					
16. von Weise Properties, LLC	D	Distribution	N	W					
17. Artio Inter Fund	B	Dividend			Sold	02/25/11	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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☐ 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 Dev Mrks Fd	A	Dividend	K	T					
19. Chase	A	Interest	J	T					
20. Ceres Ca Redev Bond	A	Interest	K	T					
21. Solano CA 3.5% Bond	B	Interest	K	T					
22. Pomona CA Bond	B	Interest	L	T					
23. ML Bank Deposit	A	Interest	L	T					
24. Sacramento San Bd	B	Interest			Redeemed	08/01/11	L	A	
25. Reassure Annuity	D	Interest	M	T					
26. Fremont CA Un High Sch Bond	B	Interest	K	T					
27. Alameda Corridor Tran Bond		None	L	T					
28. San Jose Redev Agy Bond	C	Interest	L	T					
29. CD American Express Bk	D	Interest			Redeemed	12/15/11	M	A	
30. Dreyfus Appreciation Fund	B	Dividend	M	T					
31. FIA Card Services NA	A	Interest	M	T					
32. Pimco Short Tern Fd.	C	Dividend	M	T					
33. USAA Cornerstone Strat Fund	A	Dividend	J	T					
34. Blackrock Global Alloc. Fund	C	Dividend	M	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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35. Currency Shares-Australian Dollars	A	Interest	J	T					
36. Currency Shares-Canadian ETF	A	Interest	J	T					
37. i Shares Barclays 1-3 year credit	A	Dividend	K	T					
38. i Shares Barclays 1-3 Treas.	A	Dividend	K	T					
39. Ivy Asset Strategy Fd	A	Dividend	K	T					
40. Merck Hard Currency Fd.	A	Dividend	K	T					
41. Pimco Commodity RR Strat.	B	Dividend	K	T	Buy	03/11/11	J		
42. Sector SPDR Utilities	B	Dividend	L	T	Buy	04/15/11	K		
43. SPDR Gold Trust		None	K	T					
44. SPDRS P Div ETF	B	Dividend	L	T					
45. Vanguard MSCI Emerg	A	Dividend	K	T					
46. Wisdomtree Inv. Inc.	A	Dividend	J	T					
47. ML Bank Deposit	A	Interest	J	T					
48. ETFS Physical Prec. Metal		None	K	T	Buy	01/10/11	K		
49. ETFS Physical Prec. Metal		None	J	T	Buy	03/11/11	J		
50. First Trust Global Copper	A	Dividend	J	T	Buy	01/11/11	J		
51. SPDR DB Int. Govt. Infl	A	Dividend	K	T	Buy	01/10/11	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
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	(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. Blackrock Muni	B	Dividend	K	T	Buy	03/11/11	K		

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

Part VII, Item 12: Ketchum ID [REDACTED] assessed value is \$360,180.

Part VII, Item 13: Los Gatos CA [REDACTED] assessed value is \$266,746.

I received reimbursement for transportation, hotel and meals from the George Washington Law School India Project for patent conferences in Delhi and Mumbai, India during the period from February 9-20, 2010. However, I did not receive the reimbursement until September 23, 2011.

In Part VII, page 5, line 25, of my 2010 annual report I listed "CMA Money Fund." My understanding is that the CMA (Cash Management Account) Money Fund was transferred into ML Bank Deposit listed on line 47 of my 2011 annual report. I believe it is in essence a name change of the account within Merrill Lynch.

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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/ Ronald M. Whyte**

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