



FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2009

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 California	3. Date of Report 07/05/2010
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 01/01/2009 to 12/31/2009
7. Chambers or Office Address U.S. District Court 280 S. First Street San Jose, CA 95113	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

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

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

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 IP Advisory Board
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.	

RECEIVED
2010 JUL 12 A 8:47
FINANCIAL
DISCLOSURE OFFICE

FINANCIAL DISCLOSURE REPORT
Page 2 of 8

Name of Person Reporting
Whyte, Ronald M.

Date of Report
07/05/2010

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. 2009	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. George Washington Law School	February 9-20	Delhi, Mumbai India	Professional Seminar	Reimbursement for meals, travel and lodging
2. George Washington Law School	May 11-13	Washington DC	Professional Conference	Reimbursement for meals, travel and lodging
3. Federal Circuit Bar Assn	June 18-2115	White Sulphur Springs, WVA	Professional Conference	Reimbursement for meals, travel and lodging
4. AIPLA	October 16-18	Washington DC	Professional Conference	Reimbursement for meals, travel and lodging
5. George Washington Law School	October 22-34	Washington DC	Professional Conference	Reimbursement for meals, travel and lodging

FINANCIAL DISCLOSURE REPORT
Page 3 of 8

Name of Person Reporting
Whyte, Ronald M.

Date of Report
07/05/2010

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

☒ NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Whyte, Ronald M.

Date of Report

07/05/2010

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 Month - Day	(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	J	T					
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	A	Dividend	M	T					
6. Templeton Foreign Fund	B	Dividend	M	T					
7. Dryden Cal Muni Fund	B	Dividend	K	T					
8. Putnam Cal Tax Ex Fund	C	Dividend			Sold	7/13	M	A	
9. Pax World Fund	D	Dividend	M	T					
10. First Eagle (Sogen) International Fund	B	Dividend	M	T					
11. Bank of the West Acct	A	Interest	J	T					
12. Bank of the West Acct	A	Interest	K	T					
13. Rental Property, Ketchum, ID, assessed value: \$460,000	D	Rent	N	S					
14. Rental Property, Los Gatos, CA, assessed value: \$ 265,384	D	Rent	N	S					
15. Calamos Investment Trust Growth Fund		None	L	T					
16. Eaton Vance Health Science Fund	A	Dividend	L	T					
17. von Weise Properties, LLC	D	Distribution	N	W					

1. Income Gain Codes

(See Columns B1 and D4)

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

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Whyte, Ronald M.

Date of Report

07/05/2010

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. Artio Inter Fund (Julius Baer)	C	Dividend	L	T					
19. Oppenheimer Dev Mrks Fd	A	Dividend	K	T					
20. Chase (formerly Wash Mut Bank)	A	Interest	J	T					
21. Riverside Ca uni S/D bond	A	Interest			Redeemed	9/1	K	A	
22. Rosemead Ca 3.5 Redev Bond	B	Interest	L	T					
23. Ceres Ca Redev Bond	A	Interest	K	T					
24. Corona Ca Corp Yd Bond	B	Interest			Redeemed	9/1	K	A	
25. Solano CA 3.5% Bond	B	Interest	K	T					
26. Pomona CA Bond	B	Interest	L	T					
27. CMA Money Fund	A	Dividend	J	T					
28. ML Bank Deposit	A	Interest	L	T					
29. Sacramento San Bd	B	Interest	L	T					
30. Reassure Annuity	D	Interest	M	T					
31. Fremont CA Un High Sch Bond	B	Interest	K	T					
32. Alameda Corridor Tran Bond		None	L	T					
33. San Jose Redev Agy Bond	C	Interest	L	T					
34. CD Goldman Sachs Bk	C	Interest			Redeemed	12/3	M	A	

1. Income Gain Codes (See Columns B1 and D4)	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	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$30,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT
Page 6 of 8

Name of Person Reporting
Whyte, Ronald M.

Date of Report
07/05/2010

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. CD Captial One Bk	C	Interest	M	T					
36. CD American Express Bk	C	Interest	M	T					
37. Dreyfus Appreciation Fund	B	Dividend			Sold	11/09	L	D	
38. Retirement Reserve CLI	A	Dividend	L	T	Open	4/14	M		
39. FIA Card Services NA		None	M	T	Open	12/04	M		
40. Pimco Short Term Fd.	C	Dividend	M	T	Buy	06/06	M		
41. USAA Cornerstone Strat Fund	A	Distribution	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	

FINANCIAL DISCLOSURE REPORT
Page 7 of 8

Name of Person Reporting
Whyte, Ronald M.

Date of Report
07/05/2010

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

None.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Whyte, Ronald M.

Date of Report

07/05/2010

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

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to.

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544