

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) BREEN, J. DANIEL	2. Court or Organization WESTERN DISTRICT OF TENNESSEE	3. Date of Report 5/13/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. DISTRICT 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 444 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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Executive Committee	National Conference of Federal Trial Judges
2.	Board of Directors	Federal Judges' Association
3.	Trustee	Trust #1
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.)*

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. American Bar Association	2/7/2013-210/2013	Dallas, TX	National Conference of Federal Trial Judges	travel, lodging and meals
2. Federal Judges Association	4/22/13-4/23/13	Washington, D.C.	Board of Directors Meeting	travel, lodging and meals
3. American Bar Association	8/7/13-8/11/13	San Francisco, CA	Annual Meeting	travel, lodging and meals
4. American Bar Association	11/22/13-11/23/13	Philadelphia, PA	Standing Committee on Federal Judicial Improvements	travel, lodging and meals
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.	B	Dividend	K	T	Sold (part)	12/02/13	K	C	
3. CMA ACCT. - MERRILL LYNCH									
4. Idacorp, Inc.	A	Dividend	J	T					
5. Procter & 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					
12. Waddell & Reed Balanced Port	A	Dividend	J	T					
13. Waddell & Reed Bond Port	A	Dividend	J	T	Sold (part)	01/18/13	J	A	
14. Waddell & Reed Core Equity	A	Dividend	J	T					
15. Waddell & Reed Growth Port	A	Dividend	J	T					
16. Waddell & Reed High Income Port	A	Dividend	J	T	Sold (part)	01/18/13	J	A	
17. Waddell & Reed Science & Tech Port	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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18. Waddell & Reed Small Cap Growth Port	A	Dividend	J	T					
19. Waddell & Reed Trgt. Fd. Intl. Growth Port	A	Dividend	J	T					
20. Waddell & Reed Value Port	A	Dividend	J	T					
21. Waddell & Reed Global Ntrl. Res. Port	A	Dividend	J	T					
22. Waddell & Reed Mid Cap Gwth Port	A	Dividend	J	T					
23. Waddell & Reed Target Microcap Gwth	A	Dividend	J	T					
24. Waddell & Reed Target Energy Port	A	Dividend	J	T					
25. ING Acct.									
26. ING Gwth and Inc. Portfolio	A	Dividend	J	T					
27. Fidelity Contrafund	A	Dividend	J	T					
28. ING FMR SM Diversified Midcap	A	Dividend	J	T					
29. ING JP Morgan Small Cap Core Eq. Port	A	Dividend	J	T					
30. ING Am. Fds. Int'l Port	A	Dividend	J	T					
31. IRA ACCOUNT - MERRILL LYNCH									
32. American Century Adj. Bd.	A	Dividend			Sold	07/05/13	J	A	
33. Ivy Asset Strategy Fd.	A	Dividend	J	T	Buy	07/05/13	J		
34. MFS Value Fd.	A	Dividend			Sold	07/05/13	J	A	

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. J.P. Morgan Strategic Inc. Fd.	A	Dividend	J	T	Buy	09/13/13	J		
36. Delaware Corp. Bd. Fund	A	Dividend			Sold	07/05/13	J	A	
37. Dreyfus App. Fd.	A	Dividend	J	T					
38. Eaton Vance Floating Rate Fd.	A	Dividend	J	T	Buy	02/07/13	J		
39. Coca Cola - CS	A	Dividend	J	T					
40. Federated Strategic Value Div.	A	Dividend			Sold	02/07/13	J	A	
41. Exxon Mobil - CS	A	Dividend	J	T					
42. General Electric - CS	A	Dividend	J	T					
43. FPA New Income Inc.	A	Dividend			Sold	02/07/13	J	A	
44. Mainstay Large Cap Growth Fd.	A	Dividend	J	T					
45. Mainstay Marketfield Fd.	A	Dividend	J	T	Buy	09/13/13	J		
46. Johnson & Johnson - CS	A	Dividend	J	T					
47. Metropolitan West Total Bd. Fd.	A	Dividend			Sold	07/05/13	J	A	
48. McDonalds - CS	A	Dividend	J	T					
49. Oakmark Select Fd.	A	Dividend	J	T	Buy	07/05/13	J		
50. Permanent Portfolio Fd.	A	Dividend	J	T					
51. Pioneer Strategic Inc. Fd.	A	Dividend	J	T					

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52. Prudential Short Term Corp. Fd.	A	Dividend	J	T	Sold (part)	07/05/13	J	A	
53. TCW Total Return Bd. Fd.	A	Dividend	J	T					
54. Wal-Mart Stores - CS	A	Dividend	J	T					
55. Wells Fargo Adv. Small Cap Fd.	A	Dividend	J	T	Buy	07/05/13	J		
56. IRA- MERRILL LYNCH									
57. American Century Adj. Bd.	A	Dividend			Sold	07/05/13	J	A	
58. Blackrock Eqty. Div. Fd.	A	Dividend	J	T	Buy	07/05/13	J		
59. Dreyfus App. Fd.	A	Dividend	J	T					
60. Eaton Vance Floating Rate Fd.	A	Dividend	J	T	Buy	02/15/13	J		
61. Permanent Portfolio Fd.	A	Dividend	J	T					
62. Federated Strategic Value Fd.	A	Dividend			Sold	02/07/13	J	A	
63. TCW Total Return Bd. Fd.	B	Dividend	K	T					
64. Ivy Asset Strategy	A	Dividend	J	T					
65. J.P. Morgan Strategic Inc. Fd.	A	Dividend	K	T	Buy	09/13/13	K		
66. Mainstay Large Cap Growth Fd.	A	Dividend	K	T					
67. Mainstay Marketfield Fd.	A	Dividend	J	T	Buy	09/13/13	J		
68. Oakmark Select Fd.	A	Dividend	K	T					

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69. MFS Value Fd.	A	Dividend	K	T	Buy	02/15/13	K		
70. Wells Fargo Adv. Small Cap Fd.	A	Dividend	J	T					
71. Pioneer Strategic Inc. Fd.	A	Dividend	J	T					
72. Prudential Short Term Corp. Bd. Fd.	A	Dividend	J	T					
73. Templeton Gbl Bond Fd.	A	Dividend			Sold	09/13/13	J	A	
74. American Century Inflation Adj. Bd.	A	Dividend			Sold	09/13/13	J	A	
75. Dreyfus Appreciation Fd.	A	Dividend	J	T					
76. Wells Fargo Adv. Small Cap. Fd.	A	Dividend	J	T					
77. The Oakmark Select Fd.	A	Dividend	J	T					
78. Federated Strategic Value Fd.	A	Dividend			Sold	02/07/13	J	A	
79. TCW Total Return Bd. Fd.	A	Dividend	J	T					
80. Permanent Portfolio Fd.	A	Dividend	J	T					
81. Ivy Asset Strategy	A	Dividend	J	T					
82. John Hancock Classic Value Fd.	A	Dividend	J	T	Buy	02/05/13	J		
83. Mainstay Strategy Fd.	A	Dividend	J	T					
84. Merrill Lynch Money Market Fd.	A	Interest	J	T					
85. Pioneer Strategic Inc. Fd.	A	Dividend	J	T					

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86. Merrill Lynch Retirement Reserves	A	Interest	J	T					
87. Prudential Short Term Bd. Fd.	A	Dividend	J	T					
88. Procter & Gamble CS	A	Dividend	J	T					
89. Waddell & Reed Advisors Small Cap	A	Dividend	J	T					
90. Waddell & Reed Accumulative	A	Dividend	J	T					
91. Waddell & Reed Core Investment	A	Dividend	J	T					
92. Waddell & Reed Advisors Cash Management	A	Dividend	J	T					
93. BanCorp South CD	A	Interest	J	T					
94. Ivy VIP Asset Strategy	A	Dividend	K	T					
95. Ivy VIP Balanced Fd.	A	Dividend	J	T					
96. Ivy Energy Fd.	A	Dividend	J	T					
97. Ivy Global Nat'l Res. Fd.	A	Dividend	K	T					
98. Ivy Intl Grwth Fd.	A	Dividend	J	T					
99. Ivy Sci NC Tech Fd.	A	Dividend	J	T					
100. TRUST #1									
101. ML Bank Deposit Program	A	Interest	J	T					
102. SP500 ARN Issuer BAC	A	Interest			Sold	12/02/13	K	A	

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103. Basket CLIRN Issuer BAC	A	Interest			Sold	12/02/13	K	A	
104. MUTUAL FUNDS									
105. First Eagle Global	B	Dividend			Sold	12/02/13	K	A	
106. Bernstein Adv. Qulty. Inc.	A	Dividend			Sold	12/02/13	J	A	
107. Intrepid Small Cap Fd.	A	Dividend			Sold	12/02/13	J	A	
108. Invesco Bd. Fd.	A	Dividend			Sold	12/02/13	J	A	
109. Ivy Asset Strategy Fd.	B	Dividend			Sold	12/02/13	J	A	
110. John Hancock Inc. Fd.	B	Dividend			Sold	12/02/13	K	A	
111. Loomis Sayles Corp Plus Bd. Fd.	A	Dividend			Sold	12/02/13	K	A	
112. Templeton Global Bond Fd.	A	Dividend			Sold	12/02/13	K	A	
113. Gold ARN Issuer, SEK	A	Dividend			Sold	12/02/13	J	A	
114. SEK ARN RICIGLER	A	Dividend			Sold	12/02/13	J	A	
115. Permanent Portfolio Fd.	A	Dividend			Sold	12/02/13	J	A	
116. Pimco All Asset Auth. Fd.	B	Dividend			Sold	12/02/13	J	A	
117. Van Kampn Unit Trs 1176	B	Interest			Sold	12/02/13	J	A	
118. Western Asset High Yield Fd.	A	Dividend			Sold	12/02/13	J	A	
119. Yacktman Focused Fd.	A	Dividend			Sold	12/02/13	K	A	

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

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Name of Person Reporting

BREEN, J. DANIEL

Date of Report

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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

5/13/2014

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/ 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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One Columbus Circle, N.E.
Washington, D.C. 20544