

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Casper, Denise J.	2. Court or Organization U.S. District Court for District of MA	3. Date of Report 09/15/2017
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 01/01/2016 to 12/31/2016
7. Chambers or Office Address U.S. Courthouse 1 Courthouse Way Boston, MA 02210		
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.	Honorary Trustee	Big Sister Association of Greater Boston, Inc.
2.	Director	The Steppingstone Foundation
3.	Trustee	The Park School
4.	Fund Advisor	Donor Advised Fund #1
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE 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.)*SOURCEDATESLOCATIONPURPOSEITEMS 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. Bank of America Accounts	A	Interest	N	T					
2. Ally Bank Accounts	B	Interest	O	T	Open	06/22/16	N		
3. Thermo Fisher Scientific Common Stock (TMO).	C	Dividend	O	T	Sold (part)	04/07/16	P1	G	
4.					Donated (part)				
5. Thermo Fisher Scientific Stock Options		None	P3	T					
6. Thermo Fisher Scientific Restricted Stock Units (TMO). See Notes.	B	Dividend	L	T		08/26/16	L	F	
7.									
8. Bain Capital Fund VIII Limited Partnership (Y)									
9. Bain Capital VII Limited Partnership (Y)									
10. Bain Venture Fund 2001 Limited Partnership (Y)									
11. Water Street Healthcare Partners limited partnership	G	Distribution	L	W					
12. Water Street Healthcare Partners II limited partnership	E	Distribution	N	W					
13. TPG FOF VI-QP, LP	E	Distribution	M	W					
14. TPG FOF V-QP-AIV	E	Distribution	K	W					
15. Special Opportunities Fund III limited partnership	E	Distribution	M	W					
16. Special Opportunities Fund IV limited partnership	E	Distribution	M	W					
17. Charlesbank Equity Coinvestment Fund VII, LP	D	Distribution	L	W					

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 H ~\$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 ~\$250,000.001 - \$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	

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18.									
19. Trust #1 assets listed with -- below									
20. --Schwab Gov't Money Fund (SWGXX)	A	Dividend	J	T					
21. --Ishares MSCI ACWI ETF IV (ACWI)	B	Dividend	L	T	Buy	04/18/16	J		
22.					Sold (part)	06/22/16	J	A	
23.					Buy (add'l)	12/22/16	K		
24. US Savings Bonds	A	Interest	K	W					
25. Schwab Gov't Money Fund (SWGXX)		None	J	T					
26. Doubleline Core Fixed Income Fund (DBLFX)	E	Dividend	O	T	Buy (add'l)	03/29/16	N		
27.					Buy (add'l)	06/02/16	N		
28. United St Commodity ETF Index Fund (USCI)		None	K	T					
29. Charles Schwab Money Market Accounts (SWGXX)	A	Dividend	P1	T					
30. AMG GW&K Muni BD FD Inst (GWMIX)	E	Distribution	P1	T					
31. Doubleline Core Fixed (DBLFX)	E	Dividend	P1	T	Buy (add'l)	01/29/16	O		
32. Altair Smaller Companies Fd Inst (ASC SZ)		None	O	T					
33. Boston Partners Long (BPLSX)		None	P1	T	Buy (add'l)	01/28/16	N		
34.					Buy (add'l)	06/02/16	M		

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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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35. Driehaus Emerging Mkts (DREGX)	B	Dividend	N	T					
36. FPA Crescent Fund Inst (FPC1Z)	E	Dividend	O	T	Buy (add'l)	06/02/16	M		
37. Intrepid Capital FD Inst (ICMVX)	E	Dividend	O	T	Buy	06/02/16	O		
38. Manning & Napier World Oppty A (EXWAX)	E	Dividend	P1	T					
39. Matisse Discounted Closed End FD Strategy (MDCFX)	E	Dividend	N	T	Buy (add'l)	06/02/16	K		
40. Oakmark Select Fund Inv (OAKLX)	E	Dividend	O	T	Sold (part)	01/28/16	M		
41. Touchstone Sands Capital Instl Growth Fund (CISGX)	A	Dividend	J	T	Sold (part)	01/28/16	M		
42.					Sold (part)	12/09/16	O		
43. Van Eck Cm Commodity Index Fd I (COMIX)	E	Dividend	N	T					
44. Vanguard Gbl Ex US Real Estate Index Admiral (VGRLX)	E	Dividend	O	T					
45. Vanguard Growth Index FD (VIGAX)	C	Dividend	O	T	Buy	12/12/16	O		
46. Vanguard REIT Index Admiral Share (VGSIX)	D	Dividend	O	T					
47. Call CBOE Volatility Index (VIX) exp. 4/20/16		None			Buy	02/29/16	K		
48.					Expired	04/20/16	J		
49. Put S&P Index (SPX) exp. 12/16/16		None			Buy	05/06/16	L		
50.					Expired	12/16/16	J		
51. Put S&P Index (SPX) exp. 3/17/17		None	L	W	Buy	11/10/16	L		

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52. United States Commodity Index (USCI)		None	M	T					
53. Pimco Global Multi Asset C1 Inst (PGAIX)		None			Sold	01/28/16	O		
54. Aurora Horizons Y (AHFYX)		None			Sold	05/31/16	O		
55. Templeton Global Bond Fund ADV CL (TGBAX)	B	Dividend			Sold	02/12/16	O		
56.									
57. United St Commodity ETF Index Fund (USCI)		None	M	T					
58.									
59.									

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

Part VII

Line 6: Vesting of Thermo Fisher Scientific Restricted Stock Units. Vested units are moved to line 3.

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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/ Denise J. Casper**

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544