

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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 10/13/2015
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 01/01/2014 to 12/31/2014
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.	Trustee	Trust #1
2.	Honorary Trustee	Big Sister Association of Greater Boston, Inc.
3.	Director	The Steppingstone Foundation
4.	Trustee	The Park School
5.	Fund Advisor	Donor Advised Fund #1

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	B	Interest	P1	T					
2. Alere Common Stock (ALR)		None			Sold	04/16/14	K	D	
3. Bayer AG (ADR) Common Stock		None			Sold	04/16/14	L	E	
4. Thermo Fisher Scientific Common Stock (TMO). See Notes	D	Dividend	P1	T	Sold (part)	05/01/14	P1	H1	
5.					Sold (part)	05/02/14	P2	H1	
6.					Sold (part)	11/18/14	P2	H1	
7.					Donated (part)				
8. Thermo Fisher Scientific Stock Options. See Notes		None	P3	T		05/01/14	P1	H1	
9.						05/02/14	P2	H1	
10.						11/18/14	P2	H1	
11. Thermo Fisher Scientific Restricted Stock Units.		None	P1	T		02/15/14	P1	H1	
12.						03/02/14	P1	H1	
13.						05/01/14	N	G	
14.						05/02/14	P1	H1	
15.						08/26/14	M	G	
16.						11/18/14	L	F	
17. Charles Schwab Money Market Accounts	A	Interest	P1	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 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. Vanguard Short Term Bond ETF	A	Dividend	J	T					
19. Dodge & Cox Intl Stock Mutual Fund (DODFX)		None			Sold	04/16/14	K	B	
20. Bain Capital Fund VIII Limited Partnership		None	M	W					
21. Bain Capital VI Limited Partnership	A	Int./Div.	J	W					
22. Bain Capital VII Limited Partnership		None	K	W					
23. Bain Capital VI Limited Partnership		None	J	W					
24. Bain Venture Fund 2001 Limited Partnership		None	J	W					
25. Water Street Healthcare Partners limited partnership		None	N	W					
26. Water Street Healthcare Partners II limited partnership		None	M	W					
27. TPG FOF VI-QP, LP		None	M	W					
28. TPG FOF V-QP-AIVs		None	L	W					
29. Special Opportunities Fund III limited partnership		None	M	W					
30. Special Opportunities Fund IV limited partnership		None	M	W					
31. Charlesbank Equity Coinvest		None	M	W					
32. Zimmer Holdings Phantom Stock Units	C	Dividend	N	T					
33. Zimmer Holdings Restricted Stock Units. See Note	A	Dividend	N	T					
34. Zimmer Holdings (ZMH). See Note	A	Dividend			Sold	07/31/14	N	F	

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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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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)
35. Goldman Sachs Money Market Account	A	Interest			Closed	05/30/14	O		
36. Trust #1 assets listed with -- below									
37. --GS Investment Grade Credit Fund A	B	Dividend	K	T					
38. --GS Short Duration T/F Mutual Fund Class A	B	Dividend	M	T					
39. --Standard and Poors 500 Depository Receipts Mutual Fund	B	Dividend	M	T					
40. --GS Emerging Markets Equity Fund GEMIX	A	Dividend	K	T					
41. --Euro Stoxx 50 FD ETF	B	Dividend	K	T					
42. --GS Financial Sq. Federal Funds Mutual Fund	A	Interest	L	T					
43. Trust #2 assets listed with -- below (Y)									
44. --Thermo Fisher Scientific Common Stock (TMO) (Y)									
45. Vanguard ST Bond ETF (BSV)	B	Dividend	L	T					
46. SPDR S&P Bank ETF (KBE)	B	Dividend	L	T					
47. U.S. Savings Bonds	B	Interest	K	W					
48. Trust #3 assets listed with -- below									
49. --Schwab Gov't Money Fund: SWGXX	A	Interest	K	T	Open	09/22/14	K		
50. Mass Bay transportation Auth Rev 5.2500% 7/1/15 bond	B	Interest			Sold	04/16/14	M		
51. Mass IB 5.375% 1/1/16 bond (Y)									

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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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	(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. Lone Star College System Rev Bond 5.0000% 8/15/16	C	Interest			Sold	04/21/14	M		
53. Univ Mass Bldg Aut Proj Rev 5/25% 11/1/26 bond	C	Interest			Sold	04/16/14	M		
54. Mass Water Re Authority 5.25% 8/1/17 bond	B	Interest			Sold	04/21/14	M	C	
55. Seattle WA Rev 5% 2/1/18 bond	B	Interest			Sold	04/11/14	M	C	
56. NJ Trans TR FD Auth Rev 5% 12/15/18 bond	B	Interest			Sold	04/21/14	L	D	
57. Chicago, IL GO 5% 12/1/19 Bond	B	Interest			Sold	04/28/14	M		
58. Kansas Dept of Trans Rev 5% 9/1/22 bond	A	Interest			Sold	04/11/14	M	D	
59. GS 1% 10/20/2014 Linked 10 yr notes-bond (Y)									
60. Mass GO 5% 8/1/14 Bond	B	Interest			Sold	04/16/14	M		
61. MASS GO 5% 8/1/26	C	Interest			Sold	04/16/14	M		
62. Univ Mass Bld 5% 11/1/16 Bond	C	Interest			Sold	04/28/14	M		
63. Harris Cty 6% 9/1/15 Bond	B	Interest			Sold	04/21/14	M		
64. Abilene TX 5% 2/15/22 Bond	C	Interest			Sold	04/16/14	M		
65. Mesa AZ St. & Hwy. 5.5% 7/1/15 Bond	B	Interest			Sold	04/28/14	M		
66. Mass GO 5.5% 11/1/15 Bond	C	Interest			Sold	04/16/14	M		
67. Mass School 5% 10/15/17 Bond	C	Interest			Sold	04/16/14	M		
68. Univ. Wash. 5% 4/1/19 Bond	C	Interest			Sold	04/21/14	M		

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69. Aston River Small Cap Value Fund (ARSVX)		None			Sold	04/16/14	K	B	
70. Credit Suisse Commodity Return Strategy Fund (CRSAX)		None			Sold	04/16/14	J	A	
71. Driehaus Emerging Markets Growth Fund (DREGX)		None			Sold	04/16/14	J	B	
72. IQ Alpha Hedge Strategy Fund (IQHIX)		None			Sold	04/16/14	J	A	
73. Oakmark Select Fund (OAKLX)		None			Sold	04/16/14	J	C	
74. Amicus Therapeutics (FOLD)		None	M	T					
75. Endocyte, Inc. (ECYT)		None	K	T					
76. Springfield, MA 4% 9/15/18 Bond	B	Interest			Sold	04/11/14	M		
77. Southwick Tolland 5% 5/15/19 Bond	C	Interest			Sold	04/11/14	M		
78. Barclays Bank IPATH ETN (DJP)		None	N	T	Buy	11/26/14	N		
79.					Sold (part)	12/31/14	M		
80. Ishares Tr Msci Eafe (EFA)	D	Dividend	P1	T	Buy	11/26/14	P1		
81.					Sold (part)	12/31/14	P1		
82. Touchstone Sands Capital Instl Growth FD (CISGX)	F	Distribution	O	T	Buy	05/13/14	N		
83.					Buy	09/12/14	N		
84.					Buy	12/22/14	L		
85. Altair Smaller Companies FD Inst: (ASCSZ)		None	O	T	Buy	12/16/14	N		

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86.					Buy	12/23/14	M		
87. Put S&P 500 Index \$1500 EXP 12/20/14: (SPX) 12/20/2014 1500.00P		None			Buy	06/05/14	K		
88.					Expired	12/19/14	J		
89. Ishares Tr Russell 2000 ETF (IWM)	B	Dividend			Buy	04/22/14	L		
90.					Buy	05/13/14	M		
91.					Sold (part)	12/11/14	M	D	
92.					Sold	12/17/14	J	A	
93. Good Harbor Tactical Core US (GHUIX)	A	Distribution	O	T	Buy	04/22/14	N		
94.					Buy	06/12/14	L		
95.					Buy	08/05/14	M		
96.					Buy	11/26/14	L		
97. AMG GW&K Muni BD FD Inst (GWMIX)	E	Distribution	P1	T	Buy	04/22/14	O		
98.					Buy	05/13/14	O		
99.					Buy	11/26/14	M		
100. Templeton Global Bond Fund ADV CL (TGBAX)	E	Dividend	N	T	Buy	04/22/14	M		
101.					Buy	05/13/14	M		
102.					Buy	11/26/14	K		

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103. Van Eck Cm Commodity Index Fd 1 (COMIX)		None			Buy	05/13/14	M		
104.					Buy	08/05/14	K		
105.					Sold	11/26/14	M		
106. Manning & Napier World Oppty A (EXWAX)	E	Distribution			Buy	04/30/14	N		
107.					Buy	05/13/14	K		
108.					Buy	09/12/14	N		
109.					Sold	11/26/14	P1		
110. Driehaus Emerging Mrkts Growth Fund (DREGX)	D	Distribution	N	T	Buy	04/22/14	L		
111.					Buy	05/13/14	M		
112.					Buy	08/05/14	K		
113.					Buy	11/26/14	L		
114. Vanguard Total Bond Mkt Index Admiral Shr (VBTLX)	C	Distribution	N	T	Buy	09/29/14	N		
115. PIMCO Total Return Fund Instl Cl (PTTRX)	C	Dividend			Buy	04/22/14	N		
116.					Buy	05/13/14	M		
117.					Sold (part)	06/12/14	J	A	
118.					Sold	09/26/14	N	B	
119. Vanguard Gbl Ex US Real Estate Index Admiral (VGRLX)	D	Dividend	N	T	Buy	05/13/14	M		

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Casper, Denise J.

Date of Report

10/13/2015

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.					Buy	09/12/14	M		
121.					Buy	12/31/14	M		
122. Oakmark Select Fund (OAKLX)	F	Distribution	O	T	Buy	05/13/14	N		
123.					Buy	09/12/14	N		
124.					Buy	12/31/14	L		
125. Vanguard REIT Index Admiral Share (VGSLX)	D	Dividend	N	T	Buy	09/12/14	M		
126.					Buy	12/31/14	M		
127. FPA Crescent Fund Inst C1 Shares (FPC1Z)	E	Distribution	O	T	Buy	04/22/14	N		
128.					Buy	05/13/14	M		
129.					Buy	08/05/14	L		
130.					Buy	12/31/14	K		
131. Aurora Horizons Y (AHFYX)	C	Distribution	N	T	Buy	04/22/14	N		
132.					Buy	05/13/14	M		
133.					Buy	08/05/14	L		
134.					Buy	12/31/14	K		
135. Pimco Global Multi Asset C1 Inst (PGAIX)	A	Distribution	M	T	Buy	06/12/14	L		
136.					Buy	12/31/14	N		

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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Name of Person Reporting

Casper, Denise J.

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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)
137. Vanguard REIT Index Fd Signal (VGRSX)		None			Buy	05/13/14	M		
138.					Merged (with line 125)	05/27/14	M		
139. Pennsylvan Cmnwlth 5%15GO UTX Due 5/15/15		None			Sold	04/28/14	M		
140. Mass ST Coll Bldg A 5%20EDUC FAC Due 5/1/20		None			Buy	03/03/14	L		
141.					Sold	04/21/14	L		
142. District of Columbia 5%14DB UTX Due 6/1/14		None			Sold	04/16/14	L		
143. United St Commodity ETF Index Fund (USCI)		None	K	T	Buy	06/12/14	M		
144. Charles Schwab Money Market Account	A	Interest	J	T	Open	06/12/14	O		
145. PIMCO Total Return Fund Instl CL (PTTRX)	C	Dividend			Buy	06/13/14	O		
146.					Sold	09/26/14	O		
147. Vanguard Total BondMkt Index Admiral Shr (VBTLX)	C	Distribution	O	T	Buy	09/29/14	O		
148. United St Commodity ETF Index Fund (USCI)		None	M	T	Buy	04/22/14	M		
149.					Buy	05/19/14	L		
150. Van Eck Cm Commodity Index Fd 1 (COMIX)		None			Buy	04/23/14	L		
151.					Sold	05/13/14	L		

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

Part VII, lines 9-11: Thermo Fisher Scientific Stock Option transactions listed in lines 9-11 are exercise of stock options. Thermo Fisher Scientific Common Stock (TMO) received upon exercise was sold and is included in lines 4-6.

Part VII, lines 43-44: Trust is no longer reportable. See 5 U.S.C. App. § 102(f)(2)(B).

Part VII, line 51: Bond described in line 52 was sold on January 1, 2013. The bond was described in line 63 of the 2013 report but the sale was inadvertently omitted from the report. The bond was sold for value code M and there was no gain on the sale.

Part VII, line 59: Item described in line 60 became nonreportable in 2013.

Part VII, line 61: In prior reports maturity date of bond was incorrectly shown as 8/1/2016.

Part VII, Line 140: Purchase shown on line 140 was inadvertently omitted from the initial 2014 report.

Part VII, Line 151: Sale reported on line 151 was inadvertently omitted from the initial 2014 report.

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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