

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Dein, Judith G.	2. Court or Organization U.S. District Court, MA	3. Date of Report 05/8/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge-full time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address United States District Court One Courthouse Way Boston, Massachusetts 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.	Fellow	Massachusetts Bar Foundation
2.	Trustee	Union College, Schenectady, NY
3.		
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 13

Name of Person Reporting

Dein, Judith G.

Date of Report

05/8/2016

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. 2015

Goulston & Storrs - lawyer

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. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 13

Name of Person Reporting

Dein, Judith G.

Date of Report

05/8/2016

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.

FINANCIAL DISCLOSURE REPORT

Page 4 of 13

Name of Person Reporting

Dein, Judith G.

Date of Report

05/8/2016

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. Agilent Technologies Inc. stock		None	J	T					
2. SBC Communications Inc.		None	J	T					
3. Bank of America account	A	Interest	N	T					
4. Bank of America account	A	Interest	M	T					
5. Vodafone Airtouch PLC	A	Dividend	J	T					
6. Baron Growth Fund	D	Int./Div.	N	T					
7. TRowe Mid Cap Fund	C	Int./Div.	O	T					
8. Vanguard 500 Index Fund	D	Int./Div.	O	T					
9. Israeli Bonds	A	Dividend	J	T					
10. Main Stay MAP Fund C1 I	C	Int./Div.			Sold	08/31/15	M		
11. AT&T stock	A	Dividend	J	T					
12. Mass. ST CONS LN	B	Interest	L	T					
13. Wells Fargo&Co Ser. J 8% perpetual	A	Dividend			Sold	03/24/15	K	C	
14. Needham Bank Acct	A	Interest	L	T					
15. FIA Card Services NA RASP	A	Interest	J	T					
16. Phoenix Concierge Acct	A	Interest	K	T					
17. Capital Income Builder Fund Am. Funds	A	Dividend			Sold	01/22/15	K	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		

FINANCIAL DISCLOSURE REPORT

Page 5 of 13

Name of Person Reporting

Dein, Judith G.

Date of Report

05/8/2016

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 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. First Eagle Global Fund Class A M/F	A	Dividend	L	T					
19. IVA Worldwide Fund Class C M/F	A	Int./Div.	J	T					
20. Income Fund of Am. Funds M/F	A	Interest	K	T					
21. Nuveen Limited Term Mun Bond Fund Class C M/F	A	Interest	K	T					
22. Thornburg Ltd Term Mun. Fund Class C M/F	A	Interest	L	T					
23. Western Asset Managed Municipals Fund Class I (X)	C	Dividend	L	T	Sold (part)	03/24/15	M		
24. Vanguard Dividend Appreciation ETF	A	Dividend			Sold	03/24/15	K		
25. Clearbridge Equity Income Fund Class C(now Dividend Strategy Fund)	A	Interest	K	T					
26. Thornburg Investment Income Builder Fund Class C M/F	B	Interest	K	T					
27. Thornburg Limited Term Municipal Fund Class A	A	Interest	K	T					
28. Capital Income Builder Fund Class F1-American Funds N/L	A	Dividend			Sold	01/22/15	J		
29. UBS Bank USA Dep. Acct (various)	A	Interest	N	T					
30. Western Asset Managed Municipals Fund Class A	C	Dividend			Sold	03/24/15	M		
31. VOYA Lg Cap Val Fund Class C	A	Dividend	K	T					
32. Thornburg Limited Term Mun Fund Class C									see comment 1
33. First Eagle Growth & Income Fund Class C M/F	A	Dividend	K	T					
34. Mainstay Unconstrained Bond Fund Class A (now Class 1)	B	Dividend	L	T	Buy (add'l)	03/24/15	J		see comment 2

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 6 of 13

Name of Person Reporting

Dein, Judith G.

Date of Report

05/8/2016

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)

35. Mainstay Unconstrained Bond Fund Class A (now Class I)	A	Dividend	K	T	Sold (part)	03/24/15	J		
36. Pioneer Fundamental Growth Class Y	A	Dividend	K	T	Buy (add'l)	03/24/15	J		
37. Pioneer Fundamental Growth Class Y	A	Dividend	L	T	Sold (part)	03/24/15	J		
38. Vanguard Charlotte FDS Total Intl BD Index Fund	A	Dividend	K	T	Buy (add'l)	03/24/15	J		
39. Vanguard Charlotte FDS Total Intl BD Index Fund	A	Dividend	K	T					
40. iShares Tr Core Total US Bond Mkt ETF	B	Dividend			Sold	11/13/15	L		
41. iShares Tr Core Total US Bond Mkt ETF	A	Dividend			Sold (part)	03/24/15	J		
42.					Sold	11/13/15	K		
43. Blackrock Equity Dividend Fund A Institutional	A	Dividend			Sold	03/24/15	K		
44. Blackrock Equity Dividend Fund A Institutional		None			Sold	03/24/15	K		
45. Loomis Sayles Strategic Income Fund	C	Dividend	L	T	Buy (add'l)	03/24/15	J		
46. Loomis Sayles Strategic Income Fund	A	Dividend	K	T	Sold (part)	03/24/15	J		
47. Wisdomtree Trust SmallCap Dividend Fund	A	Dividend	J	T	Buy (add'l)	03/24/15	J		
48. Vanguard Admiral FDS Inc 500 Val Inx Fund	A	Dividend	K	T	Buy (add'l)	11/13/15	J		
49. Vanguard Admiral FDS Inc 500 Val Inx Fund	A	Dividend	K	T	Buy (add'l)	03/24/15	J		
50.					Buy (add'l)	11/15/15	J		
51. Vanguard Admiral FDS Inc 500 Growth Inx Fund	A	Dividend	K	T	Buy (add'l)	03/24/15	J		

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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 13

Name of Person Reporting

Dein, Judith G.

Date of Report

05/8/2016

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)
52.					Buy (add'l)	11/13/15	J		
53. Vanguard Admiral FDS Inc 500 Growth Inv Fund	A	Dividend	L	T	Sold (part)	03/24/15	J		
54.					Sold (part)	11/13/15	J		
55. Vanguard Intl Equity Index FD Inc FSTE All	A	Dividend	K	T	Buy (add'l)	11/13/15	J		
56. Vanguard Intl Equity Index FD Inc FSTE All	B	Dividend	L	T	Sold (part)	03/24/15	J		
57.					Buy (add'l)	11/13/15	J		
58. TCW Emerging Markets Income Fund	A	Dividend			Sold	03/24/15	K		
59. TCW Emerging Markets Income Fund	A	Dividend			Sold	03/24/15	K		
60. Oppenheimer Steelpath MLP Alpha Fund	A	Dividend			Sold	03/24/15	K		
61. Alger Dynamic Opportunities Fund		None	K	T	Buy (add'l)	03/24/15	J		
62. Alger Dynamic Opportunities Fund		None	K	T	Sold (part)	03/24/15	J	A	
63.					Sold (part)	11/13/15	J		
64. Principal Diversified Real Asset Fund A	A	Dividend	K	T	Sold (part)	03/24/15	J		
65.					Buy (add'l)	11/13/15	J		
66. Principal Diversified Real Asset Fund A	A	Dividend	K	T	Sold (part)	03/24/15	J		
67.					Buy (add'l)	11/13/15	J		
68. Thornburg Developing World Fund Class A	A	Dividend			Sold (part)	03/24/15	J		

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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 13

Name of Person Reporting

Dein, Judith G.

Date of Report

05/8/2016

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)
69.					Sold	11/13/15	J		
70. Thornburg Developing World Fund Class A	A	Dividend			Sold	03/24/15	J		
71.					Sold (part)	11/13/15	K		
72. Natixis Oakmark Intl Fund Class A	A	Dividend	J	T	Sold (part)	03/24/15	J		
73.					Buy (add'l)	11/13/15	J		
74. Natixis Oakmark Intl Fund Class A	A	Dividend	K	T	Sold (part)	03/24/15	J		
75.					Buy (add'l)	11/13/15	J		
76. Principal FDS Inc Global Diversified	B	Dividend	K	T	Sold (part)	03/24/15	J		
77.					Buy (add'l)	11/13/15	J		
78. Clearbridge Aggressive Growth Fund		None	K	T	Sold (part)	03/24/15	J	B	
79.					Buy (add'l)	11/13/15	J		
80. Gabelli Small Cap Growth Class A	A	Dividend	K	T	Buy (add'l)	03/24/15	J		
81.					Buy (add'l)	11/13/15	J		
82. Vanguard Admiral FDS Inc Midcap 400 Indx	B	Dividend	K	T	Buy (add'l)	03/24/15	K		
83.					Buy (add'l)	11/13/15	J		
84. Powershares Global Water Portfolio		None			Sold	03/24/15	K		
85. Tortoise MLP & Pipeline Fund Class Inv		None			Sold	03/24/15	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
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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 13

Name of Person Reporting

Dein, Judith G.

Date of Report

05/8/2016

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)

86. TCW Emerging Markets Income Fund	A	Dividend			Sold	03/24/15	K		
87. Vanguard Divid Appreciation ETF	A	Dividend			Sold	03/24/15	K		
88. Powershares Global Water Portfolio		None			Sold	03/24/15	K		
89. Principal Diversified Real Asset Fund A		None			Sold	03/24/15	K		
90. Alger Dynamic Opportunities Fund		None			Sold	03/24/15	K		
91. Principal FDS Global Diversified	A	Dividend			Sold	03/24/15	K		
92. Tortoise MLP & Pipeline Fund		None			Sold	03/24/15	K		
93. iShares Natl AMT-Free Muni Bond ETF	A	Dividend			Sold	03/24/15	M		
94. 1919 Socially Responsive Balanced Fund Class 1 FBOID	A	Dividend	K	T	Buy	03/24/15	K		
95. Dreyfus Third Cent Inc 1 FBOID	A	Dividend	K	T	Buy	03/24/15	K		
96. iShares MSCI KLD 400 Social ETF	A	Dividend	K	T	Buy	03/24/15	K		
97. PAX MSCI International HESG Index Fund Class Institutional	A	Dividend	J	T	Buy	03/24/15	J		
98. UBS Global Sustainable Equity Fund Class P	A	Dividend	K	T	Buy	03/24/15	K		
99. Domini Social Bond Fund Investor Shares FBOID	B	Dividend	L	T	Buy	04/06/15	L		
100. Cohen & Steers Global Infrastructure Fund Class 1	A	Dividend	K	T	Buy	03/24/15	K		
101.					Buy (add'l)	11/14/15	J		
102. Cohen & Steers Real Assets Fund Class 1 FBOID	A	Dividend			Buy	03/24/15	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
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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 13

Name of Person Reporting

Dein, Judith G.

Date of Report

05/8/2016

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)
103.					Sold	11/13/15	K		
104. Columbia Dividend Income Fund Z FBOID	B	Dividend	K	T	Buy	03/24/15	K		
105.					Sold (part)	11/13/15	J		
106. Equinox Campbell Strategy Fund Class 1 FBOID	A	Dividend	K	T	Buy	03/24/15	K		
107.					Buy (add'l)	11/13/15	J		
108. Mainstay Cushing Renaissance Advantage Fund Class 1	A	Dividend	K	T	Buy	03/24/15	K		
109.					Buy (add'l)	11/13/15	J		
110. Wisdomtree Trust Europe Hedged Equity FD	A	Dividend	K	T	Buy	03/24/15	K		
111.					Buy (add'l)	11/13/15	J		
112. Wisdomtree Trust Japan Hedged Equity FD	A	Dividend			Buy	03/24/15	K		
113.					Sold	11/13/15	K		
114. Fidelity Advisor Biotechnology Fund Class 1 FBOID		None	K	T	Buy	11/13/15	K		
115. Fidelity Advisor Total Bond Fund Class 1 FBOID	A	Dividend	K	T	Buy	11/13/15	K		
116. Thornburg Intl Value Fund 1 FBOID	A	Dividend	K	T	Buy	11/13/15	K		
117. Cohen & Steers Real Assets Fund Class 1 FBOID	A	Dividend			Buy	03/24/15	K		
118.					Sold	11/13/15	J		
119. Columbia Dividend Income Fund Z FBOID	B	Dividend	K	T	Buy	03/24/15	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
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 11 of 13

Name of Person Reporting

Dein, Judith G.

Date of Report

05/8/2016

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 (add'l)	11/13/15	J		
121. Columbia Flexible Capital Income Fund Class Z FBOID	B	Dividend	K	T	Buy	03/24/15	K		
122.					Buy (add'l)	11/13/15	J		
123. Equinox Campbell Strategy Fund Class 1 FBOID	A	Dividend	K	T	Buy	03/24/15	K		
124.					Buy (add'l)	11/13/15	J		
125. Wisdomtree Trust Europe Hedged Equity FD ETF	A	Dividend	J	T	Buy	03/24/15	J		
126.					Buy (add'l)	11/13/15	J		
127. Fidelity Advisor Total Bond Fund Class 1 FBOID	B	Dividend	L	T	Buy	11/13/15	L		
128. Thornburg Intl Value Fund 1 FBOID	A	Dividend	J	T	Buy	11/13/15	J		
129. Alpine Income Tr Ult Muni Inst	A	Dividend	K	T	Buy	03/24/15	K		
130. Mainstay High Yield Muni Bond Fund Class I	C	Dividend	L	T	Buy	03/24/15	L		
131. Mainstay Tax Free Bond CL 1	B	Dividend	L	T	Buy	03/24/15	L		
132. Hartford Municipal Opportunities Fund Class 1	B	Dividend	L	T	Buy	03/24/15	L		
133. Clearbridge Aggressive Growth Fund Class C	A	Dividend	J	T	Buy	01/22/15	J		
134. MFS Blended Research Core Equity Fund	A	Dividend	J	T	Buy	01/22/15	J		

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 12 of 13

Name of Person Reporting

Dein, Judith G.

Date of Report

05/8/2016

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

1. This entry was a duplicate and is in error. Amounts are included in line 22
2. If the same asset is listed multiple times, it is because it is held in several accounts.

FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

Dein, Judith G.

Date of Report

05/8/2016

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/ **Judith G. Dein**

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