

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 5/4/2018
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 01/01/2017 to 12/31/2017
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.)*

<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.	
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.				
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	D	Interest	O	T					
3. Thermo Fisher Scientific Common Stock (TMO). See Notes.	C	Dividend	O	T	Sold (part)	01/09/17	P1	H1	
4.					Sold (part)	05/11/17	P1	H1	
5.					Donated (part)				
6. Thermo Fisher Scientific Stock Options. See Notes.		None	P3	T		01/09/17	P1	H1	
7.						05/11/17	P1	H1	
8.									
9. Thermo Fisher Scientific Restricted Stock Units (TMO). See Notes. (Y)									
10.									
11. Water Street Healthcare Partners limited partnership	E	Distribution	L	W					
12. Water Street Healthcare Partners II limited partnership	E	Distribution	M	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	L	W					
16. Special Opportunities Fund IV limited partnership	E	Distribution	M	W					
17. Charlesbank Equity Coinvestment Fund VII, LP	E	Distribution	K	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.									
19.									
20. --Schwab Gov't Money Fund (SWGXX)	A	Dividend	J	T					
21. --Ishares MSCI ACWI ETF IV (ACWI)	B	Dividend	M	T	Buy (add'l)	12/06/17	K		
22. US Savings Bonds	A	Interest	K	W					
23. IRA Rollover (4211)									
24. United St Commodity ETF Index Fund (USCI)		None	K	T					
25. Schwab Gov't Money Fund (SWGXX)		None	K	T					
26. Doubleline Core Fixed Income Fund (DBLFX)		None	O	T					
27.									
28.									
29. United States Commodity Index (USCI)		None	M	T	Buy (add'l)	12/29/17	L		
30. Charles Schwab Money Market Accounts (SWGXX)		None	P2	T					
31. AMG GW&K Muni BD FD Inst (GWMIX)	A	Dividend	P1	T	Buy (add'l)	12/29/17	M		
32. Doubleline Core Fixed (DBLFX)		None	P1	T					
33. Altair Smaller Companies Fd Inst (ASCSZ)	C	Dividend	P1	T					
34. Boston Partners Long (BPLSX)		None	P1	T					

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P1 = \$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)		None			Sold	09/21/17	N		
36. Driehaus Emrg Mkts Gwth Fd Inst (DIEMX)	C	Dividend	O	T	Buy	09/21/17	N		
37. FPA Crescent Fund Inst (FPC1Z)	D	Dividend	P1	T					
38. Intrepid Capital FD Inst (ICMVX)	E	Dividend	P1	T					
39. Manning & Napier World Oppty A (EXWAX)	E	Dividend	P1	T					
40. Matisse Discounted Closed End FD Strategy (MDCEX)	D	Dividend	O	T					
41. Oakmark Select Fund Inv (OAKLX)		None			Sold	04/27/17	O		
42. Oakmark Select Fund Inst (OANLX)	C	Dividend	P1	T	Buy	04/27/17	O		
43.					Buy (add'l)	12/29/17	M		
44. Touchstone Sands Capital Instl Growth Fund (CISGX)	B	Dividend	O	T	Buy (add'l)	01/12/17	O		
45.					Buy (add'l)	12/29/17	M		
46. Van Eck Cm Commodity Index Fd I (COMIX)	D	Dividend	N	T	Buy (add'l)	12/29/17	O		
47. Vanguard Gbl Ex US Real Estate Index Admiral (VGRLX)	E	Dividend	O	T					
48. Vanguard Growth Index FD (VIGAX)		None			Sold	01/11/17	O		
49. Vanguard REIT Index Admiral Share (VGSLX)	E	Dividend	O	T	Buy (add'l)	12/29/17	K		
50. Put S&P Index (SPX) exp. 3/17/17		None			Expired	03/17/17	L		
51.									

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52.									
53. United St Commodity ETF Index Fund (USCI)		None	M	T					
54.									
55.									

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

Part VII

Lines 3,4,6,7: Thermo Fisher Scientific Stock Option transactions listed in lines 6-7 are exercise of stock options. Thermo Fisher Common Stock (TMO) received upon exercise was sold and is included in lines 3-4.

Line 9: Final TMO Restricted Stock Units vested in 2016 and sale of resulting TMO common stock is included in line 3 of this report.

Line 53: Combines entries from line 52 and 57 of prior year 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
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Washington, D.C. 20544