

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) O'Toole, George A.	2. Court or Organization U.S. District Court	3. Date of Report 05/15/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) 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 John Joseph Moakley United States Courthouse 1 Courthouse Way, Suite 4-730 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.		
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.		

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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. 2013	Enterprise Bank, Lowell MA (director's fees)
2. 2013	Self-employed marketing communications consultant
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. 3M Company common	A	Dividend	J	T					See note 2 in Part VIII.
2. Absolute Strategies Fund		None	K	T					
3. Same		None	J	T					
4. Same		None	K	T					
5. Allianz NFJ Intl Value Fund	A	Dividend	J	T					
6. Same	A	Dividend	J	T					
7. Same	A	Dividend	J	T					
8. Apache Corp. common	A	Dividend			Sold	08/08/13	J	B	
9. Same	A	Dividend	J	T					
10. Same	A	Dividend	J	T					
11. Apple common	A	Dividend	J	T	Buy	01/25/13	J		
12. Same	A	Dividend	J	T					
13. Anheuser Busch InBev ADR	A	Dividend	J	T	Buy	08/08/13	J		
14. Same	A	Dividend	J	T	Buy	08/19/13	J		
15. Aspen Managed Futures Strategy Fund I	A	Distribution	K	T	Buy (add'l)	08/08/13	J		
16. Same	A	Distribution	J	T					
17. Same	A	Distribution	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 \$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. Bank of America deposit accounts	A	Interest	K	T					
19. Baxter Intl common	A	Dividend	J	T	Buy	08/08/13	J		
20. Same	A	Dividend	J	T	Buy	04/23/13	J		
21. BB&T Corp.	A	Dividend	J	T	Buy	02/13/13	J		
22. Same	A	Dividend	J	T	Buy	02/13/13	J		
23. BHP Billiton ADR	A	Dividend	J	T					
24. Same	A	Dividend	J	T					
25. Same	A	Dividend	J	T					
26. Buffalo Intl	A	Dividend	J	T	Buy	08/08/13	J		
27. Same	A	Dividend	J	T	Buy	08/19/13	J		
28. CF Industries common	A	Dividend	J	T					
29. Cerner Corp.	A	Dividend	J	T	Buy	02/13/13	J		
30. Chevron common	A	Dividend	J	T					
31. CVS Caremark common	A	Dividend	J	T	Sold (part)	08/08/13	J	C	
32. Same	A	Dividend	J	T					
33. Diageo ADR	A	Dividend	J	T					
34. Dodge & Cox Intl Stock Fund	A	Dividend	J	T					

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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)

35. DoubleLine Total Return Bond Fund	C	Dividend	L	T	Buy	05/22/13	L		
36. Same	A	Dividend	J	T	Buy	01/17/13	J		
37.					Buy (add'l)	09/03/13	J		
38. Dover Corp. common	A	Dividend	J	T					
39.	A	Dividend	J	T					
40.	A	Dividend	J	T					
41. Dreyfus Cash Mgmt Fund	A	Interest	K	T					
42. Same	A	Interest	K	T					
43. Same	A	Interest	K	T					
44. Dreyfus Intl Bond Fund	A	Dividend	J	T					
45. Driehaus Active Income Fund	A	Dividend	J	T	Buy	09/03/13	J		
46. Eaton Vance Structured Emerging Markets Fund	A	Dividend	J	T	Buy (add'l)	09/03/13	J		
47. Enterprise Bank & Trust Co. common	C	Dividend	M	T					
48. Same	A	Dividend	K	T					
49. EMC Corp. common	A	Dividend	J	T					
50. EQT Corp. common	A	Dividend			Sold	02/13/13	J	C	
51. Equity Residential SBI	A	Dividend	J	T					

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52. Same	A	Dividend	J	T					
53. Same	A	Dividend	J	T					
54. Exxon Mobile common	A	Dividend	K	T					
55. Same	A	Dividend	J	T	Buy	02/13/13	J		
56.					Sold (part)	08/19/13	J		
57. Fidelity Inst Money Market fund	A	Interest	J	T					
58. Same	A	Interest	J	T					
59. Franklin Int'l Small Cap Growth Fund	A	Dividend	J	T	Buy	08/08/13	J		
60. Guggenheim S&P Global Water ETF	A	Dividend	J	T	Buy	08/13/13	J		
61. Same	A	Dividend	J	T	Buy	04/23/13	J		
62. Highland Long/Short Equity Fund	A	Dividend	J	T	Buy	08/08/13	J		
63. Same	A	Dividend	J	T	Buy	02/13/13	J		
64. IBM common	A	Dividend	J	T					
65. Same	A	Dividend	J	T	Sold (part)	08/19/13	J	B	
66. iShares Barclays 1-3 yr Treas Bond Fund	A	Dividend			Sold	08/19/13	L	B	
67. iShares Barclays 1-3 yr Credit Bond Fund	A	Dividend	J	T					
68. Same	A	Dividend	K	T					

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69. iShaars Core S&P 500 ETF	A	Dividend	J	T	Buy	08/19/13	J		
70. iShares Nasdaq Biotech Fund	A	Dividend	J	T					
71. Same	A	Dividend	J	T	Sold (part)	08/19/13	J	B	
72. JOHCM Intl Select Fund	A	Dividend	J	T	Buy	07/10/13	J		
73.					Buy (add'l)	09/03/13	J		
74. Johnson & Johnson common	A	Dividend	J	T					
75. JP Morgan Mtge-Backed Securities Fund		None			Sold	01/17/13	J		
76. Loomis Sayles Investment Grade Bond Fund	A	Dividend	J	T	Sold (part)	09/03/13	J		
77. Mainstay Marketfield Fund	A	Dividend	J	T	Buy	08/08/13	J		
78.	A	Dividend	J	T	Buy	08/14/13	J		
79.	A	Dividend	J	T	Buy	08/19/13	J		
80. Manulife Financial common	A	Dividend	K	T					
81. Matthews Asian Growth fund	A	Dividend	J	T					
82. Matthews Pacific Tiger fund	A	Dividend	J	T					
83. Same	A	Dividend	J	T	Buy (add'l)	08/08/13	J		
84. Merger Fund		None			Sold	02/11/13	J		
85. Same	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
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86. Same	A	Dividend	J	T					
87. Mettler-Toledo Intl. common		None	J	T					
88. MFS Value Fund	A	Dividend	J	T	Sold (part)	09/03/13	J	A	
89. Microsoft common	A	Dividend	J	T					
90. Same	A	Dividend	J	T					
91. National Oilwell Varco	A	Dividend	J	T	Buy	08/13/13	J		
92. Novartis AG spnsrd ADR		None			Sold	02/13/13	J	A	
93. Same		None			Sold	02/13/13	J	B	
94. Novo-Nordisk ADR	A	Dividend	J	T	Buy	02/13/13	J		
95. Pepsico common	A	Dividend	J	T					
96. PIMCO Commodity Real Return Fund	A	Dividend	J	T	Buy (add'l)	09/03/13	J		
97. PIMCO Enhanced Short Maturity ETF		None	K	T	Buy	08/08/13	K		
98. Same		None	K	T	Buy	08/19/13	K		
99. PIMCO Total Return Fund	A	Dividend			Buy	05/22/13	L		
100.					Sold (part)	08/01/13	K		
101.					Sold	08/15/13	L		
102. Same	A	Dividend			Sold	09/03/13	J		

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103. Praxair, Inc. common	A	Dividend	J	T	Sold (part)	08/08/13	J	C	
104. Same	A	Dividend	J	T					
105. Princeton Futures Strategy Fund I		None			Sold	08/14/13	J		
106. Procter & Gamble common	A	Dividend	J	T					
107. Same	A	Dividend	J	T					
108. Qualcomm common	A	Dividend	J	T	Buy	04/23/13	J		
109. Same	A	Dividend	J	T	Buy	04/23/13	J		
110. Questar common	A	Dividend	J	T					
111. Raytheon common	A	Dividend	L	T					
112. Raytheon options		None	K	T					
113. Raytheon Savings and Investment Plan	D	Int./Div.	N	T					
114. --Raytheon Stock Fund									
115. --Real Estate Securities Fund									
116. --NT Aggregate Bond Index Fund									
117. --PIMCO Total Return Inst									
118. --Fidelity Inst Money Mkt									
119. RidgeWorth Floating Rate High Income Fund	B	Dividend	L	T	Buy	05/22/13	L		

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☐ 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)	08/02/13	K		
121. Same	A	Dividend	J	T	Buy	09/03/13	J		
122. Royal Dutch Shell plc spnsrd ADR	A	Dividend	J	T					
123. Schwab Advisor Cash Reserve Fund	A	Interest	L	T					
124. SPDR Gold Trust		None	J	T	Buy (add'l)	08/08/13	J		
125. Same		None	J	T					
126. Same		None	J	T	Buy (add'l)	02/13/13	J		
127. Stericycle, Inc. common		None	J	T					
128. Same		None	J	T					
129. Templeton Global Bond Fund	B	Dividend	K	T					
130. Same	B	Dividend	K	T					
131. Same	B	Dividend	K	T					
132. Thermo Fisher common	A	Dividend	J	T					
133. Same	A	Dividend	J	T					
134. Thomas White Intl Fund	A	Dividend	J	T					
135. Same	A	Dividend	J	T					
136. Same	A	Dividend	J	T	Buy	02/13/13	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	

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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. Thornburg Intl Value Fund	A	Dividend	K	T					
138. Same	A	Dividend	J	T					
139. Same	A	Dividend	J	T					
140. Same	A	Dividend			Sold	07/10/13	J		
141. Tortoise Energy Infrastructure Corp.	A	Dividend	J	T					
142. Same	A	Dividend	J	T					
143. Same	A	Dividend	J	T					
144. Tortoise MLP Fund	A	Dividend	J	T					
145.	A	Dividend	J	T	Buy (add'l)	02/13/13	J		
146.	A	Dividend	J	T					
147. T Rowe Price High Yield Fund	B	Dividend	L	T	Buy	05/22/13	K		
148.					Buy (add'l)	08/02/13	K		
149. Same	A	Dividend	J	T	Buy	09/03/13	J		
150. Union Pacific common	A	Dividend	J	T					
151. Same	A	Dividend	J	T					
152. Same	A	Dividend	J	T					
153. Vanguard Emerging Mkts. Index Fund	A	Dividend	J	T	Buy (add'l)	08/08/13	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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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)
154. Same	A	Dividend	J	T	Buy (add'l)	08/13/13	J		
155. Same	A	Dividend	J	T	Buy (add'l)	08/19/13	J		
156. Vanguard GNMA Fund	A	Dividend			Sold	04/02/13	K	A	
157. Same	A	Dividend			Sold	06/12/13	J		
158. Same	A	Dividend			Sold	06/12/13	J		
159. Vanguard Growth Index Fund	A	Dividend	K	T	Buy	09/06/13	K		
160. Same	A	Dividend	J	T	Sold (part)	09/03/13	J	A	
161. Vanguard Ltd Term Tax Exempt Fund	A	Dividend	K	T					
162. Vanguard Short-Term Inv Grade Fund	A	Dividend	J	T					
163. Same	A	Dividend	K	T					
164. Same	A	Dividend	K	T					
165. Vaughan Nelson Value Oppty Fund	A	Dividend	J	T					
166. Verizon Communications common	A	Dividend	J	T					
167. Same	A	Dividend	J	T					
168. Vulcan Value Partners Small Cap Fund	A	Dividend	J	T	Buy	08/14/13	J		
169. Wal-Mart common		None			Sold	02/13/13	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	

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

1. The trust identified in Part I is a [REDACTED] trust. All the assets held in the trust are reported individually in Part VII but are not specifically identified in that Part to the trust.
2. General comment regarding reporting in Part VII: As in past years, most of the assets reported are held in separate accounts managed by investment advisers. (In prior years, we had one adviser. Beginning in February 2012, we opened a fourth account managed by a different adviser, and in 2013 we opened two additional accounts with that second adviser). For convenience in tracking year-to-year changes, the assets are reported by reference to the separate accounts, resulting in some cases in multiple reports for the same identified asset because the asset is held in more than one account. The designation "Same" is used to indicate a separate account. If there were multiple transactions within the same account during the year, the designation "Same" is used for the first, but not subsequent transactions within that account, reported on succeeding lines.

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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/* George A. O'Toole

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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