

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 05/04/2019
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 01/01/2018 to 12/31/2018
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.	Fellow	American Bar Association
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.)*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. 2018

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. _____

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
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. 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	L	T					
5. Vodafone Airtouch PLC	A	Dividend	J	T					
6. Israeli Bonds	A	Dividend	J	T					
7. AT&T stock	A	Dividend	J	T					
8. Mass. ST CONS LN	B	Interest	L	T					
9. Needham Bank Acct	A	Interest	L	T					
10. Phoenix Concierge Acct	A	Interest	K	T					
11. First Eagle Global Fund Class A M/F	A	Dividend	L	T					
12. IVA Worldwide Fund Class C M/F	A	Int./Div.	J	T					
13. Nuveen Limited Term Mun Bond Fund Class C M/F	A	Interest	K	T					
14. Thornburg Ltd Term Mun. Fund Class C M/ F	B	Interest	M	T					
15. Western Asset Managed Municipals Fund Class I	D	Dividend	M	T					
16. Clearbridge Dividend Strategy Fund Class C	A	Interest	K	T					
17. Thornburg Investment Income Builder Fund Class C M/F	A	Interest	K	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 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 (See Column C2)	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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18. Thornburg Limited Term Municipal Fund Class A	B	Interest	K	T					
19. UBS Bank USA Dep. Acct (various)	A	Interest	M	T					
20. Carillon Eagle Growth & Income Fund Class C	A	Dividend	K	T					
21. Pioneer Fundamental Growth Class Y	A	Dividend	K	T	Sold (part)	06/19/18	J		
22. Pioneer Fundamental Growth Class Y	A	Dividend	K	T	Sold (part)	06/19/18	J		
23. Vanguard Total Intl BD Index Fund ETF	A	Dividend	K	T	Sold (part)	06/19/18	J		
24. Loomis Sayles Strategic Income Fund Class Y	A	Dividend	K	T	Buy (add'l)	06/19/18	J		
25. Loomis Sayles Strategic Income Fund Class Y	A	Dividend	K	T	Buy (add'l)	06/19/18	J		
26. Wisdomtree Trust SmallCap Dividend Fund	B	Dividend	K	T	Buy (add'l)	06/19/18	J		
27. Natixis Oakmark Intl Fund Class Y	A	Dividend	J	T	Sold (part)	06/19/18	J		
28. Natixis Oakmark Intl Fund Class Y	A	Dividend	J	T	Sold (part)	06/19/18	J		
29. Domini Impact Bond Fund Class Investor (exch. for Institutional)	A	Dividend	K	T	Sold (part)	02/16/18	J		
30.					Sold (part)	06/19/18	K		
31. Columbia Dividend Income Fund Class Institutional	A	Dividend	K	T	Sold (part)	06/19/18	J		
32. Columbia Dividend Income Fund Class Institutional	A	Dividend	K	T	Sold (part)	06/19/18	J		
33. Wisdomtree Small Cap Divid ETF	A	Dividend	K	T	Buy (add'l)	06/19/18	J		
34. Vanguard Total Bond Market ETF	B	Dividend	L	T	Buy (add'l)	06/19/18	J		

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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. Principal Global Multi Strategy Fund (Class INSTL)	A	Dividend			Sold	06/19/18	K		
36. Principal FDS Inc Global Diversified Income Fund C11	B	Dividend	K	T	Buy (add'l)	06/19/18	J		
37. Vanguard Total Bond Market ETF	B	Dividend	L	T	Buy (add'l)	06/19/18	J		
38. Principal Global Multi Strategy Fund (Class INSTL)	A	Dividend			Sold	06/19/18	K		
39. Build NYC Resource Corp Assur RV CR 5	C	Dividend	L	T					
40. Dunkirk NYC Sch Assur 2011 BE/R/4	A	Dividend	K	T					
41. Goldman Sachs Group Inc 05.500%	B	Dividend	K	T					
42. Morgan Stanley B/E 03.875%	A	Dividend	J	T					
43. Nassau Cnty NY Swr & St Ser A	B	Dividend			Redeemed	11/01/18	K		
44. NYC Trans FINA BE/R/5.5 (X)	A	Dividend			Redeemed	08/27/18	J		
45. NYC Transition SR E BE/R/4	A	Dividend	K	T					
46. Triborough Brdg & Tunn NY SR D (now Triborough Brdg & Tunnel RV PERF)	B	Dividend			Redeemed	11/15/18	K		
47. UBS Cash Account	A	Interest	L	T					
48. Vanguard Total Intl Bond ETF	A	Dividend	K	T	Sold (part)	06/19/18	J		
49. Dodge & Cox Stock Fund	D	Dividend	N	T					
50. Vanguard Institutional Index Fund	D	Dividend	N	T					
51. Loomis Sayles Core Plus Bond Y	D	Dividend	O	T					

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52. NY Life Ins Co Anchor Acct IV	C	Dividend	N	T					
53. Hartford Schroders Tax-Aware Bond Fund Class I	B	Dividend	M	T					
54. Invesco Municipal Income Fund Class Y	C	Dividend	M	T					
55. Natixis McDonnell Intermediate Municipal Bond Fund Class Y	B	Dividend	L	T					
56. Vanguard Short-term Tax-exempt Fund Admiral	A	Dividend	L	T					
57. Vanguard FTSE All World Ex-US ETF	A	Dividend	J	T	Sold (part)	06/19/18	J		
58. Vanguard S&P 500 Growth ETF	A	Dividend	K	T	Sold (part)	06/19/18	J		
59. Vanguard S&P 500 Value ETF	A	Dividend	K	T	Sold (part)	06/19/18	J		
60. Oppenheimer Steelpath MLP Select 40 Fund Y	C	Dividend	K	T	Buy (add'l)	06/19/18	J		
61. Dreyfus/Standish Global Fixed Income Fund Class I	B	Dividend			Sold	06/19/18	L		
62. Goldman Sachs Global Income Fund Institutional SH	A	Dividend			Sold	06/19/18	L		
63. SEI Intl Fixed Income Fund Class Y (SIT)	A	Dividend			Sold	06/19/18	K		
64. Western Asset Core Plus Bond Fund Class I	B	Dividend	L	T	Buy (add'l)	06/19/18	J		
65. Gateway Fund Class Y	A	Dividend			Sold	06/19/18	K		
66. Oppenheimer Fundamental Alternatives Fund Class Y	A	Dividend			Sold	06/19/18	K		
67. Vanguard FTSE All World Ex-US ETF	A	Dividend	J	T	Sold (part)	06/19/18	J		
68. Vanguard S&P 500 Growth ETF	A	Dividend	K	T	Sold (part)	06/19/18	J		

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69. Vanguard S&P 500 Value ETF	A	Dividend	K	T	Buy (add'l)	06/19/18	J		
70. Oppenheimer Steelpath MLP Select 40 Fund Y	C	Dividend	K	T	Buy (add'l)	06/19/18	K		
71. Dreyfus/Standish Global Fixed Income Fund Class I	B	Dividend			Sold	06/19/18	L		
72. Goldman Sachs Global Income Fund Inst. SH	A	Dividend			Sold	06/19/18	L		
73. SEI Intl Fixed Income Fund Class Y (SIT)	A	Dividend			Sold	06/19/18	K		
74. Western Asset Core Plus Bond Fund Class I	B	Dividend	L	T	Buy (add'l)	06/19/18	J		
75. Gateway Fund Class Y	A	Dividend			Sold	06/19/18	K		
76. Oppenheimer Fundamental Alternatives Fund Class Y	A	Dividend			Sold	06/19/18	K		
77. iShares MSCI KLD 400 Social ETF	A	Dividend	K	T	Sold (part)	06/19/18	K		
78. Powershares Global Clean Energy Portfolio ETF (now Invesco)	A	Dividend	K	T	Buy (add'l)	06/19/18	J		
79. Powershares Global Water Portfolio ETF (now Invesco)	A	Dividend	K	T	Buy (add'l)	06/19/18	J		
80. PAX Ellevest Global Women's Index Fund Class Institutional	A	Dividend	K	T	Buy (add'l)	06/19/18	J		
81. PAX Global Environmental Markets Fund Class Instl	A	Dividend	K	T	Buy (add'l)	06/19/18	J		
82. Calvert Bond Fund Class I	A	Dividend	K	T	Sold (part)	06/19/18	K		
83. Hartford Schroeders Tax Aware Bond Fund Class I	B	Dividend			Sold	06/19/18	L		
84. Invesco Municipal Income Fund Class Y	C	Dividend			Sold	06/19/18	L		
85. Natixis McDonnell Intermediate Mun Bond Fund Class Y	A	Dividend			Sold	06/19/18	K		

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86. Vanguard Shortie-Term Tax Exempt Admiral	A	Dividend			Sold	06/19/18	K		
87. Western Asset Managed Municipals Fund Class I	C	Dividend			Sold	06/19/18	L		
88. Dreyfus Equity Income Fund Class I	A	Dividend	K	T	Buy	06/19/18	K		
89. Dreyfus Int'l Bond Fund Class I	A	Dividend	K	T	Buy	06/19/18	K		
90. PGIM Global Total Return Class Z	C	Dividend	M	T	Buy	06/19/18	M		
91. PIMPCO Income Fund Class I2	A	Dividend	M	T	Buy	06/19/18	M		
92. UBS Select Prime Investor Fund	B	Dividend	L	T	Buy	06/21/18	L		
93. Dreyfus Equity Income Fund Class I	A	Dividend	K	T	Buy	06/19/18	K		
94. Dreyfus International Bond Fund Class I	A	Dividend	K	T	Buy	06/19/18	K		
95. PGIM Global Total Return Class Z	C	Dividend	L	T	Buy	06/19/18	L		
96. UBS Select Prime Investor Fund	B	Dividend	L	T	Buy	06/21/18	L		
97. Calvert Green Bond Fund Class I	A	Dividend	K	T	Buy	06/19/18	K		
98. Columbia Divident Income Fund Class Institutional	A	Dividend	K	T	Buy	06/19/18	K		
99. Delaware Smal Cap Core I	A	Dividend	K	T	Buy	06/19/18	K		
100. Dreyfus Equity Income Fund Class I	A	Dividend	K	T	Buy	06/19/18	K		
101. Natixis Oakmark International Fund Class Y	B	Dividend	K	T	Buy	06/19/18	K		
102. Vanguard FTSE All World EX-US ETF	B	Dividend	K	T	Buy	06/19/18	K		

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103. Vanguard S&P 500 Growth ETF	A	Dividend	K	T	Buy	06/19/18	K		
104. Vanguard S&P 500 Value ETF	A	Dividend	K	T	Buy	06/19/18	K		
105. Vanguard S&P Mid-Cap 400 ETF	A	Dividend	K	T	Buy	06/19/18	K		
106. Pioneer Pioneer Fundamental Growth Fund Class Y FBOID	A	Dividend	K	T	Buy	06/19/18	K		
107. T Rowe Price Blue Chip Growth Fund Inc.	A	Dividend	K	T	Buy	06/19/18	K		
108. Principal Goba Diversified Income Fund Class I	B	Dividend	K	T	Buy	06/19/18	K		
109. Dreyfus International Bond Fund CLI FBOID	A	Dividend			Buy	06/19/18	J		
110.					Sold	10/24/18	J		
111. PGIM Global Total Return Class Z	A	Dividend			Buy	06/19/18	J		
112.					Sold	10/24/18	J		
113. PIMPCO Income Fund Class I2	A	Dividend			Buy	06/19/18	J		
114.					Sold	10/24/18	J		
115. Vanguard Total Bond MKT ETF	A	Dividend			Buy	06/19/18	J		
116.					Sold	10/24/18	J		
117. Vanguard Total International Bond ETF	A	Dividend			Buy	06/19/18	J		
118.					Sold	10/24/18	J		
119. Western Asset Core Plus Bond Fund Class I	A	Dividend			Buy	06/19/18	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

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Name of Person Reporting

Dein, Judith G.

Date of Report

05/04/2019

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.					Sold	10/24/18	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	

Name of Person Reporting Dein, Judith G.	Date of Report 05/04/2019
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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.

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05/04/2019

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
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