

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) Robertson, Katherine A.	2. Court or Organization United States District Court for the District of Massachuset	3. Date of Report 08/02/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Full time Magistrate Judge	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 300 State Street Springfield, MA 01105		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Robertson, Katherine A.

Date of Report

08/02/2019

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. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Robertson, Katherine A.

Date of Report

08/02/2019

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Robertson, Katherine A.

Date of Report

08/02/2019

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)
1. + Common Stocks - Brokerage Account (H)									
2. TIAA Bank Brokerage Sweep (X)	A	Interest	M	T	Open	01/02/18	J		
3. -Adient PLC, ordinary shs	A	Dividend	J	T					
4. -Brookfield Pty Partners L P Unit LP (X)	A	Distribution	J	T	Spinoff (from line 36)	08/30/18	J		
5. -Johnson Controls Intl, PLC, ordinary shs	A	Dividend	K	T					
6. -AFLAC common	B	Dividend	L	T					
7. -AT&T common	C	Dividend	L	T					
8. -Avery Dennison, common	A	Dividend	J	T					
9. -Century Link, common	A	Dividend	J	T					
10. -Chevron, common	B	Dividend	K	T					
11. -Colgate-Palmolive, common	B	Dividend	K	T					
12. -Diebold Nixdorf, common	A	Dividend	J	T					
13. -EMC Insurance Group, common	A	Dividend	J	T					
14. -Emerson, common	A	Dividend	J	T					
15. -ExxonMobil, common	D	Dividend	M	T					
16. -H.B. Fuller, common	A	Dividend	K	T					
17. -HSBC Holdings, common	A	Dividend	J	T					

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Robertson, Katherine A.

Date of Report

08/02/2019

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)

18. -Howard Hughes, common		None	J	T					
19. -Intel, common	A	Dividend	K	T					
20. -Invacare, common	A	Dividend	J	T					
21. -Koninklijke Ahold Delhaize N.V. (New), shs	A	Dividend	J	T					
22. -Modine Mfg Co common		None	J	T					
23. -Monsato, common	A	Dividend			Sold	06/07/18	K	E	
24. -Motorola Solutions, common	A	Dividend	J	T					
25. -Pepsico, common	B	Dividend	K	T					
26. -Pfizer, common	A	Dividend	K	T					
27. -PolyOne, common	A	Dividend	J	T					
28. -Quanex Building Products, common	A	Dividend	J	T					
29. -Ryder, common	A	Dividend	J	T					
30. -Southern Co, common	A	Dividend	J	T					
31. -TD Bank, common	A	Dividend	J	T					
32. -Verizon, common	A	Dividend	J	T					
33. -Wells Fargo, common	B	Dividend	K	T					
34. -Whirlpool, common	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
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 10

Name of Person Reporting

Robertson, Katherine A.

Date of Report

08/02/2019

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)

35. -Camden Property Trust, common	A	Distribution	J	T					
36. -General Growth Properties, common	C	Distribution			Sold	08/30/18	J		
37. -UDR, common	A	Distribution	J	T					
38. TIAA-CREF Funds (H)									
39. -TIAA-CREF International Equity Fund	B	Distribution	L	T					
40. -TIAA-CREF Money Market Fund	B	Dividend	N	T					
41. -TIAA-CREF Growth & Income Fund	B	Distribution	L	T					
42. -TIAA-CREF Large-Cap Growth Fund	C	Distribution	L	T					
43. -TIAA-CREF Bond Plus Fund	B	Interest	K	T					
44. -TIAA Bank - Yield Pledge Checking (X)	A	Interest	J	T	Open	12/19/18	J		
45. -TIAA Bank - Yield Pledge Money Market (X)	A	Interest	K	T	Open	12/19/18	K		
46. US Savings Bonds, EE	A	Interest	J	T					
47. MTL Insurance Co-life Ins \$1,000 face, 57 yr pay in, 'whole life'	A	Dividend	J	T					
48. TD Bank, account	A	Interest	N	T					
49. Check held personal possession proceeds exempt transaction		None			Closed	01/03/18	M		
50. Undeveloped Land-Conway, MA - parcel 3, 6 acres, value \$32,823		None	K	S					
51. Undeveloped Land - Conway, MA - parcel 4, 3 acres, value \$79,020		None	L	S					

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 10

Name of Person Reporting

Robertson, Katherine A.

Date of Report

08/02/2019

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)

52. Retirement Accounts Bill (H)									
53. -CREF Stock Fund - R2 - employer contribution		None	P1	T	Sold (part)	01/16/18	J		
54.					Sold (part)	02/15/18	J		
55.					Sold (part)	03/16/18	J		
56.					Sold (part)	04/16/18	J		
57.					Sold (part)	05/15/18	J		
58.					Sold (part)	05/24/18	K		
59. -CREF Stock Fund - R2 - annuity		None	O	T	Sold (part)	01/16/18	J		
60.					Sold (part)	02/16/18	J		
61.					Sold (part)	03/16/18	J		
62.					Sold (part)	04/16/18	J		
63.					Sold (part)	05/15/18	J		
64.					Sold (part)	05/24/18	K		
65. -CREF Stock Fund R1		None	M	T	Sold (part)	05/24/18	J		
66. -CREF Growth Fund - R1		None	K	T					
67. -CREF Equity Index Fund - R1		None	K	T					
68. -CREF Global Equities Fund - R1		None	K	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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	L = \$50,001 - \$100,000 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 10

Name of Person Reporting

Robertson, Katherine A.

Date of Report

08/02/2019

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)
69. -TIAA Real Estate Fund		None	L	T	Sold (part)	05/24/18	J		
70. -CREF Bond Market Fund - R1		None	K	T					
71. -TIAA-CREF, Teachers Personal Annuity		None	L	T					
72. Retirement Accounts Katy (H)									
73. -TIAA Traditional Annuity		None	J	T					
74. -TIAA Traditional Annuity		None	K	T					
75. -CREF Stock Fund - R3		None	K	T					
76. -CREF Stock Fund - R2		None	L	T					
77. -CREF Stock Fund - R1		None	L	T					
78. -SMART Capital Preservation Fund		None	L	T					
79. -MM S&P 500 Index (Northern Trst)		None	P1	T					
80.									

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 10

Name of Person Reporting

Robertson, Katherine A.

Date of Report

08/02/2019

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

Part VII, Line 2. TIAA Bank Brokerage Sweep was opened 12/08/17, but did not begin having transactions until 01/02/18

Part VII Lines 49, 50, 51. During 2016 we moved into a new home and placed our old home on the market. Not finding a buyer of the entire home parcel, we then separated the contiguous property into four separate units for sale. Parcel 1 included our old home, parcels 2, 3 and 4 were offered as undeveloped lots. The undeveloped lots were added to the schedule in 2017 due to their now being separated from our home parcel, a non-reportable investment. During 2017, parcel 1, containing our old home, was sold on 12/31/2017. The proceeds of this transaction (nonreportable) in the form of a check payable to us dated 12/31/2017 was not deposited into our bank account until 01/02/2018, thus line 49. Parcel 2 sold earlier in 2017 and was reported on the 2017 report. Assessment values for lines 50 and 51 are the values from the real estate bills sent by the town of Conway, Massachusetts. Massachusetts law requires use of current market values for real estate tax assessment purposes.

Part VII lines 52 to 69. "None" is entered for income for these retirement funds. The fund managers do not provide income information, just the market values.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Robertson, Katherine A.

Date of Report

08/02/2019

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/ **Katherine A. Robertson**

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