

UNITED STATES DISTRICT COURT
DISTRICT OF MASSACHUSETTS
1 COURTHOUSE WAY
SUITE 3110
BOSTON, MASSACHUSETTS 02210

NATHANIEL M. GORTON
DISTRICT JUDGE

July 3, 2007

Judge Ortrie D. Smith, Chair
Committee on Financial Disclosure
Judicial Conference of the United States
One Columbus Circle, N.E.
Washington, D.C. 20544

RECEIVED
2007 JUL -8 A 11:01
FINANCIAL
DISCLOSURE OFFICE

Re: Calendar Year 2006 Filing

Dear Judge Smith:

This is to respond to your letter of June 26, 2007 requesting more information concerning my 2006 Financial Disclosure Report dated May 1, 2007.

You have referred me to a listing of "Western Union Co." in Part VII, page 9, line 98. I believe you intended to refer to Part VII, page 9, line 78, which indicates that I sold Western Union Co. stock on November 3, 2006 with a gain of less than \$1,000. The stock was not previously listed by me because Western Union Co. was a "spin-off" from First Data Corporation which is, and has been, listed on my "Attachment #2" for several years. The spin-off occurred on September 20, 2006 and the small amount of Western Union Co. stock received was sold shortly thereafter.

Pursuant to the request in the last paragraph of your letter, I enclose two additional copies of this letter for your use. I trust my report for calendar year 2006 is now in compliance with the instructions and your request for additional information. Please call me at 617-748-9247, if you have any questions.

Very truly yours,


Nathaniel M. Gorton

NMG/seh
Enclosures

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2006

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) Gorton, Nathaniel M	2. Court or Organization District Court - Massachusetts	3. Date of Report 05/01/2007
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 01/01/2006 to 12/31/2006
7. Chambers or Office Address United States District Court 1 Courthouse Way, Suite 3110 Boston, MA 02210	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of instructions.)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. See Attachment #1
- 2.
- 3.
- 4.
- 5.

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

- 1.
- 2.
- 3.

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of 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. June 30	Slade Gorton & Co., Inc., (closely held seafood business) corporate clerk/secretary, director, custodian, trustee and accounting duties	\$ 10,000.00
2.		
3.		
4.		
5.		

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.	
5.	

IV. REIMBURSEMENTS – *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)*☐ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>
1. New York Intellectual Property Lawyers Association	reimbursement for lodging and travel by train from Boston to NYC to attend annual N.Y.I.P.L.A. dinner 3/24/06 at Waldorf Astoria
2.	
3.	
4.	

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5. _____

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V. GIFTS. *(Includes those to spouse and dependent children. See pp. 28-31 of 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 instructions.)*☒ NONE *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

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Name of Person Reporting

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Rocky Bay Trust (a MA business trust) (common stock)	E		O	Q					See Section VIII
2. Fidelity Cash Reserves (individual)	A	Dividend	J	T					
3. Fidelity Money Market Accounts (POA, trustee)(Att#1, ¶4)	D	Dividend	M	T					
4. Charitable Remainder Trust	E	div., int.							See Section VIII
5. MBIA, Inc					sell	2/13	K	D	
6. Illinois Tool Works, Inc.					buy	2/16	J		
7. United Technologies Corp					buy	2/16	J		
8. Citigroup, Inc.					buy	5/2	J		
9. Citigroup, Inc.					sell	5/17	J		
10. Peabody Energy Corp.					buy	11/22	J		
11. Newmont Mng. Corp.					buy	12/5	J		
12. Illinois Tool Works, Inc.					sell	12/27	J	A	
13. Medtronic, Inc.					sell	12/27	J	C	
14. Microsoft Corp					sell	12/27	J	C	
15. Brinker International, Inc.					sell	12/27	J	B	
16. First Data Corp.					sell	12/27	J	D	
17. 3M Co.					sell	12/27	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 Q = Appraisal U = Book Value	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000 R = Cost (Real Estate Only) V = Other	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 S = Assessment W = Estimated	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000 T = Cash Market	E = \$15,001 - \$50,000
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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of the 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				
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18. I Shares, Inc. MSCI PAC J IDX					buy	12/27	K		
19. Boston Financial Management, Inc. IRA		None	P1	T					
20. MBIA, Inc.					sell	2/13	K	E	
21. Anheuser Busch					sell	2/15	J		
22. Bank New York, Inc.					buy	2/16	J		
23. Illinois Tool Works, Inc.					buy	2/16	K		
24. United Health Group, Inc.					buy	2/16	J		
25. United Parcel Service, Inc. CL B					buy	2/17	J		
26. Apple Computer, Inc.					buy	4/12	K		
27. Wm. Wrigley Jr. Co.					sell	5/9	J		
28. Intel Corp.					sell	8/3	J		
29. Aflac, Inc.					buy	8/3	J		
30. Kimberly Clark Corp.					sell	8/18	K	C	
31. Staples, Inc.					sell	8/18	J	B	
32. Walgreen Company					buy	8/18	J		
33. Eaton Vance Corp. Non Vtg					buy	8/18	J		
34. Federal Home Loan Bank					buy	9/27	K		

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 R = Cost (Real Estate Only) V = Other	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 S = Assessment W = Estimated	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000 T = Cash Market	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of the 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				
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35. Federal Home Loan Bank					sell	9/28	K	A	
36. Intel Corp.					sell	10/18	K		
37. Torchmark Corp.					buy	10/18	J		
38. Wells Fargo & Co. New					buy	10/18	J		
39. United Parcel Service, Inc. CL B					buy	10/18	J		
40. Raytheon Co.					buy	10/18	J		
41. U.S. Treasury Note					sell	11/15	K		
42. Federal Home Loan Mtg.					buy	11/15	L		
43. Kimberly Clark Corp.					sell	11/22	K	D	
44. Peabody Energy Corp.					buy	11/22	K		
45. Newmont Mng Corp.					buy	12/5	J		
46. Colgate Palmolive Co.					sell	12/27	K	D	
47. Illinois Tool Works, Inc.					sell	12/27	K	A	
48. Medtronic, Inc.					sell	12/27	K	E	
49. Microsoft Corp.					sell	12/27	K	E	
50. Brinker International Inc.					sell	12/27	K	D	
51. 3M Co.					sell	12/27	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	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	
3. Value Method Codes (See Column C2)	P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market	

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52. I Shares Tr S&P Small Cap600					buy	12/27	K		
53. I Shares Inc. MSCI PAC J IDX					buy	12/27	K		
54. I Shares Tr MSCI Emerg Mkt					buy	12/27	L		
55. Boston Financial Management, Inc. revocable trust	C	div.&int.	M	T					See Section VIII
56. U. S. Treasury Bill					sell	1/26	L		
57. U. S. Treasury Bill					buy	2/1	K		
58. MBIA, Inc.					sell	2/13	J	A	
59. Anheuser Busch					sell	2/15	J		
60. U. S. Treasury Bill					sell	2/16	L		
61. U. S. Treasury Bill					buy	2/27	L		
62. U. S. Treasury Bill					sell	3/28	K	A	
63. U. S. Treasury Bill					sell	4/27	K		
64. U. S. Treasury Bill					sell	5/4	K		
65. Diagnostic Products Corp.					sell	5/15	J	A	
66. U. S. Treasury Bill					sell	5/18	K		
67. U. S. Treasury Bill					sell	5/25	L		
68. Emerson Electric Co.					sell	8/1	J	B	

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 R = Cost (Real Estate Only) V = Other	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 S = Assessment W = Estimated	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000 T = Cash Market	E = \$15,001 - \$50,000
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3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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69. Kimberly Clark Corp.					sell	8/1	J	D	
70. Medtronic Inc.					sell	8/1	J	B	
71. Biomet, Inc.					sell	8/1	J		
72. Automatic Data Processing					sell	11/3	J	C	
73. Emerson Electric Co.					sell	11/3	J	B	
74. Medtronic, Inc.					sell	11/3	J	B	
75. Procter & Gamble Company					sell	11/3	J	C	
76. Sysco Corp					sell	11/3	J	C	
77. Microsoft Corp.					sell	11/3	J	C	
78. Western Union Co.					sell	11/3	J	A	
79. First Data Corp.					sell	11/3	J	A	
80. Fifth Third Bancorp					sell	11/22	J	A	
81. Peabody Energy Corp.					buy	11/22	J		
82. Newmont Mng Corp.					buy	12/5	J		
83. Dell, Inc.					sell	12/27	J		
84. I Shares TR S&P Small CAP600					buy	12/27	J		
85. Boston Financial Management, Inc.	D	Int./Div.	M	T					See Section VIII

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3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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revocable trust									
86. MBIA, Inc.					sell	2/13	J	C	
87. Anheuser Busch					sell	2/15	J		
88. Torchmark Corp.					buy	2/15	J		
89. Illinois Tool Works, Inc.					buy	2/16	J		
90. United Parcel Svc Inc. CL B					buy	2/17	J		
91. Federal Home Loan Bank					sell	3/6	J		
92. Federal Home Loan Bank					buy	3/9	J		
93. Citigroup, Inc.					buy	5/2	J		
94. Diagnostic Products Corp					sell	5/15	J	B	
95. Citigroup Inc.					sell	5/17	J		
96. Sysco Corp.					sell	7/27	J	A	
97. Biomet, Inc.					sell	7/27	J		
98. First Data Corp.					sell	7/27	J	B	
99. Johnson & Johnson					sell	8/1	J	A	
100. Pepsico Inc.					sell	8/1	J	B	
101. First Data Corp.					sell	8/1	J	A	

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102. Biomet Inc.					sell	8/2	J		
103. Automatic Data Processing					sell	11/3	J	B	
104. Sysco Corp					sell	11/3	J	B	
105. United Technologies Corp.					sell	11/3	J	A	
106. Kimberly Clark Corp.					sell	11/22	J	B	
107. Peabody Energy Crop.					buy	11/22	J		
108. Newmont Mng Corp					buy	12/5	J		
109. Colgate Palmolive Co.					sell	12/27	J	C	
110. Illinois Tool Works Inc.					sell	12/27	J	A	
111. I Shares Tr S&P Small CAP600					buy	12/27	J		
112. Bank of America (successor of Fleet)	A	Interest	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	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	
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05/01/2007

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

Line 1 - Rocky Bay Trust, a Massachusetts Business Trust, of which the reporting party is a shareholder, owns all of the stock of Slade Gorton & Co., Inc., a Massachusetts corp. ("the Company"). Income reported in Section VII by virtue of common stock holdings of the reporting party in Rocky Bay Trust is attributable to his pro rata share of the income of the Company which is taxed as an S corporation whereby all corporate income is deemed passed through and taxable to the individual stockholders of the Trust whether or not such income is, in fact, distributed. The value of the stock holdings is appraised beinnially by a certified financial analyst.

Line 4 - In 1997 the reporting party and [REDACTED] funded a charitable remainder trust of which they are the income beneficiaries for life but in which they retain no right to principal.

Lines 4, 19, 55 and 85 - The assets listed on these lines (and the transactions noted in the lines that follow) are managed by Boston Financial Management, Inc., Boston, MA and consist of stocks and bonds in publicly held companies and equity holdings based on indices listed in Attachment #2.

FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

Gorton, Nathaniel M

Date of Report

05/01/2007

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

Date

May 7, 2007

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544

Financial Disclosure Report
Nathaniel M. Gorton
May 1, 2007
Attachment #1

I. Positions

<u>Position</u>	<u>Name of Organization/Entity</u>
1. Shareholder, Clerk/Secretary and Director	Rocky Bay Trust, a MA Business Trust, which owns all of the Stock of Slade Gorton & Co., Inc.. Boston, MA (closely held [REDACTED] seafood business)
2. Clerk and Director	Cambridge Animal Aid, Inc. Floral City, FL (non-profit animal aid organization operated by reporting party's [REDACTED])
3. Member of the Corporation	The New England Home for Little Wanderers, Boston, MA (non-profit, private child welfare agency)

NOTE: None of the beneficiaries of the following trusts and accounts of which the reporting party is a trustee (or holds a power of attorney) is a dependent of the reporting party and neither the reporting party nor his spouse has any beneficial interest in or control over the disposition of assets of such trusts and accounts.

4. Power of Attorney/Trustee	Fidelity money market accounts (for all shareholders of Rocky Bay Trust, all of whom are [REDACTED] of reporting party)
5. Trustee	Irrevocable Trust (created in connection with the estate plan of the reporting party's [REDACTED])
6. Trustee	1989 Irrevocable Trust and Irrevocable Sub S Trust (both created in connection with the estate plan of reporting party's [REDACTED])

Financial Disclosure Report
Nathaniel M. Gorton
May 1, 2007
Attachment #2

All of the listed holdings are of common stock unless otherwise noted.

Abbott Labs	Honeywell Inc. (bond)
Aflac, Inc.	Johnson & Johnson
Amgen, Inc.	McCormick & Co., Inc.
American International Group, Inc.	Medtronic, Inc.
Anadarko Pete Co.	Microsoft Corp.
Apple Computer, Inc.	New York Telephone Co. (bond)
Automatic Data Processing, Inc.	Newmont Mining Co.
Bank of America Corp.	Omnicom Group
Bank New York, Inc.	Peabody Energy Corp.
Bear Stearns Co. (bond)	Pepsico, Inc.
Boston Scientific Corp.	Procter & Gamble Co.
B P Amoco PLC	Raytheon Co..
Brinker International, Inc.	RPM (Ohio), Inc.
Costco Wholesale Corp	Sigma Aldrich Corp.
CVS Corp.	Staples, Inc.
Devon Energy Corp.	Sysco Corp.
Eaton Vance Corp..	Torchmark Corp.
Emerson Electric Co. (stocks & bonds)	United Health Group, Inc.
Exxon-Mobil Corp.	United Parcel Service, Inc.
Federal Farm Credit Bank (bond)	United Technologies Corp.
Federal Home Loan Bank (bond)	Walgreen Co.
Fedex Corp.	Wells Fargo & Co. New
First Data Corporation	Western Union Co.
	William Wrigley Jr. Co.

Equity holdings based on indices:

- IShares, Inc. Morgan-Stanley Capital Int'l (MSCI) Pacific Rim ex-Japan Index
- IShares, Inc. MSCI Emerging Market Index
- IShares, Inc. S&P Small Capitalization 600 Index

Please note: State Street Corp. was listed on reporting party's Attachment #2 for 2006 by mistake; that stock had been sold during 2005. Also, MBNA Corp. was acquired by and merged into Bank of America Corp. during 2006.