

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2009Report 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 05/01/2010
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 01/01/2009 to 12/31/2009
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 filing instructions.)☐ **NONE** (No reportable positions.)POSITIONNAME OF ORGANIZATION/ENTITY

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

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)☒ **NONE** (No reportable agreements.)DATEPARTIES AND TERMS

1.	
2.	
3.	

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U.S. DISTRICT COURT

Gorton, Nathaniel M.

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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. June 30	Slade Gorton & Co., Inc., (closely held [REDACTED] seafood business) corporate clerk/secretary, director, custodian, trustee and accounting duties	\$10,000.00
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. New York Intellectual Property Lawyers Association				reimbursement for lodging and travel by train [REDACTED] from Boston to NYC to attend annual N.Y.I.P.L.A. dinner 3/27/09 at Waldorf Astoria
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. Slade Gorton & Co., Inc (a MA corporation) (common stock)	A		N	Q					See Section VIII
2. Fidelity Cash Reserves (individual)	A	Dividend	K	T					
3. Fidelity Money Market Accounts (POA, trustee)(Att#1, ¶4)	B	Dividend	M	T					
4. Charitable Remainder Trust	E	div., int.							See Section VIII
5. Coca Cola Co.					Buy	02/24/09	J		
6. Sysco Corp					Sold	02/24/09	J	C	
7. A T & T, Inc.					Buy	04/23/09	J		
8. United Technologies Corp.					Buy	08/04/09	J		
9. Target Corp.					Sold	08/04/09	J		
10. CVS Corp.					Sold	08/04/09	J	B	
11. Boston Financial Management, Inc. IRA		None	P1	T					
12. Wells Fargo & Co. New					Sold	02/25/09	J		
13. JPMorgan Chase & Co.					Sold	02/25/09	J		
14. Hewlett Packard Co.					Buy	03/02/09	K		
15. Avon Products					Buy	03/03/09	K		
16. Peabody Energy Corp.					Sold	03/06/09	J		
17. Financial Select Sector SPDR					Buy	04/07/09	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	
3. Value Method Codes (See Column C2)					

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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)
18. SPDR Gold Trust					Buy	04/21/09	J		
19. Avalonbay Communities, Inc.					Buy	05/04/09	J		
20. FPL Group, Inc.					Buy	06/16/09	J		
21. Apple Computer					Sold	07/15/09	J	D	
22. Walgreen Company					Sold	08/11/09	K		
23. American Express Co.					Buy	08/11/09	J		
24. Avalonbay Communities, Inc.					Buy (add'l)	08/11/09	J		
25. Teva Pharmaceutical Industries, Ltd.					Buy	08/11/09	K		
26. Devon Energy Corp.					Buy	08/11/09	K		
27. Caterpillar, Inc.					Sold	08/20/09	J		
28. Omnicom Group					Sold	10/07/09	J		
29. Apple Computer					Sold (part)	11/05/09	K	D	
30. American Express Co.					Sold	12/16/09	J		
31. Boston Financial Management, Inc. revocable trust	B	Int/Div.	L	T					See Section VIII
32. Bank of America Corp.					Sold	02/03/09	J		
33. Coca Cola Co.					Buy	02/24/09	J		
34. Sysco Corp.					Sold	02/24/09	J	B	

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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. Caterpillar, Inc.					Sold	03/05/09	J		
36. American Express Co.					Sold	03/05/09	J		
37. Peabody Energy Corp.					Sold	03/06/09	J		
38. Omnicom Group					Sold	05/18/09	J		
39. Chubb Corp.					Buy	08/18/09	J		
40. Boston Financial Management, Inc. revocable trust	A	Int/Div.	L	T					See Section VIII
41. Gilead Sciences					Sold	03/06/09	J		
42. Abbott Labs					Buy	08/04/09	J		
43. Teva Pharmaceutical Industries					Buy (add'l)	08/04/09	J		
44. Financial Select Sector SPDR					Buy (add'l)	08/18/09	J		
45. Bank of America	A	Interest	J	T					

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

Line 1 - During 2009 Rocky Bay Trust, a Massachusetts Business Trust, of which the reporting party was a shareholder, and which had owned all of the stock of Slade Gorton & Co., Inc., a Massachusetts corp. ("the Company") was dissolved and ownership of the Company reverted to its stockholders. The reporting party owns the same proportion of stock in the Company as he had owned shares of the Trust. Income of the reporting party reported in Section VII 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 whether or not such income is, in fact, distributed. The value of the stock holdings is appraised biennially by a certified financial analyst.

Line 4 - In 1997 the reporting party [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, 11, 31 and 40 - 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.

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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



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, 2010
Attachment #1

I. Positions

<u>Position</u>	<u>Name of Organization/Entity</u>
1. Stockholder, Clerk/Secretary and Director	Slade Gorton & Co., Inc., Boston, MA (closely held [REDACTED] seafood business) a MA corporation and successor of Rocky Bay Trust, a MA Business Trust, which formerly owned all of the stock of the Corporation
2. Clerk and Director	Cambridge Animal Aid, Inc. Floral City, FL (non-profit animal aid organization managed 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 [REDACTED] of the reporting party and neither the reporting party nor [REDACTED] 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 stockholders of Slade Gorton & Co., Inc., all of whom are [REDACTED] [REDACTED] [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, 2010
Attachment #2

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

Abbott Labs (stocks & bond)	IBM Int'l Group (bond)
Air Products & Chemicals, Inc.	Johnson & Johnson
American Express Co.	Lowes Companies, Inc.
Anadarko Pete Co.	National Rural Utilities (bond)
A T & T, Inc.	New York Telephone Co. (bond)
Automatic Data Processing, Inc.	Nike, Inc.
Avalonbay Communities, Inc.	Novo-Nordisk AS ADR-B
Avon Products, Inc. (bond)	Pepsico, Inc.
Chubb Corp.	Pitney Bowes, Inc. (bond)
Cisco Corp.	Powershares Global Water Portfolio
Citrix Systems, Inc.	Procter & Gamble Co.
Coca Cola Co.	RPM, Inc. (Ohio)
Costco Wholesale Corp.	Royce Fund Penn Mut Inv
CVS Corp.	SBC Communications, Inc. (bond)
Devon Energy Corp.	Sigma Aldrich Corp.
Dodge & Cox FDS Intl Stk Fund	SPDR Gold Trust
Eaton Vance Corp.	Staples, Inc.
Emerson Electric Co.	Stryker Corp.
Exelon Corp.	Target Corp.
Exxon-Mobile Corp.	Teva Pharmaceutical Industries, Ltd.
F P L Group, Inc.	United Technologies Corp.
Fedex Corp.	Vodafone Group, Inc.
Federal Home Loan Bank (bond)	Walgreen Company
Federal Home Loan Mortgage Corp. (bond)	WalMart Stores, Inc. (bond)
Financial Select Sector SPDR/ETF	Western Union Co.
Georgia Power Co. (bond)	
Google, Inc.	
Hewlett Packard Co. (bond)	

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. Russell 2000 Index
- IShares Tr EAFE Index