

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2019**

*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 08/06/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address 300 State Street Springfield, MA 01105		
IMPORTANT NOTES: <i>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>		

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.	

Name of Person Reporting	Date of Report
Robertson, Katherine A.	08/06/2020

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of filing instructions)

A. Filer's Non-Investment Income

[X] NONE (No reportable non-investment income.)

DATE	SOURCE AND TYPE	INCOME (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.)

DATE	SOURCE AND TYPE
1. Annual	Source: TIAA - Smith College Defined Contribution Retirement Plan Type: Required retirement distribution\
2. Annual	Source: TIAA - Smith College Tax Deferred Annuity Plan Type: Required retirement distribution
3. Annual	TIAA - Rollover IRA Type: Required retirement distribution
4.	

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.
(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)

[X] NONE (No reportable reimbursements.)

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Robertson, Katherine A.	08/06/2020

V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
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.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

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Name of Person Reporting

Robertson, Katherine A.

Date of Report

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. Common Stocks - Brokerage Account (H)									
2. -Liquid Insured Deposits (X)	A	Interest	M	T	Open	12/31/19	M		
3. -TIAA Bank Brokerage Sweep	A	Interest	M	T					
4. -Adient PLC, ordinary shs	A	Dividend			Sold	12/26/19	J		
5. -Brookfield Pty Partners L P Units LP	A	Distribution			Sold	12/26/19	J		
6. -Johnson Controls Intl, PLC, ordinary shs	A	Dividend			Sold	12/26/19	K		
7. -AFLAC connom	B	Dividend	L	T					
8. -AT&T common	C	Dividend	L	T					
9. -Avery Dennison, common	A	Dividend			Sold	12/26/19	J	D	
10. -Century Link, common	A	Dividend			Sold	12/26/19	J	A	
11. -Chevron, common	C	Dividend	K	T					
12. -Colgate-Palmolive, common	B	Dividend	K	T					
13. -Diebold Nixdorf, common	A	Dividend			Sold	12/26/19	J		
14. -EMC Insurance Group, common	A	Dividend			Redeemed	09/20/19	J	D	
15. -Emerson, common	A	Dividend			Sold	12/26/19	J	C	
16. -ExxonMobil, common	D	Dividend	M	T					
17. -H.B. Fuller, common	A	Dividend			Sold	12/26/19	K	E	

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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Name of Person Reporting

Robertson, Katherine A.

Date of Report

08/06/2020

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. -HSBC Holdings, common	A	Dividend			Sold	12/26/19	J		
19. -Howard Hughes, common		None			Sold	12/26/19	J	B	
20. -Intel, common	A	Dividend	K	T					
21. -Invacare, common	A	Dividend			Sold	12/26/19	J		
22. -Koninklijke Ahold Delhaize N.V. (New), shs	A	Dividend			Sold	12/26/19	J	C	
23. -Modine Mfg Co common		None			Sold	12/26/19	J		
24. -Motorola Solutions, common	A	Dividend			Sold	12/26/19	J	D	
25. -Pepsico, common	B	Dividend	K	T					
26. -Pfizer, common	A	Dividend			Sold	12/26/19	K	D	
27. -PolyOne, common	A	Dividend			Sold	12/26/19	J	D	
28. -Quanex Building Products, common	A	Dividend			Sold	12/26/19	J	A	
29. -Ryder, common	A	Dividend			Sold	12/26/19	J	B	
30. -Southern Co, common	A	Dividend			Sold	12/26/19	J	C	
31. -TD Bank, common	A	Dividend			Sold	12/26/19	J	C	
32. -Verizon, common	A	Dividend			Sold	12/26/19	J	C	
33. -Wells Fargo, common	B	Dividend	L	T					
34. -Whirlpool, common	A	Dividend			Sold	12/26/19	J	A	

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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Name of Person Reporting

Robertson, Katherine A.

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35. -Camden Property Trust, common	A	Distribution			Sold	12/26/19	J	C	
36. -UDR, common	A	Distribution			Sold	12/26/19	J	D	
37. TIAA-CREF Funds (H)									
38. -TIAA-CREF International Equity Fund	B	Dividend	L	T					
39. -TIAA-CREF Money Market Fund	D	Dividend	O	T					
40. -TIAA-CREF Growth & Income Fund	A	Distribution	L	T					
41. -TIAA-CREF Large-Cap Growth Fund	A	Distribution	M	T					
42. -TIAA-CREF Bond Plus Fund	B	Dividend	K	T					
43. -TIAA Bank - Yield Pledge Checking	A	Interest	J	T					
44. - TIAA Bank - Yield Pledge Money Market	A	Interest	K	T					
45. US Savings Bonds, EE	A	Interest	J	T					
46. MTL Insurance Co-life Ins \$1,000 face, 57 yr pay in, 'whole life'	A	Interest	J	T					
47. TD Bank, account	A	Interest	M	T					
48. Undeveloped Land-Conway, MA - parcel 3, 6 acres \$30,000		None			Donated				
49.		None			Sold	05/24/19	K	B	Steven and Jeanne Thomas
50. Undeveloped Land - Conway, MA - parcel 4, 3 acres \$100,000		None			Donated				
51.		None			Sold	05/24/19	K	D	John & Janet Maggs, Truste

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

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52. Reitirement Accounts I (H)									
53. -CREF Stock Fund - R2 - employer contribution		None	P1	T					
54.					Sold (part)	01/15/19	J		
55.					Sold (part)	02/15/19	J		
56.					Sold (part)	03/15/19	J		
57.					Sold (part)	04/15/19	J		
58.					Sold (part)	05/15/19	J		
59.					Sold (part)	06/17/19	J		
60.					Sold (part)	07/15/19	J		
61.					Sold (part)	08/15/19	J		
62.					Sold (part)	09/16/19	J		
63.					Sold (part)	10/15/19	J		
64.					Sold (part)	11/15/19	J		
65.					Sold (part)	12/16/19	J		
66. -CREF Stock Fund - R2 - Deferred Annuity		None	O	T					
67.					Sold (part)	01/15/19	J		
68.					Sold (part)	02/15/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
69.					Sold (part)	03/15/19	J		
70.					Sold (part)	04/15/19	J		
71.					Sold (part)	05/15/19	J		
72.					Sold (part)	06/17/19	J		
73.					Sold (part)	07/15/19	J		
74.					Sold (part)	08/15/19	J		
75.					Sold (part)	09/16/19	J		
76.					Sold (part)	10/15/19	J		
77.					Sold (part)	11/15/19	J		
78.					Sold (part)	12/16/19	J		
79. - Rollover IRA (H)									
80. - CREF Stock Fund R1		None	M	T					
81. -CREF Growth Fund - R1		None	K	T					
82. -CREF Equity Index Fund - R1		None	K	T					
83. -CREF Global Equities Fund - R1		None	K	T					
84. -TIAA Real Estate Fund		None	L	T					
85. -CREF Bond Market Fund - R1		None	K	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

Table with 2 columns: Name of Person Reporting, Date of Report. Row 1: Robertson, Katherine A., 08/06/2020

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.)

Table with 10 columns: A (Description of Assets), B (Income during reporting period), C (Gross value at end of reporting period), D (Transactions during reporting period), and sub-columns for each. Rows 86-98 list various assets like TIAA-CREF, Teachers Personal Annuity, Retirement Accounts II (H), etc.

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, P2=\$5,000,001 - \$25,000,000
(See Columns C1 and D3) N=\$250,001 - \$500,000, O=\$500,001 - \$1,000,000, P1=\$1,000,001 - \$5,000,000, P4=More than \$50,000,000
3 Value Method Codes Q=Appraisal, R=Cost (Real Estate Only), S=Assessment, T=Cash Market
(See Column C2) U=Book Value, V=Other, W=Estimated

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Name of Person Reporting

Robertson, Katherine A.

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

Financial Disclosure Reort: When installing the software for the 2020 report, calendar year 2019 data, the software updated the 2020 report by importing the 2017 amended data (2018 report), not the 2018 data (2019 report). Manually updated the data for the 2020 report to the 2019 datfa as a starting point.

Part VII lines 48 to 51. Two parcels of undeveloped land near our old home. Donated a conservation restriction on the properties to the Franklin Land Trust, Inc. and then sold the pracels to abutters. Appraisals as of 04/10/19: 3 acres \$100,000 and 6 acres \$\$30,000

Part VII lines 52 to 97. "None" is entered for income for these retirment funds. The fund managers do not provide income information, just the market value.

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Name of Person Reporting

Robertson, Katherine A.

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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/ **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