

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                        |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><br><br>Casper, Denise J.                                                                                                                    | <b>2. Court or Organization</b><br><br>U.S. District Court for District of MA                                                                                                                                                          | <b>3. Date of Report</b><br><br>05/06/2020                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>U.S. District Judge - active                                                  | <b>5a. Report Type (check appropriate type)</b><br><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final | <b>6. Reporting Period</b><br><br>01/01/2019<br>to<br>12/31/2019 |
|                                                                                                                                                                                                           | <b>5b.</b> <input type="checkbox"/> Amended Report                                                                                                                                                                                     |                                                                  |
| <b>7. Chambers or Office Address</b><br><br>U.S. Courthouse<br>1 Courthouse Way<br>Boston, MA 02210                                                                                                       |                                                                                                                                                                                                                                        |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                        |                                                                  |

## 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. Honorary Trustee | Big Sister Association of Greater Boston, Inc. |
| 2. Director         | The Steppingstone Foundation                   |
| 3. Fund Advisor     | Donor Advised Fund #1                          |
| 4. Director         | Brookline High School Innovation Fund          |
| 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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|                          |                |
|--------------------------|----------------|
| Name of Person Reporting | Date of Report |
| Casper, Denise J.        | 05/06/2020     |

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.)

| DATE | SOURCE AND TYPE | INCOME<br>(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.   |                 |
| 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.)

| SOURCE | DATES | LOCATION | PURPOSE | ITEMS 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.)

| 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

Casper, Denise J.

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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Bank of America Accounts                                                                                                | A                                      | Interest                                      | N                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. Ally Bank Accounts                                                                                                      | D                                      | Interest                                      | N                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 3.                                                                                                                         |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 4. Thermo Fisher Scientific Common Stock (TMO). See Notes.                                                                 | B                                      | Dividend                                      | O                                              | T                                         | Sold (part)                                     | 01/23/19                | P2                              | H2                             |                                                                   |
| 5.                                                                                                                         |                                        |                                               |                                                |                                           | Sold (part)                                     | 06/4/19                 | P2                              | H2                             |                                                                   |
| 6.                                                                                                                         |                                        |                                               |                                                |                                           | Donated (part)                                  |                         |                                 |                                |                                                                   |
| 7.                                                                                                                         |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 8. Thermo Fisher Scientific Stock Options. See Notes.                                                                      |                                        | None                                          | P1                                             | T                                         | Sold (part)                                     | 01/23/19                | P2                              | H2                             |                                                                   |
| 9.                                                                                                                         |                                        |                                               |                                                |                                           | Sold (part)                                     | 06/04/19                | P2                              | H2                             |                                                                   |
| 10.                                                                                                                        |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 11. Water Street Healthcare Partners limited partnership                                                                   | F                                      | Distribution                                  | J                                              | W                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. Water Street Healthcare Partners II limited partnership                                                                | E                                      | Distribution                                  | M                                              | W                                         |                                                 |                         |                                 |                                |                                                                   |
| 13.                                                                                                                        |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 14. TPG FOF VI-QP, LP                                                                                                      | E                                      | Distribution                                  | L                                              | W                                         |                                                 |                         |                                 |                                |                                                                   |
| 15. TPG FOF V-QP-AIV (Y)                                                                                                   |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 16.                                                                                                                        |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 17. Special Opportunities Fund III limited partnership                                                                     | D                                      | Distribution                                  | K                                              | W                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                 |                                                                                     |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|-------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                       | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$250,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                       | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

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Name of Person Reporting

Casper, Denise J.

Date of Report

05/06/2020

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. Special Opportunities Fund IV limited partnership                                                                      |                                        | None                                          | L                                              | W                                         |                                                 |                         |                                 |                                |                                                                   |
| 19.                                                                                                                        |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 20. Charlesbank Equity Coinvestment Fund VII, LP                                                                           | D                                      | Distribution                                  | L                                              | W                                         |                                                 |                         |                                 |                                |                                                                   |
| 21.                                                                                                                        |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 22. Trust (H)                                                                                                              |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 23. --Schwab Gov't Money Fund (SWGXX)                                                                                      | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 24. --Ishares MSCI ACWI ETF IV (ACWI)                                                                                      | C                                      | Dividend                                      | M                                              | T                                         | Buy                                             | 6/19/19                 | K                               |                                |                                                                   |
| 25. US Savings Bonds                                                                                                       | A                                      | Interest                                      | K                                              | W                                         |                                                 |                         |                                 |                                |                                                                   |
| 26.                                                                                                                        |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 27. IRA #1 (H)                                                                                                             |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 28. --United St Commodity ETF Index Fund (USCI)                                                                            |                                        | None                                          |                                                |                                           | Sold                                            | 8/7/2019                | K                               |                                |                                                                   |
| 29. --Schwab Gov't Money Fund (SWGXX)                                                                                      | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 30. --Doubleline Core Fixed Income Fund (DBLFX)                                                                            | E                                      | Dividend                                      | O                                              | T                                         | Buy                                             | 8/8/2019                | K                               |                                |                                                                   |
| 31.                                                                                                                        |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 32.                                                                                                                        |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 33. Charles Schwab Bank Account                                                                                            | E                                      | Interest                                      | P1                                             | T                                         | Open                                            | 02/26/19                | P1                              |                                |                                                                   |
| 34. Schwab Premier Bank Account                                                                                            | D                                      | Interest                                      | M                                              | T                                         | Open                                            | 02/26/19                | M                               |                                |                                                                   |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
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| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

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|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35. Charles Schwab Municipal Money (SWOXX)                                                                                 | G                                      | Dividend                               | P2                                             | T                                  | Buy                                       | 02/13/19         | P2                       |                         |                                                            |
| 36. Charles Schwab Money Market Accounts (SWGXX)                                                                           | E                                      | Dividend                               |                                                |                                    | Sold                                      | 02/25/19         | P2                       |                         |                                                            |
| 37. Ishares MSCI ACWI ETF IV (ACWI)                                                                                        | F                                      | Dividend                               | P1                                             | T                                  | Donated (part)                            |                  |                          |                         |                                                            |
| 38. United States Commodity (USCI)                                                                                         |                                        | None                                   |                                                |                                    | Sold                                      | 08/07/19         | N                        |                         |                                                            |
| 39. Vanguard Total World (VT)                                                                                              | A                                      | Dividend                               |                                                |                                    | Sold                                      | 03/26/19         | J                        |                         |                                                            |
| 40. AMG GW&K Muni BD FD Inst (GWMIX)                                                                                       | D                                      | Dividend                               | P2                                             | T                                  | Buy (add'l)                               | 03/22/19         | O                        |                         |                                                            |
| 41.                                                                                                                        |                                        |                                        |                                                |                                    | Buy (add'l)                               | 05/03/19         | N                        |                         |                                                            |
| 42.                                                                                                                        |                                        |                                        |                                                |                                    | Buy (add'l)                               | 08/08/19         | N                        |                         |                                                            |
| 43.                                                                                                                        |                                        |                                        |                                                |                                    | Buy (add'l)                               | 11/05/19         | M                        |                         |                                                            |
| 44. Doubleline Core Fixed (DBLFX)                                                                                          | F                                      | Dividend                               | P1                                             | T                                  | Buy (add'l)                               | 03/25/19         | P1                       |                         |                                                            |
| 45.                                                                                                                        |                                        |                                        |                                                |                                    | Buy (add'l)                               | 05/03/19         | M                        |                         |                                                            |
| 46.                                                                                                                        |                                        |                                        |                                                |                                    | Buy (add'l)                               | 08/08/19         | M                        |                         |                                                            |
| 47.                                                                                                                        |                                        |                                        |                                                |                                    | Buy (add'l)                               | 11/05/19         | M                        |                         |                                                            |
| 48. Schwab US Aggregate Bond (SWAGX)                                                                                       | D                                      | Dividend                               |                                                |                                    | Sold                                      | 03/22/19         | P1                       | F                       |                                                            |
| 49. Adara Smaller Companies f/k/a Altair Smaller Companies Fd Inst (ASCSZ)                                                 | F                                      | Dividend                               | P1                                             | T                                  | Buy (add'l)                               | 03/22/19         | M                        |                         |                                                            |
| 50.                                                                                                                        |                                        |                                        |                                                |                                    | Buy (add'l)                               | 05/03/19         | O                        |                         |                                                            |
| 51. Aquarius International (ASBSZ)                                                                                         | E                                      | Dividend                               | P1                                             | T                                  | Buy (add'l)                               | 03/22/19         | O                        |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
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| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

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|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 05/03/19                | O                               |                                |                                                                   |
| 53.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 08/08/19                | M                               |                                |                                                                   |
| 54. Boston Partners Long/Short Research Fund<br>(BPIRX)                                                                    | E                                      | Dividend                                      | P1                                             | T                                         | Buy<br>(add'l)                                  | 11/05/19                | N                               |                                |                                                                   |
| 55. FPA Crescent Fund Inst (FPACX)                                                                                         | F                                      | Dividend                                      | P1                                             | T                                         | Sold<br>(part)                                  | 11/04/19                | O                               |                                |                                                                   |
| 56. Principal Diversified (PDRDX)                                                                                          | E                                      | Dividend                                      | P1                                             | T                                         | Buy                                             | 08/08/19                | O                               |                                |                                                                   |
| 57.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 11/05/19                | N                               |                                |                                                                   |
| 58. Oakmark Select Fund Inst (OANLX)                                                                                       |                                        | None                                          |                                                |                                           | Buy<br>(add'l)                                  | 03/25/19                | M                               |                                |                                                                   |
| 59.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 11/04/19                | N                               | E                              |                                                                   |
| 60. Schwab Intl Index Fund (SWISX)                                                                                         | G                                      | Dividend                                      | P1                                             | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 61. Touchstone Sands Capital Instl Growth<br>Fund (CISGX)                                                                  | G                                      | Dividend                                      | P1                                             | T                                         | Buy<br>(add'l)                                  | 05/03/19                | O                               |                                |                                                                   |
| 62.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 08/08/19                | N                               |                                |                                                                   |
| 63.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 11/05/19                | N                               |                                |                                                                   |
| 64.                                                                                                                        |                                        |                                               |                                                |                                           | Donated<br>(part)                               |                         |                                 |                                |                                                                   |
| 65. Van Eck Cm Commodity Index Fd 1<br>(COMIX)                                                                             |                                        | None                                          |                                                |                                           | Sold                                            | 08/07/19                | O                               |                                |                                                                   |
| 66. Vanguard Gbl Ex US Real Estate Index<br>Admiral (VGRLX)                                                                | G                                      | Dividend                                      | P1                                             | T                                         | Buy<br>(add'l)                                  | 11/05/19                | N                               |                                |                                                                   |
| 67. Vanguard REIT Index Admiral Share<br>(VGSLX)                                                                           | E                                      | Dividend                                      | P1                                             | T                                         | Buy<br>(add'l)                                  | 08/08/19                | O                               |                                |                                                                   |
| 68.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 11/05/19                | N                               |                                |                                                                   |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 69.                                                                                                                        |                                        |                                        |                                                |                                    | Donated<br>(part)                         |                  |                          |                         |                                                            |
| 70. IShares Russell 1000 (IWD)                                                                                             | F                                      | Dividend                               | P1                                             | T                                  | Buy<br>(add'l)                            | 11/05/19         | O                        |                         |                                                            |
| 71.                                                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 72. IRA #2 (H)                                                                                                             |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 73. --United St Commodity ETF Index Fund<br>(USCI)                                                                         |                                        | None                                   |                                                |                                    | Sold                                      | 08/07/19         | M                        |                         |                                                            |
| 74. -- Principal Diversified (PDRDX)                                                                                       | C                                      | Dividend                               | M                                              | T                                  | Buy                                       | 08/08/19         | M                        |                         |                                                            |
| 75.                                                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 76.                                                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 77. Activision Blizzard Inc. (ATVI)                                                                                        | A                                      | Dividend                               |                                                |                                    | Sold                                      | 4/29/19          | J                        | A                       |                                                            |
| 78. Newmont Mng Corp. Holding Co. (NEM)                                                                                    | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 79. Unilever Plc Spon Adr New (UL)                                                                                         | A                                      | Dividend                               |                                                |                                    | Sold                                      | 04/30/19         | J                        | A                       |                                                            |
| 80. Apple Inc. (AAPL) (X)                                                                                                  | A                                      | Dividend                               |                                                |                                    | Sold                                      | 04/29/19         | J                        | A                       |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Casper, Denise J.

Date of Report

05/06/2020

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

Part VII

Lines 4-5, 8-9.

Thermo Fisher Scientific Stock Option transactions listed in lines 8-9 are exercise of stock options.

Thermo Fisher Scientific Common Stock (TMO) received upon exercise was sold and is included in lines 4-5.

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Casper, Denise J.

Date of Report

05/06/2020

## 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/ **Denise J. Casper**

**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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