

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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) Casper, Denise J.	2. Court or Organization U.S. District Court for District of MA	3. Date of Report 05/10/2021
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 1/01/2020 to 12/31/2020
7. Chambers or Office Address U.S. Courthouse 1 Courthouse Way Boston, MA 02210		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

<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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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.		
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.				
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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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. Bank of America Accounts	A	Interest	N	T					
2. Ally Bank Accounts (cash accounts)	D	Interest	O	T					
3.									
4. Water Street Healthcare Partners, Limited Partnership		None	J	W					
5. Water Street Healthcare Partners II, Limited Partnership	E	Distribution	L	W					
6.									
7. TPG FOF VI - QP, Limited Partnership	D	Distribution	K	W					
8.									
9. Special Opportunities Fund III, Limited Partnership	B	Distribution	K	W					
10. Special Opportunities Fund IV, Limited Partnership	C	Distribution	L	W					
11.									
12. Charlesbank Equity Coinvestment Fund VII, LP	A	Distribution	K	W					
13.									
14. Trust (H)									
15. - Schwab Gov't Money Fund (SWGXX)	A	Dividend	J	T					
16. - iShares MSCI ACWI ETF IV (ACWI)	C	Dividend	N	T	Buy (add'l)	09/30/20	K		
17.									

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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18. US Savings Bonds	A	Interest	K	W					
19.									
20. IRA #1 (H)									
21. - Schwab Gov't Money Fund (SWGXX)	A	Dividend	J	T					
22. - Doubleline Core Fixed Income Fund (DBLFX)	E	Dividend	O	T	Sold (part)	03/24/20	O		
23.					Buy (add'l)	06/11/20	O		
24.					Buy (add'l)	06/26/20	J		
25. - iShares MSCI ACWI ETF (ACWI)		None			Buy	03/25/20	O		
26.					Sold	06/10/20	O	G	
27.									
28.									
29. Charles Schwab Bank Account (cash)	A	Interest	O	T					
30. Schwab Premier Bank Account (cash)	B	Interest	M	T					
31. Charles Schwab Municipal Money (SWOXX)	E	Dividend			Sold (part)	03/11/20	P1		
32.					Sold (part)	03/16/20	P2		
33.					Sold	03/17/20	J		
34. Schwab U.S. Treasury Money Fund (SNSXX)	B	Dividend			Buy	03/16/20	P2		

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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☐ NONE (No reportable income, assets, or transactions.)

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35.					Sold	11/17/20	P2		
36. Schwab S&P 500 Index Fund (SWPPX)	E	Dividend	P1	T	Buy	03/17/20	O		
37.					Buy (add'l)	03/23/20	M		
38.					Buy (add'l)	06/24/20	O		
39. iShares MSCI ACWI ETF IV (ACWI)	E	Dividend	P1	T	Buy (add'l)	03/25/20	O		
40.					Sold (part)	06/10/20	P1	G	
41.					Buy (add'l)	06/26/20	M		
42.					Buy (add'l)	09/14/20	K		
43. AMG GW&K Municipal Bond Fund Inst (GWMIX)	G	Dividend	P2	T	Buy (add'l)	06/29/20	M		
44.					Buy (add'l)	09/11/20	O		
45.					Buy (add'l)	11/17/20	O		
46. Doubleline Core Fixed Income Fund (DBLFX)	G	Dividend	P1	T	Sold (part)	03/24/20	O		
47.					Buy (add'l)	06/11/20	P1		
48.					Buy (add'l)	09/11/20	N		
49.					Buy (add'l)	11/17/20	N		
50. Adara Smaller Companies f/k/a Altair Smaller Companies Fd It (ASCSZ)	E	Dividend	P1	T	Buy (add'l)	06/26/20	K		
51. Aquarius International (ASBSZ)	F	Dividend	P2	T	Buy (add'l)	03/12/20	P1		

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(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		
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52.					Buy (add'l)	06/26/20	M		
53.					Buy (add'l)	09/11/20	M		
54.					Buy (add'l)	11/17/20	M		
55. Boston Partners Long/Short Research Fund (BPIRX)		None			Sold (part)	03/17/20	P1		
56.					Sold	03/19/20	N		
57. FPA Crescent Fund Inst (FPACX)	G	Dividend	P1	T	Buy (add'l)	06/26/20	M		
58. Principal Diversified (PDRDX)		None			Sold (part)	03/17/20	O		
59.					Sold	03/20/20	M		
60. Schwab International Index Fund (SWISX)		None			Sold	03/11/20	P1		
61. Touchstone Sands Capital Instl Growth Fund (CISGX)	G	Dividend	P1	T					
62. Vanguard Global Ex-US Real Estate Index Admiral (VGRLX)		None			Buy (add'l)	06/26/20	N		
63.					Sold	11/17/20	P1		
64. Vanguard REIT Index Admiral Share (VGSLX)	E	Dividend			Buy (add'l)	06/26/20	N		
65.					Sold	11/17/20	P1	F	
66. iShares Russell 1000 Value (IWD)	F	Dividend	P1	T	Buy (add'l)	03/12/20	M		
67.					Buy (add'l)	06/26/20	M		
68.					Buy (add'l)	09/14/20	L		

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69. Fidelity Advisor Intl Real Estate Fund Ins (FIRIX)	D	Dividend	P1	T	Buy	11/18/20	P1		
70. iShares Russell 2000 Value ETF (IWM)	D	Dividend	P1	T	Buy	03/12/20	O		
71.					Buy (add'l)	09/14/20	L		
72. Matisse Discounted Closed-End Fd Strategy Ins (MDCEX)	G	Dividend	P1	T	Buy	03/17/20	P1		
73.					Buy (add'l)	03/20/20	N		
74.					Buy (add'l)	06/26/20	M		
75.					Buy (add'l)	09/11/20	M		
76.					Buy (add'l)	11/17/20	M		
77. Northern Emerging Markets Equity Index (NOEMX), Northern Trust		None			Buy	03/11/20	O		
78.					Sold	06/23/20	O	F	
79. Vanguard Short-Term Federal Fund (VSGDX)	D	Dividend	P1	T	Buy	11/18/20	P1		
80.					Buy (add'l)	12/31/20	O		
81. TIAA-CREF Real Estate Securities Fund (TIREX)	D	Dividend	P1	T	Buy	11/17/20	P1		
82. Thermo Fisher Scientific Common Stock (TMO). See notes.	A	Dividend			Sold (part)	01/15/20	P1		
83.					Donated (part)				
84.					Donated (part)				
85.					Donated				

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NONE (No reportable income, assets, or transactions.)

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	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)
86.									
87. Thermo Fisher Scientific Stock Options. See notes.		None			Sold	01/15/20	P1	H1	
88.									
89.									
90. IRA #2 (H)									
91. - Charles Schwab bank account			J	T	Open	12/21/20			
92. - Schwab S&P 500 Index (SWPPX)	C	Dividend	M	T	Buy	03/17/20	L		
93.					Buy (add'l)	03/23/20	K		
94. - Principal Diversified (PDRDX)		None			Sold (part)	03/17/20	L		
95.					Sold	03/20/20	K		
96.									
97. Adams National Resources Fund I (PEO)	A	Dividend	J	T	Buy	02/18/20	K		
98. Newmont Mng Corp. Holding Co. (NEM)	A	Dividend	J	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

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

Part VII

Lines 82, 87

Thermo Fisher Scientific Stock Option transaction listed in line 87 is exercise of stock options.

Thermo Fisher Scientific Common Stock (TMO) received upon exercise was sold and is included in line 82.

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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/ **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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544