

FINANCIAL DISCLOSURE REPORT INITIAL FILING

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 06/14/2015
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 05/31/2015
7. Chambers or Office Address 300 State Street Springfield, MA 01105		
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. Assistant District Attorney	Hampden District Attorney's Office
2.	
3.	
4.	
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. 03/2011	Payout of partnership interest by Bulkley, Richardson and Gelinas, LLP, completed January 2015
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

Robertson, Katherine A.

Date of Report

06/14/2015

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. 2014	Hampden District Attorney's Office - salary	\$74,945.00
2. 2013	Hampden District Attorney's Office - salary	\$67,761.00
3. 2014	Bulkley, Richardson and Gelinas, LLP - partnership buyout, net	\$5,749.00
4. 2013	Bulkley, Richardson and Gelinas, LLP - partnership buyout, net	\$5,749.00

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. 2014	Smith College - salary
2. 2013	Smith College - salary
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. exempt				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

Robertson, Katherine A.

Date of Report

06/14/2015

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

☐ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.	exempt		
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.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Robertson, Katherine A.

Date of Report

06/14/2015

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Common Stocks -Dividend Reinvest (H)									
2. -AFLAC common	A	Dividend	K	T	Exempt				
3. -AT&T common	C	Dividend	L	T	Exempt				
4. -Avery Dennison, common	A	Dividend	J	T	Exempt				
5. -Bank of America, common	A	Dividend	J	T	Exempt				
6. -Camden Property Trust, common	A	Distribution	J	T	Exempt				
7. -Century Link, common	A	Dividend	J	T	Exempt				
8. -Chevron, common	B	Dividend	K	T	Exempt				
9. -Colgate-Palmolive, common	A	Dividend	K	T	Exempt				
10. -Delhaize Group, common	A	Dividend	J	T	Exempt				
11. -Diebold, common	A	Dividend	K	T	Exempt				
12. -EMC Insurance Group, common	A	Dividend	J	T	Exempt				
13. -Emerson, common	A	Dividend	J	T	Exempt				
14. -ExxonMobil, common	D	Dividend	M	T	Exempt				
15. -H.B. Fuller, common	A	Dividend	K	T	Exempt				
16. -General Growth Properties, common	A	Distribution	J	T	Exempt				
17. -Rouse Properties, common	A	Distribution	J	T	Exempt				

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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

Name of Person Reporting

Robertson, Katherine A.

Date of Report

06/14/2015

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. -Howard Hughes, common		None	J	T	Exempt				
19. -HSBC Holdings, common	A	Dividend	J	T	Exempt				
20. -Intel, common	A	Dividend	K	T	Exempt				
21. -Invacare, common	A	Dividend	J	T	Exempt				
22. -Johnson Controls, common	A	Dividend	K	T	Exempt				
23. -Monsato, common	A	Dividend	K	T	Exempt				
24. -JPMorgan Chase, common	A	Dividend	J	T	Exempt				
25. -Motorola Solutions, common	A	Dividend	J	T	Exempt				
26. -Pepsico, common	A	Dividend	K	T	Exempt				
27. -Pfizer, common	A	Dividend	J	T	Exempt				
28. -PolyOne, common	A	Dividend	J	T	Exempt				
29. -Quanex Building Products, common	A	Dividend	J	T	Exempt				
30. -Ryder, common	A	Dividend	J	T	Exempt				
31. -Southern Co, common	A	Dividend	J	T	Exempt				
32. -TD Bank, common	A	Dividend	J	T	Exempt				
33. -UDR, common	A	Distribution	J	T	Exempt				
34. -Verizon, common	A	Dividend	J	T	Exempt				

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 11

Name of Person Reporting

Robertson, Katherine A.

Date of Report

06/14/2015

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)

35. -Wells Fargo, common	B	Dividend	L	T	Exempt				
36. -Whirlpool, common	A	Dividend	J	T	Exempt				
37. TIAA-CREF Funds (H)					Exempt				
38. -TIAA-CREF International Equity Fund	A	Dividend	K	T	Exempt				
39. -TIAA-CREF Money Market Fund		None	N	T	Exempt				
40. -TIAA-CREF Growth & Income Fund	C	Distribution	L	T	Exempt				
41. -TIAA-CREF Large-Cap Growth Fund	D	Distribution	K	T	Exempt				
42. -TIAA-CREF Bond Plus Fund	B	Distribution	K	T	Exempt				
43. US Savings Bonds, EE	A	Interest	J	T	Exempt				
44. MTL Insurance Co - life Insurance	A	Dividend	J	T	Exempt				
45. Rental, Conway, Massachusetts - assessed value \$191,800	E	Rent	M	S	Exempt				
46. TD Bank, account	A	Interest	O	T	Exempt				
47. Retirement Accounts (H)									
48. -CREF Stock Fund		None	P1	T	Exempt				
49. -CREF Growth Fund		None	J	T	Exempt				
50. -CREF Equity Index Fund		None	J	T	Exempt				
51. -CREF Global Equities Fund		None	J	T	Exempt				

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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 11

Name of Person Reporting

Robertson, Katherine A.

Date of Report

06/14/2015

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)
52. -TIAA Real Estate Fund		None	J	T	Exempt				
53. -CREF Bond Fund		None	J	T	Exempt				
54. -Wells Faargo Adv Growth Fund		None	M	T	Exempt				
55. -TIAA Traditional Annuity		None	K	T	Exempt				
56. -CREF Stock Fund		None	M	T	Exempt				
57. -TIAA-CREF, Teachers Personal Annuity		None	L	T	Exempt				
58. -SMART Capital Preservation Fund		None	L	T	Exempt				
59. -MM S&P 500 Index (Northern Trst)		None	O	T	Exempt				
60. Investment Club (H)									
61. -Air Lease, common	A	Dividend	J	T	Exempt				
62. -Berkshire Hills Bancorp, common	A	Dividend	J	T	Exempt				
63. -Cemex, common	A	Dividend	J	T	Exempt				
64. -Constellation Brands, common	A	Dividend	J	T	Exempt				
65. -Corning, common	A	Dividend	J	T	Exempt				
66. -Dunkin Brands Group, common	A	Dividend	K	T	Exempt				
67. -Facebook, common	A	Dividend	J	T	Exempt				
68. -FedEx, common	A	Dividend	L	T	Exempt				

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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 11

Name of Person Reporting

Robertson, Katherine A.

Date of Report

06/14/2015

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)
69. -Ford, common	A	Dividend	J	T	Exempt				
70. -GAP, common	A	Dividend	J	T	Exempt				
71. -General Electric, common	A	Dividend	J	T	Exempt				
72. -GlaxoSmithKline, common	A	Dividend	J	T	Exempt				
73. -Hain Celestial Group, common	A	Dividend	J	T	Exempt				
74. -Home Depot, common	A	Dividend	K	T	Exempt				
75. -Imax, common	A	Dividend	J	T	Exempt				
76. -Johnson & Johnson, common	A	Dividend	K	T	Exempt				
77. -Microsoft, common	A	Dividend	J	T	Exempt				
78. -S & P Depository Receipts	A	Dividend	K	T	Exempt				
79. -Teva Pharmaceutical Inds, common	A	Dividend	J	T	Exempt				
80. -3M, common	A	Dividend	K	T	Exempt				
81. -Tiffany, common	A	Dividend	J	T	Exempt				
82. -Toronoto Dominion, common	A	Dividend	J	T	Exempt				
83. -Wal-Mart, common	A	Dividend	J	T	Exempt				
84. -Whole Foods, common	A	Dividend	J	T	Exempt				
85. -Fortress Investment Group, LLC - sold 2014	A	Distribution			Exempt				

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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 11

Name of Person Reporting

Robertson, Katherine A.

Date of Report

06/14/2015

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)
86. -Fusion-Io, common - sold 2014		None			Exempt				
87. -S & P Deository Receipts - partial sold 2014	A	Dividend			Exempt				
88. -Fidelity Cash Reserves Fund	A	Dividend	J	T	Exempt				
89. -Fideitly Brokerage, cash account	A	Interest	J	T	Exempt				
90. -Bank of America, account		None	J	T	Exempt				

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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 11

Name of Person Reporting

Robertson, Katherine A.

Date of Report

06/14/2015

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

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Robertson, Katherine A.

Date of Report

06/14/2015

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