

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Nickerson, William M.	2. Court or Organization Maryland	3. Date of Report 10/15/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge, Senior St	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address 101 W. Lombard Street Baltimore MD 21201		
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.	
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. 12/6/93	State of Md. Judicial Pension Plan;
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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. monthly	State of Md. Judicial Pension Plan	\$30,507.06
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.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.			
2.			
3.			
4.			
5.			

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Bristol Myers Squibb cmn	B	Dividend	M	T					
2. Chevron Texaco Corp. formerly Chevron Corp. cmn	B	Dividend	L	T					
3. Coca Cola Co. cmn	C	Dividend	M	T					
4. Colgate Palmolive Co. cmn	B	Dividend	M	T					
5. Diamond Offshore Drilling Co. cmn	A	Dividend	K	T					
6. DuPont, E. I. cmn	A	Dividend	J	T					
7. Equifax Inc. cmn	A	Dividend	L	T					
8. General Electric Co. cmn	B	Dividend	L	T					
9. General Mills Inc. cmn	B	Dividend	L	T					
10. Johnson & Johnson cmn	C	Dividend	M	T					
11. Merck & Co., Inc. cmn	A	Dividend	K	T					
12. Pitney Bowes, Inc. cmn	A	Dividend	J	T					
13. Procter & Gamble Co. cmn	A	Dividend	K	T					
14. Mutual Shares Fund	A	Dividend	K	T					
15. Exelon Corp. cmn	A	Dividend	J	T					
16. Cheesecake Factory Inc. cmn		None	L	T					
17. Jones Grp cmn (Formerly Jones Apparel)	A	Dividend	J	T					

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	

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18. T.R.P. Md. Tax Free Bond	C	Dividend	L	T					
19. T.R.P. Tax Exempt M/M	A	Dividend	M	T					
20. J P Morgan - Trust (H)	A	Distribution	P1	T					
21. - J P Morgan US DollarPrincipal (Form Deposit Sweep Inst'l.									
22. - JP Morgan Short Term Mun. Bd. Fd.									See VIII
23. - Verizon Communications									
24. - Chevron Corp.									
25. - Dow Chemical									
26. - Gen Elect Co									
27. - Exxon Mobil Corp									
28. - Altria Group, Inc.									
29. - American Electric Power Co, Inc.									
30. - Boeing Co.									
31. - Bristol Meyers Squibb Co									
32. - Consolidated Edison, Inc.									
33. - Dominion Resources Inc VA									
34. - Home Depot, Inc.									

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35. - McDonalds Corp.									
36. - Duke Energy (Formerly Hldg.) Corp.									
37. - Travelers Cos. Inc.									
38. - Mondale Int'l. (formerly Kraft Foods, Inc.)									
39. - Spectra Energy Corp.									
40. - Pfizer Inc.									
41. - Philip Morris Int'l., Inc. (X)									
42. - Kellogg Co.									
43. - Coca-Cola Co.									
44. - Sysco Corp.									
45. - Yum Brands Inc.									
46. - Manning & Napier Fund Inc., World Opp. Series Fd.									
47. - JPM Asia Equity Fund	A	Dividend	L	T	Sold	07/02/12	L		See VIII
48. - Delaware Emerging Mkts. Fund									
49. - Easton Vance Mutual Funds TR FLT RT CL 1									
50. - JPM High Yield Fund									
51. - Kraft Foods Group, Inc.	A	Dividend	J	T	Spinoff (from line 38)	10/02/13	J		

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52. - T. Rowe Price New Asia Fd.	A	Dividend	L	T	Buy	07/02/12			See VIII
53. Exxon Mobil Corp cmn	A	Dividend	K	T					
54. Intel Corp cmn	A	Dividend	K	T					
55. PNC Finl. Svs. Grp. cmn	A	Dividend	K	T					
56. Microsoft Corp cmn	A	Dividend	J	T					
57. T. Rowe Price Inc. cmn	A	Dividend	L	T					
58. Zebra Tech cmn		None	L	T					
59. Wal-Mart Stores cmn	A	Dividend	K	T					
60. Fidelity Natl. Info. Svcs. Inc. cmn	A	Dividend	J	T					
61. Zimmer Hldgs. Inc. cmn		None	J	T					
62. Smucker J M Co cmn	A	Dividend	J	T					
63. Express Scripts Hldg. Co.		None	J	T					
64. Massachusetts Mutual Ins. Co. - whole life policy	B	Dividend	L	T					
65. Navy Mutual Aid Ass'n. perm. plus life ins. policy	B	Dividend	K	T					
66. Amer. Trust Co. ACF W. Nickerson IRA (H) [REDACTED]									
67. - Columbia Acorn Fd. - A	A	Dividend	K	T	Sold (part)	03/26/13	K	D	
68. - Columbia Diversified Bd. Fd. Cl A	A	Dividend	J	T	Sold	03/15/13	J	A	

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69. -(Columbia High Yield Bd. Fd. Cl A	A	Dividend			Buy (add'l)	03/26/13	K		
70. " " " "			K	T	Sold (part)	12/16/13	K	B	
71. - 1 Shares MSCI Emerging Mkts.	A	Dividend	K	T	Buy (add'l)	03/26/13	J		
72. - 1 Shares Russell 1000 Value	A	Dividend			Sold (part)	03/26/13	J	A	
73. " " " "			L	T	Buy (add'l)	12/16/13	J		
74. - 1 Shares Russell 1000 Growth	A	Dividend			Sold (part)	03/26/13	K	D	
75. - " " " "			K	T	Sold (part)	12/16/13	J	C	
76. - 1 Shares S&P Midcap400 Barra Growth Index Fd.	A	Dividend			Sold (part)	03/26/13	K	E	
77. - " " " "			K	T	Buy (add'l)	12/16/13	J		
78. - 1 Shares S&P Midcap 400 Barra-Value Index Fd.	A	Dividend	K	T					
79. - 1 Shares S&P Smallcap ETF	A	Dividend	K	T	Sold (part)	03/26/13	K	E	
80. - Morgan Stanley Capital Trust V	A	Dividend	K	T					
81. - Fidelity Advisor New Insights - T Fd.		None	L	T	Sold (part)	03/26/13	J	A	
82. - MFS Intl. Diverse - A	A	Dividend	K	T	Sold (part)	03/26/13	J	A	
83. - Fidelity Advisor Mid Cap II - A		None	K	T	Sold (part)	03/26/13	K	D	
84. - Ameriprise Insured Money Mkt.	A	Dividend	J	T					
85. - Columbia Div. Opportunity Fd. Cl. A	A	Dividend	L	T	Buy (add'l)	03/26/13	J		

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86. - Columbia Acorn International Fd. A	A	Dividend	K	T	Sold (part)	03/26/13	J	A	
87. Amer. Trust Co. ACF W. Nickerson IRA(H) #4634									
88. - Ameriprise Insd. M/M	A	Dividend	J	T	Buy	04/04/13	J		
89. - CNL Health Care Inc.	A	Dividend	L	T	Buy	04/02/13	L		
90. - Columbia Income Bldr. Cl A	A	Dividend	K	T	Buy	12/16/13	K		
91. - John Hancock Strategic Inc. Opp. Cl A	A	Dividend	K	T	Buy	03/26/13	K		
92. - " " "					Buy (add'l)	12/16/13	K		
93. - Fidelity Advisor Strategic Inc. Cl A	A	Dividend	K	T	Buy	03/26/13	L		
94. - " " "					Sold (part)	12/17/13	K	A	
95. - MFS New Discovery Value Cl A	A	Dividend	K	T	Buy	03/26/13	K		
96. - Columbia Intermediate Bd. Cl A	A	Dividend	L	T	Buy	03/15/13	J		
97. - " " "					Buy (add'l)	03/26/13	L		
98. - " " "					Sold (part)	12/16/13	L	D	
99. Columbia Mid Cap Value - A Fund	A	Dividend	K	T					
100. AIM Invesco Smallcap Equity Fd Cl A	A	Dividend	K	T					
101. Columbia Global Infrst Cl A (formerly Columbia Recovery & Infrst A Fd	A	Dividend	K	T					
102. & Infrst A Fund)									

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103. Fidelity Advisor Mid Cap II-A Fd.		None	K	T					
104. Fidelity Advisor New Insights A Fd.		None	K	T					
105. MFS Value - A Fd.	A	Dividend	K	T					
106. Morgan Stanley Capital Trust V	A	Dividend	J	T					
107. Oppenheimer Developing Mkts. - A Fd.	A	Dividend	K	T					
108. Riversource Ret. Adv. Plus Annuity	A	Int./Div.	L	T					
109. - VP Partner Sm Cap C13									
110. - WFADV VT Sm Ca Gr C2									
111. - Allbern VPS Intl Val									
112. - COL Mid Cap Val C13									
113. - Fid VIP Mid Cap C12									
114. - COL VP Divdnd Opp C13									
115. - COL VP Emg Mkt C13									
116. - COL VP Incom Oppt C12									
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	(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)
120. - Allbern VPS Intl Val									
121. - COL Mid Cap Val C 13									
122. - Fid VIP MidCap C1 2									
123. - COL VP Divnd Opp C 13									
124. - COL VP Emg Mkt C 13									
125. - COL VP Incom Oppt C 12									
126. Investment property, Baltimore, MD		None	M	R					see VIII
127. Lender Proc. Svcs., Inc. - cmn	A	Dividend	J	T					
128. Riversource Ret. Adv. 4 Ad. VA Annuity	C	Int./Div.	M	T					
129. - Col VP Cont Core									
130. - Col VP Dividend Opps									
131. - Col VP Emerging Mkt									
132. - Col VP Lg Cap Growth									
133. - Col VP Lg Core Quant									
134. - Col VP Mid Cap Gr Opp									
135. - Colo VP Mid Cao Val Opp									
136. - Col VP Select LC Val									

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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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)
137. - VP-Am Century Growth									
138. - VP-Columb Wanger Inter									
139. - VP-Columb Wanger US Eq									
140. - VP-DFA International									
141. - VP-Holland LC Growth									
142. - VP-Invesco Internat									
143. - VP-Jennison Mid Growth									
144. - VP-MFS Value									
145. - VP-Mondrian Inter Sm									
146. - VP-Morg Stan Global RE									
147. - VP-NFJ Dividend Value									
148. - VP-NFN Win Lrg Cap Gr									
149. - VP-Partners Sm Cap Val									
150. - VP-Partners Small Grth									
151. Franklin MD Tax Free Inc. - A	A	Dividend	J	T					
152. Columbia Acorn Int'l. - A Fd.	A	Dividend	K	T					
153. Pfizer, Inc.	A	Dividend	K	T					

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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	(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)
154. Ameriprise Insured Money Market Fd.	A	Dividend	J	T					
155. Riversource Ret. Adv. 4 Ad. VA Annuity	A	Int./Div.	L	T					I
156. - Coil VP Cont Core									
157. - Col VP Dividend Opps									
158. - Col VP Emerging Mkt									
159. - Col VP Lg Cap Growth									
160. - Col VP Lg Core Quant									
161. - Col VP Mid Cap Gr Opp									
162. - Col VP Mid Cap Val Opp									
163. - Col VP Select LC Val									
164. - VP-Am Century Growth									
165. - VP-Columb Wanger Inter									
166. - VP-Columb Wanger US Eq									
167. - VP-DFA International									
168. - VP-Holland LC Growth									
169. - VP-Invesco Internat									
170. - VP-Jennison Mid Growth									

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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Nickerson, William M.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171. - VP-MFS Value									
172. - VP-Mondrian Inter Sm									
173. - VP-Morg Stan Global RE									
174. - VP-NFJ Dividend Value									
175. - VP-Nvn Win Lrg Cap Gr									
176. - VP-Partners Sm Cap Val									
177. - VP-Partners Small Grth									

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

1. Part VII, line 22. This fund was erroneously reported on last year's report as "sold". In actuality, the sale was only a partial sale.
2. Part VII, lines 47 and 52 reference transaction dates outside of the reporting dates because the assets are held in a trust administered by the JP Morgan Chase Bank which only provides trading information for its fiscal year July 1, 2012 to June 30, 2013.

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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/ **William M. Nickerson**

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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Washington, D.C. 20544