

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) Rosenthal, Joel B.	2. Court or Organization Bankruptcy Court Dist. of MA -retired EDNY - recalled '11	3. Date of Report 08/03/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address 40 Liberty Street Natick, MA 01760		
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. Insert signature on last page.		

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. CO-TRUSTEE	E.H.D TRUST (co-trustee of deceased neighbor/close (like family) - serving without compensation
2. TRUSTEE	RSM REVOCABLE TRUST (trustee of deceased XXXXX- principally for benefit of XXXXX - serving without compensation
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.	
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.		
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. 2011	income as artists assistant
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. Assoc. of Commercial Finance Attorneys (ACFA) -	5/12/11-5/15/11	Montreal, Canada	served as panelist	XXXXX and I provided room, board and transportation at Annual Education Weekend
2. American Bankruptcy Institute (ABI)	7/21/10-7/24/11	Newport, Rhode Island	served as panelist	XXXXX and I provided room, board and transportation at Northeast Conference
3. National Conference of Bankruptcy Judges (NCBJ)	10/ 12 /10-10/15/11	Tampa, FL	served as Committee Chair	I was provided partial room reimbursement for Annual Meeting
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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) 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. MA HEFA BONDS	D	Interest	M	T					
2. FITCHBURG, MA BONDS	B	Interest			Sold	11/22/11	M	C	
3. MA GENERAL OBLIG BONDS	D	Interest	N	T	Sold (part)	02/01/11	K		
4.					Buy	12/23/11	M		
5. EXXON MOBIL STOCK	A	Dividend	J	T					
6. STATE OF ISRAEL BONDS	A	Interest	J	T					
7. PUTNAM VISTA FUND MUTUAL FUND	A	Distribution	K	T					
8. FANNIE MAE BONDS	A	Interest	J	T	Sold (part)	03/11/11	J	A	
9. Middlesex Saving bank a/c	A	Interest	K	T					
10. ALLSTATE CORP. stock		None			Sold	03/09/11	J	B	
11. HOME PROPERTIES reit	A	Distribution	J	T					
12. STATE STREET BANK(SSGA) bank a/c	A	Interest	K	T					clearing a/c
13. OCCIDENTAL PETE STOCK	A	Dividend	K	T					
14. CONOCO PHILLIPS (f/k/a Phillips Pete) STOCK	A	Dividend	K	T					
15. 1 SHARES-DJ TELE MUT FIND	A	Distribution			Sold (part)	2/24/11	J		
16.					Sold	7/21/11	J	A	
17. Principal Fin Group Stock	A	Dividend			Sold	10/13/11	J	A	

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
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☐ 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 I (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. Credit Suisse FB Bond	B	Interest	K	T					
19. Healthcare Prop Inv. (HCP)	A	Distribution	K	T					
20. Chubb Corp. Stock	A	Dividend	K	T					
21. NARR MA GO Bond	D	Interest	N	T					
22. Health Care Prop Inv (HCP) Stock	A	Dividend	K	T					
23. Johnson & Johnson Stock	A	Dividend	J	T					
24. Ventas, f/k/a Nationwide Health PPTYS Stock	A	Dividend	J	T	Sold (part)	7/5/11	J	A	
25. AON Corp. Stock	A	Dividend	K	T					
26. Allstate Stock	B	Dividend			Sold	3/9/11	K	D	
27. Chubb Corp. Stock	A	Dividend	K	T					
28. Conoco Phillips Stock	B	Dividend	K	T					
29. HealthCare Property (HCP) Inc. Stock	B	Dividend	K	T					
30. Johnson & Johnson Stock	A	Dividend	K	T					
31. Ventas f/k/a Nationwide Health Prop. Stock	B	Dividend	K	T					
32. Occidental Perto Stock	A	Dividend	K	T					
33. Principal Fin Group Stock	A	Dividend	J	T					
34. Sempra Energy Stock	A	Dividend	K	T					

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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)

35. Telephone & Data Sys Stock	A	Dividend			Sold	11/14/11	K		
36. US Cellular		None	K	T					
37. Vodafone Stock	A	Dividend	K	T					
38. ColgatePalmolive Stock	A	Dividend	K	T					
39. Comcast Stock	A	Dividend	K	T					
40. ENDURANCE SP HOLD stock	A	Dividend	J	T					
41. FED FARM CREDIT BOND	B	Interest	K	T					
42. VERIZON GLOBAL BOND	B	Interest	K	T					
43. Henry Schein STOCK		None	K	T					
44. MA ST WTR RES AUTH bond	C	Interest	L	T					
45. COLGATE PALMOLIVE stock	A	Dividend	K	T					
46. COMCAST NEW -stock	A	Dividend	J	T					
47. ENDURANCE SP STOCK	A	Dividend	J	T					
48. HENRY SCHEIN STOCK		None	K	T					
49. OLD REP INT'L STOCK	A	Dividend			Sold (part)	11/14/11	J		
50.					Buy (add'l)	12/22/11	J		
51.					Sold	12/27/11	J		

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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)

52. VODAFONE STOCK	A	Dividend	J	T					
53. MA WTR RES AUTH BOND	C	Interest	L	T					
54. MA HSG FIN AGCY BOND	D	Interest	M	T	Sold (part)	7/1/11	K		
55. MA ST WTR RES AUTH BOND	B	Interest	K	T					
56. HEALTHCARE SELECT SECTOR MUTUAL FUND	A	Distribution	J	T	Sold (part)	12/16/11	J	A	
57. AON CORP STOCK	A	Dividend	J	T					
58. BAKER HUGHES STOCK	A	Dividend	J	T					
59. DUPONT STOCK	A	Dividend	K	T					
60. MILLICOM INTL STOCK	A	Dividend			Sold	6/2/11	L	E	
61. TELEPHONE & DATA STOCK	A	Dividend	J	T					
62. BAKER HUGHES STOCK	A	Dividend	J	T					
63. DUPONT STOCK	B	Dividend	K	T					
64. LIONS GATE ENT STOCK	B	Dividend	K	T					
65. MILLICOM INT'L STOCK	B	Dividend	K	T					
66. TIME WARNER (2003) STOCK	B	Dividend	K	T					
67. MA ST REV BOND	B	Interest	K	T					
68. METHUEN GO BOND	B	Interest	L	T					

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69. MA ST HSG FIN AGENCY BOND	D	Interest	M	T	Sold (part)	4/1/11	J		
70.					Sold (part)	6/1/11	K		
71.					Buy (add'l)	6/21/11	L		
72.					Buy (add'l)	9/8/11	L		
73. NARRAGANSETT, MA GO BOND	C	Interest	L	T					
74. DCM INCOME OPPORTUNITY - PARTNERSHIP		None	O	U					
75. DCM REAL ESTATE PARTNERSHIP		None	M	U					
76. PROGRESS ENERGY - STOCK	A	Dividend	J	T					
77. COVIDIAN - STOCK (fka Tyco)	A	Dividend	J	T					
78. IPSWICH MA G/O BOND	B	Interest	L	T					
79. ANNE ARUNDEL CTY G/O BOND	B	Interest	L	T					
80. MHFA SINGLE FAMILY - BOND	B	Interest	K	T	Sold (part)	3/15/11	J		
81.					Sold (part)	7/1/11	K		
82. MWRA - BOND	B	Interest	K	T					
83. MA HEALTH & EDU - BOND	C	Interest	L	T					
84. MA ST WTR POLL - BOND	A	Interest	K	T					
85. MEFA - BONDS	D	Interest	M	T	Sold (part)	1/14/11	J		

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86.					Sold (part)	7/1/11	J		
87. PR INFRA - HWY - - BOND	B	Interest	K	T	Sold (part)	1/25/11	K		
88. PR TOURIST - BOND	B	Interest	K	T					
89. MA TPK AUTH - BOND	A	Interest			Sold	8/1/11	K	A	
90. AFFILIATED COMP SERV - STOCK		None			Sold	02/08/11	J	C	
91. ALLSTATE CORP. - STOCK	A	Dividend			Sold (part)	2/17/11	J		
92.					Sold (part)	2/23/11	J		
93.					Sold	3/9/11	J	B	
94. BAKER HUGHES - STOCK	A	Dividend	J	T					
95. BRANDYWINE REALTY TRUST - STOCK	A	Dividend	J	T					
96. COLONIAL PPTY TR - STOCK	A	Dividend	J	T					
97. CONOCO PHILLIPS - STOCK	A	Dividend	J	T					
98. DU PONT E I DEMOURS & - STOCK	A	Dividend	K	T					
99. HEALTH CARE PROP (HCP) INV - STOCK	A	Dividend	J	T					
100. JOHNSON & JOHNSON - STOCK	A	Dividend	K	T					
101. MICROSOFT - STOCK	A	Dividend	K	T					
102. MILLICOM INT'L - STOCK	A	Dividend			Sold	6/2/11	K	E	

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103. PROGRESS ENERGY - STOCK	B	Dividend	K	T					
104. VODAFONE GROUP PLC - STOCK	A	Dividend	K	T					
105. PROGRESS ENERGY - STOCK	A	Dividend	K	T					
106. COVIDIAN - STOCK (fka Tyco)	A	Dividend	K	T					
107. ANADARKO PETRO- stock	A	Dividend	K	T					
108. ANNALY MTGE - stock	B	Dividend	K	T					
109. BARCLAYS BANK - pref stock	C	Dividend			Sold	12/27/11	K		
110. COCA COLA - stock	A	Dividend	K	T					
111. TIME WARNER - class A stock	A	Dividend	J	T					
112. SSGA -money fund	B	Interest	J	T					clearing w/c
113. FERNLEY N/V G/O - bond	A	Interest			Sold	8/10/11	K		
114. ANADARKO PETRO - stock	A	Dividend	K	T					
115. ANNALY MTGE - stock	C	Dividend	K	T					
116. BARCLAYS BANK - pref stock	C	Dividend			Sold	11/14/11	L	C	
117. COCA COLA - stock	A	Dividend	K	T					
118. GENZYME CORP - STOCK		None			Sold	5/3/11	L	C	
119. USG CORP COM - stock		None	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	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	P4 = More than \$50,000,000
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)
120. BLACKROCK MUT FUND	A	Distribution			Sold	4/27/11	J		
121. COHEN & STEERS QTY - stock	A	Dividend	J	T					
122. NISOURCE, INC - stock	A	Dividend	J	T					
123. ANADARKO PETRO - stock	A	Dividend	K	T					
124. ANNALY MTGE MGT - stock	C	Dividend	K	T					
125. AON CORP. - stock	A	Dividend	J	T					
126. ARCH COAL - stock	A	Dividend	J	T					
127. CHUBB CORP. - stock	A	Dividend	K	T					
128. COCA COLA - stock	A	Dividend	K	T					
129. COLGATE PALMOLIVE CO. stock	A	Dividend	K	T					
130. COVIDIEN - stock	A	Dividend	J	T					
131. ENDURANCE SP. HOLDINGS - stock	A	Dividend	J	T					
132. GENZYME CORP. - stock		None			Sold	5/3/11	K	C	
133. OCCIDENTAL PETE. - stock	A	Dividend	K	T					
134. SEMPRA ENERGY - stock	A	Dividend	J	T					
135. TELEPHONE & DATA SYS.- stock	A	Dividend	J	T					
136. U.S. CELLULAR - stock		None	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 \$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. ST. JUDE MEDICAL, INC. STOCK	A	Dividend	K	T					
138. PEPSICO, INC. stock	A	Dividend	K	T					
139. 3M COMPANY - stock	A	Dividend	K	T					
140. ENTERGY CORP. - stock	A	Dividend	J	T					
141. HEALTH CARE REIT - stock	A	Dividend	K	T					
142. SPDR GOLD - mutfd		None	K	T	Sold (part)	10/4/11	J	C	
143. RYDEX S&P EQUAL WT ETF - mutfd	A	Distribution			Sold (part)	1/4/11	J	A	
144.					Sold	2/22/11	J	A	
145. TECHNOLOGY SELECT SPDR - mutfd	A	Distribution			Sold	4/17/11	J	B	
146. SPDR OIL & GAS EQUIP SRVC ETF	A	Distribution	J	T	Sold (part)	1/6/11	J		
147. I SHARES DJ US BASIC fund	A	Distribution			Sold	5/10/11	J	A	
148. SPDR S & P BIOTECH ETF fund	A	Distribution	J	T					
149. INDUSTRIAL SELECT SPDR fund	A	Distribution			Sold (part)	6/13/11	J	A	
150.					Sold	6/15/11	J	A	
151. MA ST HEFA BOND	E	Interest	N	T	Buy (add'l)	7/1/11	M		
152. ST LOUIS, MO - bond	C	Interest	L	T					
153. MAYNARD, MA G/O bond	B	Interest	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
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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)
154. MA, HFA bond	C	Interest	L	T					
155. MA ST SCH BLDG bond	C	Interest	M	T					
156. PEPSICO, INC. stock	A	Dividend	K	T					
157. TIME WARNER stock	B	Dividend	K	T					
158. STJUDE MEDICAL, INC. stock	A	Dividend	J	T					
159. HEALTH CARE REIT - stock	A	Dividend	J	T					
160. ZIMMER HOLDINGS stock		None			Buy	1/28/11	J		
161.					Sold	12/27/11	J		
162. ST JUDE MEDICAL stock		None			Sold	12/27/11	J		
163. HEALTH CARE REIT stock	A	Dividend	J	T					
164. DREYFUS GOVT CASH fund	A	Distribution	K	T			J		clearing account
165. PIMCO TOTAL RETURN fund	B	Distribution	K	T					
166. T ROWE PRICE - INTL EMERGING FUND	C	Distribution	L	T	Buy (add'l)	4/26/11	J		
167. TEMPLETON GLOBAL BOND FUND	D	Distribution	M	T					
168. US TREAS NTS	A	Interest			Sold	1/19/11	K	B	
169. LOOMIS SALES II-	D	Distribution	M	T	Buy (add'l)	4/28/11	J		
170. PIMCO FDS PAC FUND	D	Distribution	M	T	Buy (add'l)	4/28/11	J		

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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. TELEPHONE GLOBAL INC STOCK	A	Distribution	J	T					
172. VANGUARD FIX INCOME FUND	A	Distribution	J	T					
173. DELL BOND	A	Interest	K	T					
174. AMERICAN EXPRESS CORP BOND	A	Interest	K	T					
175. DOW CHEMICAL NOTES	A	Interest			Sold	6/15/11	J	C	
176. PROCTER & GAMBLE STOCK	A	Dividend	J	T					
177. SUNOCO STOCK		None			Sold	4/1/11	K	D	
178. SYSCO STOCK	A	Dividend	J	T					
179. WALMART STOCK	A	Dividend	J	T					
180. WI ST GEN BOND	B	Interest			Sold	10/20/11	L	D	
181. TROY UNIV - FAC- BOND	A	Interest			Sold	6/22/11	M	A	
182. CLARK CNTY, NV ARPT BOND	C	Interest	M	T					
183. UMASS BLDG AUTH BOND	B	Interest	L	T					
184. AMERICAN EXPRESS BOND	C	Interest	L	T					
185. ANALOG DEVICES STOCK	A	Dividend	J	T					
186. DELL STOCK		None	K	T					
187. DOW CHEMICAL NOTES	A	Interest			Sold	6/15/11	L		

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
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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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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)
188. PROCTER & GAMBLE STOCK	A	Dividend	K	T					
189. SUNOCO STOCK	A	Dividend			Sold	4/1/11	K	D	
190. SYSCO STOCK	A	Dividend	J	T					
191. WALMART STORES STOCK	A	Dividend	K	T					
192. 1 SHARES RUSSELL 1000 GROWTH INDEX FUND	A	Distribution			Sold (part)	3/14/11	J		
193.					Sold	6/1/11	J	A	
194. 1 SHARES S&P 500 GROWTH INDEX FUND		None			Buy (add'l)	1/3/11	K		
195.					Sold	3/16/11	K	C	
196. 1 SHARES DJUS CONSUMER FUND	A	Distribution	J	T	Sold (part)	1/6/11	J	A	
197.					Sold (part)	12/29/11	J	A	
198. PR ELEC POWER BOND	B	Interest	K	T					
199. TROY UNIV FAC REV BOND	C	Interest	L	T					
200. UMASS BLDG AUTH BOND	A	Interest	K	T					
201. ALEXANDER & BALDWIN STOCK	A	Dividend	J	T	Sold (part)	4/6/11	K	E	
202. ANALOG DEVICES STOCK	A	Dividend	K	T					
203. PROCTER & GAMBLE STOCK	A	Dividend	K	T					
204. MA ST HSG FIN AG BOND	E	Interest	M	T	Sold (part)	6/21/11	M		

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
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3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
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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)
205. MA ST DOT BOND	A	Interest			Sold	6/21/11	K		
206. MA ST SPL OBLIG BOND	A	Interest	K	T	Buy	07/22/11	K		
207. MA ST DEV FIN AG BOND	A	Interest	K	T	Buy	12/16/11	K		
208. LGIS PWN NY BOND	A	Interest	K	T	Buy	10/06/11	K		
209. FIDELITY CASH A/C	A	Interest	K	T	Buy	01/01/11	K		CLEARING A/C
210. MEDTRONIC STOCK	C	Dividend	K	T	Buy	10/27/11	J		
211. UNILEVER STOCK	B	Dividend	J	T	Buy	10/28/11	K		
212. WEATHERFORD INTL STOCK		None	J	T	Buy	06/22/11	J		
213. XEROX STOCK	A	Dividend	J	T					SEE PART VIII CORRECTION
214. GE CAPITAL NOTES	C	Interest	L	T	Buy	08/09/11	L		
215. RANGE RES CORP BOND	C	Interest	K	T	Buy	06/16/11	K		
216. AMOGEN STOCK		None	K	T	Buy	03/18/11	K		
217. ROYAL BANK OF SCOTLAND BOND	C	Interest	L	T	Buy	11/05/11	L		
218. VA COLLEGE BLDG BONDS	B	Interest	K	T	Buy	11/06/11	K		
219. MEDTRONICS STOCK	A	Dividend	J	T	Buy	10/27/11	J		
220. MCGRAW HILL STOCK	A	Distribution	J	T	Buy	12/28/11	J		
221. UNILEVER STOCK	A	Dividend	J	T	Buy	05/25/11	J		

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
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3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
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222. WEATRHERFORD INTL STOCK		None	J	T	Buy	06/22/11	J		
223. SEADRILL LTD STOC	A	Dividend	J	T	Buy	11/15/11	J		
224. XEROX CORP STOCK	A	Dividend	J	T					
225. AMGEN STOCK		None	J	T	Buy	03/18/11	J		
226. MEDTRONIC STOCK	A	Dividend	K	T	Buy	10/27/11	J		
227. McGRAW HILL STOCK	A	Dividend	K	T	Buy	05/25/11	J		
228. WEATHERFORD INTL STOCK		None	J	T	Buy	06/22/11	J		
229. AK HSG FIN BOND	C	Interest	L	T	Buy	12/14/11	L		
230. LG IS PWR BOND	B	Interest	L	T	Buy	10/12/11	L		
231. MA ST DOT BOND	D	Interest	M	T	Buy	05/27/11	M		
232. MA ST DEV FIN BOND	C	Interest	M	T	Buy	09/16/11	M		
233.					Buy (add'l)	12/21/11	K		
234. MA EDL FIN AUTH BOND	D	Interest	M	T	Buy	02/18/11	M		
235. METRO PIER & EXPOS BOND		None	K	T	Buy	12/22/11	K		
236. ENERGY SELECT SPDR FUND	A	Distribution	J	T	Buy	02/17/11	J		
237.					Buy (add'l)	02/26/11	J		
238.					Buy (add'l)	07/21/11	J		

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
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239.					Buy (add'l)	10/05/11	J		
240.					Buy (add'l)	10/07/11	J		
241. S&P HOMEBUILDERS SPDT ETF FUND	A	Distribution	J	T	Buy	02/19/11	J		
242. RYDEX S & P MIDCAP 400 ETF	A	Distribution	J	T	Buy	09/10/11	J		
243. GOLDMAN SASHC NETWORKING ISHARES	A	Dividend	J	T	Buy	10/06/11	J		
244. VANGUARD SMALL cap growth etf	A	Distribution	J	T	Buy	12/10/11	J		
245. FINANCIAL SELECT SPDR	A	Distribution	J	T	Buy	12/27/11	J		
246. 4 ROSES REALTY TRUST		None	J	T	Buy	11/20/11	J		
247. MA ST WTR POLL BOND	D	Interest	M	T					
248. T ROWE EMER. BOND FUND	A	Distribution	L	T					
249. AVERY DENNISON STOCK		None			Buy	1/6/11	K		
250.					Sold	11/14/11	K	B	
251. FED FARM CREDIT BANK BOND	A	Interest	K	T	Buy	1/10/11	K		
252. AT & T (NEW) STOCK	A	Dividend			Sold	8/22/11	K	A	
253. AT & T (NEW) STOCK	A	Dividend	J	T	Buy	7/20/11	K		
254. BANK OF HAWAII STOCK	A	Dividend	J	T	Buy	10/13/11	J		
255. FNMA BOND	A	Interest	J	T	Buy	9/14/11	K		

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)

256. HYATT HOTELS BOND	B	Interest	K	T	Buy	10/27/11	K		
257. M&T BANK STOCK	B	Dividend	K	T	Buy	10/25/11	K		
258. ROYAL BANK OF CANADA BOND	A	Dividend	K	T	Buy	7/9/11	K		
259. BANK OF NY/MELLON STOCK	A	Dividend	J	T	Buy	9/19/11	K		
260. SANOFI CONTINGENT RIGHTS		None	J	T	Buy	5/3/11	J		
261. TIME WARNER CABLE (NEW) STOCK	A	Dividend	J	T	Buy	1/21/11	J		
262. AT&T (NEW) STOCK	A	Dividend	J	T	Buy	7/20/11	J		
263. AVERY DENNISON CROP STOCK	A	Dividend	J	T	Buy	1/6/11	J		
264. BANK OF HAWAII STOCK	A	Dividend	J	T	Buy	10/14/11	K		
265. BANK OF NY/MELLON STOCK	A	Dividend	J	T	Buy	9/20/11	J		
266. ENTERGY CORP NEW STOCK	A	Dividend	J	T	Buy	1/28/11	K		
267. FNMA 3% BOND	A	Interest	J	T	Buy	9/14/11	J		
268. HCP PFD PFD STOCK	C	Int./Div.	K	T	Buy	12/27/11	K		
269. M & T BANK STOCK	A	Interest	J	T	Buy	10/25/11	J		
270. ROYAL DUTCH SHELL STOCK	A	Dividend	J	T	Buy	2/22/11	J		
271. TIME WARNER COMM. NEW STOCK	A	Dividend	J	T	Buy	1/28/11	J		
272. AT & T (NEW) STOCK	A	Dividend	K	T	Buy	7/20/11	K		

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

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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)

273. AVERY DENNISON STOCK	A	Dividend	J	T	Buy	1/6/11	J		
274. BANK OF NY/MELLON STOCK	A	Dividend	J	T	Buy	9/19/11	J		
275. BOSTON SCIENTIFIC STOCK		None	J	T	Buy	3/18/11	J		
276. COMCAST (NEW) STOCK	A	Dividend	J	T	Buy	1/28/11	J		
277. M & T BANK STOCK	A	Dividend	J	T	Buy	10/25/11	J		
278. ROYAL DUTCH SHELL STOCK	A	Dividend	K	T	Buy	2/22/11	K		
279. SANOFI CONT. RIGHTS		None	J	T	Buy	5/3/11	J		
280. TIME WARNER COMM (NEW) STOCK	A	Dividend	K	T	Buy	1/28/11	K		
281. WASHINGTON DC 07A BOND		None			Buy	1/4/11	L		
282.					Sold	6/21/11	L	C	
283. MA ST PORT AUTH BOND	C	Interest	M	T	Buy	7/1/11	M		
284. CITIZENS PPTY FL BOND	C	Interest	L	T	Buy	6/30/11	L		
285. TEWSKBURY MA GO BOND	D	Interest	M	T	Buy	11/18/11	M		
286. MA ST HED - HARVARD UNIV BOND	B	Interest	K	T	Buy	7/1/11	K		
287. MA ST HED -TUFTS UNIV BOND	C	Interest	L	T	Buy	2/14/11	L		
288. MET PIER & EXPO BOND	B	Interest	K	T	Buy	8/30/11	K		
289. MA ST PORT AUTH BOND	B	Interest	L	T	Buy	7/1/11	L		

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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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)
290. MA ST SCH BLDG AUTH BOND	B	Interest	K	T	Buy	7/26/11	K		
291. NORTHBORO-SOUTHBORO REG SCH BOND	B	Dividend	K	T	Buy	12/30/11	K		
292. FIDELITY ADVISOR II MUTUAL FUND		None			Buy	1/21/11	K		
293.					Sold	8/3/11	K		
294. OPPENHEIMER SR FL MUTUAL FUND	A	Distribution			Buy	4/8/11	K		
295.					Sold	8/11/11	K		
296. DOUBLELINE CORE MUTUAL FUND	C	Distribution	L	T	Buy	8/3/11	L		
297. US BROAD BASED DIVERSIFIED ETFs - mut fund	A	Distribution	L	T	Buy	01/03/11	L		various- see Part VIII
298. US SECTOR ETFs - mut fund	A	Distribution	K	T	Buy	01/03/11	K		various - see Part VIII
299.									
300.									

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

Part VII

One of the fiduciary positions I held at 12/31/11 was that of Trustee of the Estate of EHD my deceased very close friend for more that 25 years. As he suffered from cancer over the last year of his life he asked me to serve as co-trustee of his estate to assist his widow in the handling of her affairs; I agreed to do so. It would be a severe hardship if I was not able to serve my late friend in this capacity. A professional investement advisor is handeling all investment. I am serving without compensation. The Trust funded in 2000.

Part VII

One of the fiduciary position held at 12/31/11 was that of Trustee of the RSM Revocable Trust. This trust is principally for the benefit of my XXXXX. It would be a severe hardship if I was not able to serve my late XXX in this capacity. Professional investment advisors are handeling all investments. I am serving without compensation. The trust was funded in 2003.

PART VII

NOTES TO LINES 297 and 298. Hundreds of transactions involving purchase and sajes of ETFs in the various accounts which I own and which are in the various Trusts of which I am Trustee on various dates have been executed by my financial advisors.. It would take many, many hours to list all transactions separately. The transactions have been aggregated for the purpose of this report. Detailed investor advisor reports available on request.

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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/ **Joel B. Rosenthal**

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