

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Dein, Judith G.	2. Court or Organization U.S. District Court, MA	3. Date of Report 05/8/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge-full time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address United States District Court One Courthouse Way Boston, Massachusetts 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.	Fellow	Massachusetts Bar Foundation
2.	Trustee	Union College, Schenectady, NY
3.	Fellow	American Bar Association
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.)*

<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. 2016	Goulston & Storrs - lawyer
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) 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. Agilent Technologies Inc. stock		None	J	T					
2. SBC Communications Inc.		None	J	T					
3. Bank of America account	A	Interest	N	T					
4. Bank of America account	A	Interest	M	T					
5. Vodafone Airtouch PLC	A	Dividend	J	T					
6. Baron Growth Fund	D	Int./Div.	N	T					
7. TRowe Mid Cap Fund	C	Int./Div.	O	T					
8. Vanguard 500 Index Fund	D	Int./Div.	O	T					
9. Israeli Bonds	A	Dividend	J	T					
10. AT&T stock	A	Dividend	J	T					
11. Mass. ST CONS LN	B	Interest	L	T					
12. Needham Bank Acct	A	Interest	L	T					
13. FIA Card Services NA RASP	A	Interest	J	T					
14. Phoenix Concierge Acct	A	Interest	K	T					
15. First Eagle Global Fund Class A M/F	A	Dividend	L	T					
16. IVA Worldwide Fund Class C M/F	A	Int./Div.	J	T					
17. Income Fund of Am. Funds M/F	A	Interest			Sold	01/15/16	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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18. Nuveen Limited Term Mun Bond Fund Class C M/F	A	Interest	K	T					
19. Thornburg Ltd Term Mun. Fund Class C M/F	B	Interest	M	T	Buy (add'l)	01/19/16	L		
20. Western Asset Managed Municipals Fund Class I (X)	D	Dividend	L	T	Buy (add'l)	01/20/16	J		
21. Dividend Strategy Fund	A	Interest	K	T					
22. Thornburg Investment Income Builder Fund Class C M/F	B	Interest	K	T					
23. Thornburg Limited Term Municipal Fund Class A	A	Interest	K	T					
24. UBS Bank USA Dep. Acct (various)	A	Interest	N	T					
25. VOYA Lg Cap Val Fund Class C	A	Dividend			Sold	01/15/16	J		
26. First Eagle Growth & Income Fund Class C M/F	A	Dividend	K	T					
27. Mainstay Unconstrained Bond Fund Class I	B	Dividend	L	T					see comment 1
28. Mainstay Unconstrained Bond Fund Class I	C	Dividend	L	T	Buy (add'l)	01/20/16	K		
29. Pioneer Fundamental Growth Class Y	C	Dividend	K	T	Sold (part)	01/20/16	J		
30. Pioneer Fundamental Growth Class Y	C	Dividend	K	T	Sold (part)	01/20/16	K		
31. Vanguard Charlotte FDS Total Intl BD Index Fund	A	Dividend			Sold	01/20/16	J		
32. Vanguard Charlotte FDS Total Intl BD Index Fund (now Vanguard TotalIntl)	B	Dividend	K	T	Buy (add'l)	01/20/16	K		
33. Loomis Sayles Strategic Income Fund	B	Dividend	L	T	Sold (part)	01/20/16	J		
34. Loomis Sayles Strategic Income Fund	C	Dividend	L	T	Buy (add'l)	01/20/16	K		

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35. Wisdmtree Trust SmallCap Dividend Fund	C	Dividend	K	T					
36. Vanguard Admiral FDS Inc 500 Val Inx Fund	A	Dividend			Sold	01/20/16	J		
37. Vanguard Admiral FDS Inc 500 Val Inx Fund	A	Dividend			Sold	01/20/16	J		
38. VanguardAdmiral FDS Inc 500 Growth Inx Fund	A	Dividend			Sold	01/20/16	J		
39. Vanguard Admiral FDS Inc 500 Growth Inx Fund	A	Dividend			Sold	01/20/16	K		
40. Vanguard Intl Equity Index FD Inc FSTE All	A	Dividend			Sold	11/04/16	K		
41. Vanguard Intl Equity Index FD Inc FSTE All	B	Dividend			Sold (part)	01/20/16	K		
42.					Sold	11/04/16	K		
43. Alger Dynamic Opportunities Fund	A	Dividend			Sold (part)	01/20/16	K		
44.					Sold	11/01/16	K		
45. Alger Dynamic Opportunities Fund	A	Dividend			Sold	11/04/16	K		
46. Principal Diversified Real Asset Fund A	A	Dividend			Sold	01/20/16	K		
47. Principal Diversified Real Asset Fund A	A	Dividend			Sold	01/20/16	K		
48. Natixis Oakmark Intl Fund Class A	A	Dividend	J	T	Sold (part)	01/20/16	J		
49. Natixis Oakmark Intl Fund Class A	B	Dividend	J	T	Sold (part)	01/20/16	K		
50. Principal FDS Inc Global Diversified	C	Dividend	L	T	Buy (add'l)	01/20/16	J		
51. Clearbridge Aggressive Growth Fund		None			Sold	01/20/16	K		

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52. Gabelli Small Cap Growth Class A	A	Dividend			Sold	01/20/16	K		
53. Vanguard Admiral FDS Inc Midcap 400 Indx	A	Dividend			Sold	01/20/16	K		
54. 1919 Socially Responsive Balanced Fund Class 1 FBOID		None	K	T	Sold (part)	01/20/16	K		
55.					Buy (add'l)	11/16/16	K		
56. Dreyfus Third Cent Inc 1 FBOID	A	Dividend			Sold	01/20/16	J		
57. iShares MSCI KLD 400 Social ETF	A	Dividend			Sold	01/20/16	K		
58. PAX MSCI International HESG Index Fund Class Institutional	A	Dividend			Sold	01/20/16	J		
59. UBS Global Sustainable Equity Fund Class P(now Itr Sustainable Fund)	B	Dividend	L	T	Buy (add'l)	01/20/16	K		
60. Domini Social Bond Fund Investor Shares FBOID(now Domini Impact Bond)	B	Dividend	M	T	Buy (add'l)	01/20/16	L		
61. Cohen & Steers Global Infrastructure Fund Class 1	A	Dividend			Sold	01/20/16	K		
62. Columbia Dividend Income Fund Z FBOID	A	Dividend	K	T	Sold (part)	01/20/16	J		
63. Equinox Campbell Strategy Fund Class 1 FBOID	A	Dividend			Sold (part)	01/20/16	J		
64.					Sold	11/20/16	K		
65. Mainstay Cushing Renaissance Advantage Fund Class 1	A	Dividend			Sold	01/20/16	K		
66. Wisdomtree Trust Europe Hedged Equity FD	A	Dividend			Buy (add'l)	01/20/16	J		
67.					Sold	11/04/16	K		
68. Fidelity Advisor Biotechnology Fund Class 1 FBOID		None			Sold	01/20/16	K		

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69. Fidelity Advisor Total Bond Fund Class 1 FBOID	B	Dividend	K	T	Buy (add'l)	01/20/16	K		
70. Thornburg Intl Value Fund 1 FBOID	A	Dividend			Sold	01/20/16	K		
71. Columbia Dividend Income Fund Z FBOID	C	Dividend	K	T	Sold (part)	01/20/16	J		
72. Columbia Flexible Capital Income Fund Class Z FBOID	B	Dividend			Buy (add'l)	01/20/16	J		
73.					Sold	11/04/16	K		
74. Equinox Campbell Strategy Fund Class 1 FBOID	A	Dividend			Sold (part)	01/20/16	J		
75.					Sold	11/04/16	K		
76. Wisdomtree Trust Europe Hedged Equity FD ETF	A	Dividend			Buy (add'l)	01/20/16	J		
77.					Sold	11/04/16	K		
78. Fidelity Advisor Total Bond Fund Class 1 FBOID	B	Dividend	K	T	Sold (part)	01/20/16	K		
79. Thornburg Intl Value Fund 1 FBOID	A	Dividend			Sold	01/20/16	J		
80. Alpine Income Tr Ult Muni Inst	A	Dividend	L	T	Buy (add'l)	01/20/16	L		
81. Mainstay High Yield Muni Bond Fund Class 1	C	Dividend	L	T	Sold (part)	01/20/16	J		
82. Mainstay Tax Free Bond CL 1	B	Dividend	L	T	Buy (add'l)	01/20/16	J		
83. Hartford Municipal Opportunities Fund Class 1	B	Dividend	L	T	Buy (add'l)	01/20/16	K		
84. Clearbridge Aggressive Growth Fund Class C	A	Dividend			Sold	01/15/16	J		
85. MFS Blended Research Core Equity Fund	A	Dividend			Sold	01/15/16	J		

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86. Alpine High Yield Managed DUR Muni Fund	A	Dividend	K	T	Buy	01/20/16	K		
87. Wisdomtree Small Cap Divid ETF	D	Dividend	K	T	Buy	01/20/16	K		
88. Hartford Intl Growth Fund	A	Dividend	J	T	Buy	01/20/16	J		
89. Vanguard Total Bond Market ETF		None	K	T	Buy	01/20/16	K		
90. Principal Global Multi Strategy	B	Dividend	K	T	Buy	01/20/16	K		
91. Principal FDS Inc Global Diversified Income Fund Cl P	D	Dividend	L	T	Buy	01/20/16	L		
92. Hartford Intl Growth Fund Class 1	A	Dividend	J	T	Buy	01/20/16	J		
93. Vanguard Total Bond Market ETF	A	Dividend	K	T	Buy	01/20/16	K		
94. Principal Global Multi Strategy	A	Dividend	K	T	Buy	01/20/16	K		
95. Build NYC Resource Corp Assur RV CR 5 (X)		None	L	T	Open	12/23/16	L		See comment 2
96. Commerce BancShares Dep Ser B Preferred (X)		None	K	T	Open	12/23/16	K		
97. Dunkirk NYC Sch Assur 2011 BE/R/4 (X)		None	K	T	Open	12/23/16	K		
98. Goldman Sachs Group Inc 05.500% (X)		None	K	T	Open	12/23/16	K		
99. Kinder Morgan Inc. (X)		None	K	T	Open	12/23/16	K		
100. Minisink VY Cent Assur Pref BE/R/4.25 (X)		None	J	T	Open	12/23/16	J		
101. Morgan Stanley B/E 03.875% (X)		None	J	T	Open	12/23/16	J		
102. Nassau Cnty NY Swr & St Ser A (X)		None	K	T	Open	12/23/16	K		

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103. NYC Trans FINA BE/R/5.5 (X)		None	J	T	Open	12/23/16	J		
104. NYC Transition SR E BE/R/4 (X)		None	K	T	Open	12/23/16	K		
105. NY NY For Previou A-1 BE/R/4.25 (X)		None	K	T	Open	12/23/16	K		
106. NYS HSG Fin Agcy Persl Rev BE/R/4 (X)		None	K	T	Open	12/23/16	K		
107. Port Authority NY & NJ Rev BE/R/4 (X)		None	K	T	Open	12/23/16	K		
108. Rome NY Assur BE/R/4 (X)		None	K	T	Open	12/23/16	K		
109. Triborough Bldg & Tunn NY SR D (X)		None	K	T	Open	12/23/16	K		
110. UBS Cash Account (X)		None	N	T	Open	12/23/16	N		
111. Vanguard 500 Index Fund Admiral	A	Dividend	J	T	Buy	04/13/16	J		
112. Vanguard FTSE All World Ex-US ETF	A	Dividend	J	T	Buy	04/25/16	J		
113. Vanguard S&P 500 Growth ETF	A	Dividend	J	T	Buy	04/25/16	J		
114. Vanguard S&P 500 Value ETF	A	Dividend	J	T	Buy	04/25/16	J		
115. Vanguard S& Mid-Cap 400	A	Dividend	J	T	Buy	04/25/16	J		
116. Columbia Dividend Income Fund Z	A	Dividend	J	T	Buy	04/25/16	J		
117. Mainstay Cushing Renaissance Advantage Fund Class I	A	Dividend	J	T	Buy	06/27/16	J		
118. Natixis Oakmark Intl Fund Class A	A	Dividend	J	T	Buy	04/25/16	J		
119.					Buy (add'l)	05/23/16	J		

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)
120.					Buy (add'l)	06/27/16	J		
121. Pioneer Fundamental Growth Fund Class Y	B	Dividend	J	T	Buy	04/25/16	J		
122.					Buy (add'l)	05/23/16	J		
123.					Buy (add'l)	06/27/16	J		
124. Vanguard Total Intl Bond ETF		None	J	T	Buy	06/27/16	J		
125. Vanguard Total Bond Mkt ETF		None	J	T	Buy	04/25/16	J		
126.					Buy (add'l)	05/23/16	J		
127.					Buy (add'l)	06/27/16	J		
128. Western Asset Core Plus Bond Fund Class I	A	Dividend	J	T	Buy	06/27/16	J		
129. Gateway Fund Class Y	A	Dividend	J	T	Buy	06/27/16	J		
130. Oppenheimer Fundamental Alternatives Fund Class Y	A	Dividend	J	T	Buy	06/27/16	J		
131. Principal GBL Mlti-Strtg	A	Dividend	J	T	Buy	04/25/16	J		
132.					Buy (add'l)	05/23/16	J		
133.					Buy (add'l)	06/27/16	J		
134. Principal FDS Inc Global Diversified Income Fund Cl P	A	Dividend	J	T	Buy	05/23/16	J		
135.					Buy (add'l)	06/27/16	J		

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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Name of Person Reporting

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

1. If the same asset is listed multiple times, it is because it is held in several accounts (e.g. lines 27 and 28).
2. The assets listed in lines 95-110 were received on December 23, 2016 in a trust inherited by my spouse.

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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/ **Judith G. Dein**

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
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