

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) Casper, Denise J.	2. Court or Organization U.S. District Court for District of MA	3. Date of Report 08/13/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address U.S. Courthouse 1 Courthouse Way Boston, MA 02210		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. 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.	Trustee	Trust #1
2.	Honorary Trustee	Big Sister Association of Greater Boston, Inc.
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Casper, Denise J.

Date of Report

08/13/2012

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. 2011	Thermo Fisher Scientific - salary including cash, stock and options
2. 2011	Zimmer Holdings, Inc. - Board of Directors fees including cash and stock
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.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Casper, Denise J.

Date of Report

08/13/2012

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.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Casper, Denise J.

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08/13/2012

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. Bank of America Accounts	A	Interest	O	T					
2. Fidelity Investments Accounts	A	Interest	K	T					
3. Alere Common Stock (ALR)	A	Dividend	K	T					
4. Bayer AG (ADR) Common Stock	C	Dividend	L	T					
5. Thermo Fisher Scientific Common Stock (TMO). See Notes		None	P1	T	Sold (part)	2/25/11	L		
6. "					Sold (part)	3/4/11	L		
7. "					Donated (part)				
8. Thermo Fisher Scientific Stock Options		None	P1	T					
9. Thermo Fisher Scientific Restricted Stock. See notes.		None				3/4/11			
10. Thermo Fisher Scientific Restricted Stock Units		None	P2	T					
11. Vanguard Tax Free Money Market Fund	A	Dividend	O	T					
12. Charles Schwab Money Market Account	A	Interest	L	T					
13. iBoxx High Yield Corp Bond Fund (HYG)	A	Dividend	K	T					
14. Vanguard Short Term Bond ETF	A	Dividend	J	T					
15. Dodge & Cox Intl Stock Mutual Fund (DODFX)	A	Dividend	J	T					
16. Bain Capital Fund VIII Limited Partnership	A	Int./Div.	N	W					
17. Bain Capital AIV Lowes II Limited Partnership	A	Int./Div.	J	W					

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 10

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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 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. Bain Capital Tru VIII Limited Partnership	A	Int./Div.	K	W					
19. Bain Capital VII Limited Partnership	A	Int./Div.	L	W					
20. Bain Capital VI Limited Partnership	A	Int./Div.	K	W					
21. Bain Venture Fund 2001 Limited Partnership	A	Int./Div.	L	W					
22. Water Street Healthcare Partners limited partnership	C	Dividend	P1	W					
23. Water Street Healthcare Partners II limited partnership	B	Dividend	N	W					
24. TPG FOF Funds	D	Dividend	N	W					
25. Special Opportunities Fund III limited partnership	A	Dividend	O	W					
26. Special Opportunities Fund IV limited partnership	D	Dividend	N	W					
27. GS Hedge Fund Opportunities 2007 Limited Partnership	B	Dividend	N	W					
28. Vontobel Non US Equity LLC	E	Dividend	N	W					
29. AFF Co-Invest, LP	A	Dividend	K	W					
30. Charlesbank Equity Coinvest	B	Dividend	L	W					
31. Pine Cobble Capital limited partnership	A	Dividend	O	W					
32. Esplanade Capital limited partnership	B	Dividend	N	W					
33.									
34. Zimmer Holdings Phantom Stock Units	A	Dividend	M	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	
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FINANCIAL DISCLOSURE REPORT

Page 6 of 10

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35. Zimmer Holdings Restricted Stock Units	A	Dividend	M	T					
36. Goldman Sachs Money Market Account	A	Interest	N	T					
37. Trust #1 assets listed with -- below									
38. --GS Investment Grade Credit Fund A	B	Dividend	K	T					
39. --GS Short Duration T/F Mutual Fund Class A	B	Dividend	M	T					
40. --Standard and Poors 500 Depository Receipts Mutual Fund	B	Dividend	L	T					
41. --GS Emerging Markets Equity Fund GEMIX	A	Dividend	J	T					
42. --GS Short Duration Tax Free Mutual Fund	B	Int./Div.	L	T					
43.									
44. Mass Water Pollution Rev 5.5% 8/1/12 Bond	A	Interest	J	T					
45. Cook Cty GO 5.00% Bond	C	Interest	L	T					
46. City of Boston GO 5% 1/1/13 bond	C	Interest	L	T					
47. Pittsfield MA GO 5.5% 4/15/14 bond	D	Interest	M	T					
48. Vanguard ST Bond ETF (BSV)	B	Dividend	L	T					
49. Comcast Convertible Bond	B	Interest	K	T					
50. Exxon Mobil Common Stock (XOM)	A	Dividend	K	T					
51. People's United Common Stock (PBCT)	B	Dividend	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

Casper, Denise J.

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52. SPDR S&P Bank ETF (KBE)	B	Dividend	L	T					
53. U.S. Savings Bonds	B	Interest	K	W					
54. PIMCO Total Return Institutional (PTRX)	A	Dividend	N	T					
55. Dodge & Cox Stock Fund (DODGX)	A	Dividend	M	T					
56. SSGA S&P 500 Index Mutual Fund	A	Dividend	M	T					
57. T Rowe Price Growth Fund	A	Dividend	L	T					
58. Vanguard Mid Cap Index Fund (VMCIX)	A	Dividend	K	T					
59. Jennison Small Cap Growth Fund	A	Dividend	L	T					
60. Dodge & Cox Intl Stock Fund (DODFX)	A	Dividend	M	T					
61. District of Columbia GO 5% 6/1/14 bond	C	Interest	L	T					
62. Comm of Mass Gen Oblig Ref BDS 1 1/12 bond	E	Interest	O	T					
63. PA St. GO 5% 5/15/15 bond	D	Interest	M	T					
64. Mass Bay transportation Auth Rev 5.2500% 7/1/15 bond	B	Interest	M	T	Buy	11/21/11	M		
65. Mass IB 5.375% 1/1/16 bond	D	Interest	M	T					
66. Lone Star College System Rev Bond 5.0000% 8/15/16	D	Interest	M	T					
67. Univ Mass Bldg Aut Proj Rev 5/25% 11/1/26 bond	E	Interest	N	T					
68. Mass Water Re Authority 5.25% 8/1/17 bond	D	Interest	M	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

Casper, Denise J.

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69. Seattle WA Rev 5% 2/1/18 bond	D	Interest	M	T					
70. NJ Trans TR FD Auth Rev 5% 12/15/18 bond	C	Interest	L	T					
71. Chicago, IL GO 5% 12/1/19 Bond	D	Interest	M	T					
72. Kansas Dept of Trans Rev 5% 9/1/22 bond	D	Interest	M	T					
73. Detroit MI Sch Dist GO 5.375% 5/1/24 bond	D	Interest	M	T					
74. City of Houston, TX Rev 5.25% 5/15/11 bond	D	Interest			Matured	05/15/11	M	A	
75. Goldman Sachs Linked to S&P 500		None	M	T					
76. Kentucky St. Property & Bldg Rev. 5.375% 10/1/18 Bond	D	Interest			Sold	10/03/11	L	A	
77. Birmingham AL GO 5.25% 5/1/17 Bond	D	Interest			Sold	11/01/11	M	A	
78. GS 1% 10/20/2014 Linked 10 yr notes-bond	A	Interest	L	W					
79. Dominos Pizza Common Stock		None			Donated				
80. Mass GO 5% 8/1/14 Bond	C	Interest	M	T					
81. TD Bank account		None	L	T					
82.									
83.									

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FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Casper, Denise J.

Date of Report

08/13/2012

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

Part VII: Asset listed on Part VII, line 1 of the nomination report was distributed prior to taking judicial office.

Part VII: Assets listed on Part VII, lines 12, 13, 25, 29, 41, 43, 44, 48, 50, 61, 62, 79 of nomination report were sold prior to taking judicial office.

Part VII: Assets listed on lines 3, 4, 14, 52, 54, 63, 66, 81 of this report were purchased after the date of the nomination report and prior to taking judicial office.

Part VII: Asset listed on line 11 corresponds to asset listed on Part VII, line 5 of nomination report. Name of asset has been clarified.

Part VII: Asset listed on line 24 corresponds to assets listed on Part VII, lines 75 and 76 of nomination report. Name of asset has been clarified.

Part VII: Asset listed on line 29 corresponds to asset listed on Part VII, line 74 of nomination report. Name of asset has been clarified.

Part VII: Asset listed on line 30 corresponds to asset listed on Part VII, line 80 of nomination report. Name of asset has been clarified.

Part VII: Asset listed on line 49 is a correction of asset listed on Part VII, line 58 of nomination report.

Part VII: Asset listed on line 34 is a correction of asset listed on Part VII, line 57 of nomination report.

Part VII: [REDACTED] received in kind compensation which increased the holdings of assets listed on lines 8, 34.

Part VII: All Thermo Fisher Scientific Restricted Stock listed on line 9 vested on 3/4/11, converting to Thermo Fisher Scientific Common Stock listed on line 5.

Part VII: Lines 33 and 43 are intentionally left blank.

8/13/2012 Amendments to Part VII, lines 12 and 36 made in response to Committee's inquiry of July 23, 2012. There are no stocks, bonds or mutual funds in those accounts. They are cash accounts that are held in the broker's name.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Casper, Denise J.

Date of Report

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ Denise J. Casper

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544