

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) Robertson, Katherine A.	2. Court or Organization United States District Court for the District of Massachuset	3. Date of Report 07/11/2017
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 01/01/2016 to 12/31/2016
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

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. 2016

Smith College - salary

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.)*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. + Common Stocks -Dividend Reinvest (H)									
2. -AFLAC common	B	Dividend	K	T					
3. -AT&T common	C	Dividend	L	T					
4. -Avery Dennison, common	A	Dividend	J	T					
5. -Camden Property Trust, common	A	Distribution	J	T					
6. -Century Link, common	A	Dividend	J	T					
7. -Chevron, common	B	Dividend	K	T					
8. -Colgate-Palmolive, common	B	Dividend	K	T					
9. -Delhaize Group, common	A	Dividend	J	T					
10. Konin Klijke Ahold Delhaize N.V. (New), shs		None	J	T	Spinoff (from line 9)	08/08/16	J		
11. -Diebold Nixdorf, common	A	Dividend	J	T					
12. -EMC Insurance Group, common	A	Dividend	J	T					
13. -Emerson, common	A	Dividend	J	T					
14. -ExxonMobil, common	D	Dividend	M	T					
15. -H.B. Fuller, common	A	Dividend	K	T					
16. -General Growth Properties, common	A	Distribution	J	T					
17. -Rouse Properties, common	A	Distribution			Sold	07/11/16	J	B	

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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18. -Howard Hughes, common		None	J	T					
19. -HSBC Holdings, common	A	Dividend	J	T					
20. -Intel, common	A	Dividend	K	T					
21. -Invacare, common	A	Dividend	J	T					
22. -Johnson Controls, common	B	Dividend			Sold	09/02/16	K	E	
23. -Johnson Controls Intl, PLC, ordinary shs	C	Dividend	K	T	Spinoff (from line 22)	09/02/16	K		
24. -Adient PLC, ordinary shs		None	J	T	Spinoff (from line 22)	10/31/16	J		
25. -Monsato, common	A	Dividend	K	T					
26. -Motorola Solutions, common	A	Dividend	J	T					
27. -Pepsico, common	A	Dividend	K	T					
28. -Pfizer, common	A	Dividend	J	T					
29. -PolyOne, common	A	Dividend	J	T					
30. -Quanex Building Products, common	A	Dividend	J	T					
31. -Ryder, common	A	Dividend	J	T					
32. -Southern Co, common	A	Dividend	J	T					
33. -TD Bank, common	A	Dividend	J	T					
34. -UDR, common	A	Distribution	J	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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35. -Verizon, common	A	Dividend	J	T					
36. -Wells Fargo, common	B	Dividend	L	T					
37. -Whirlpool, common	A	Dividend	J	T					
38. TIAA-CREF Funds (H)									
39. -TIAA-CREF International Equity Fund	A	Dividend	K	T					
40. -TIAA-CREF Money Market Fund		None	N	T					
41. -TIAA-CREF Growth & Income Fund	B	Distribution	L	T					
42. -TIAA-CREF Large-Cap Growth Fund	A	Distribution	L	T					
43. -TIAA-CREF Bond Plus Fund	B	Distribution	K	T					
44. US Savings Bonds, EE	A	Interest	J	T					
45. MTL Insurance Co-life Ins \$1,000 face, 57 yr pay in, 'whole life'	A	Dividend	J	T					
46. Rental, Conway, Massachusetts	D	Rent			Sold	12/12/16	M	F	Heather A. Vickery
47. TD Bank, account	A	Interest	N	T					
48. Retirement Accounts (H)									
49. -CREF Stock Fund		None	P1	T					
50. -CREF Growth Fund		None	J	T					
51. -CREF Equity Index Fund		None	J	T					

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52. -CREF Global Equities Fund		None	J	T					
53. -TIAA Real Estate Fund		None	J	T					
54. -CREF Bond Fund		None	J	T					
55. -Wells Fargo Adv Growth Fund		None	M	T					
56. -TIAA Traditional Annuity		None	K	T					
57. -CREF Stock Fund		None	M	T					
58. -TIAA-CREF, Teachers Personal Annuity		None	L	T					
59. -SMART Capital Preservation Fund		None	L	T					
60. -MM S&P 500 Index (Northern Trst)		None	O	T					
61.									

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part 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/ **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
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