

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 5/14/2019
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 01/01/2018 to 12/31/2018
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.		

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.	Honorary Trustee	Big Sister Association of Greater Boston, Inc.
2.	Director	The Steppingstone Foundation
3.	Trustee	The Park School
4.	Fund Advisor	Donor Advised Fund #1
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.

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. Bank of America Accounts	A	Interest	N	T					
2. Ally Bank Accounts	D	Interest	O	T					
3.									
4. Thermo Fisher Scientific Common Stock (TMO). See Notes.	B	Dividend	O	T	Sold (part)	5/16/18	P2	H2	
5.					Sold (part)	12/04/18	P2	H2	
6.					Sold (part)	12/06/18	P4	H2	
7.					Donated (part)				
8. Thermo Fisher Scientific Stock Options. See Notes.		None	P2	T	Sold (part)	05/16/18	P2	H2	
9.					Sold (part)	12/4/18	P2	H2	
10.					Sold (part)	12/6/18	P2	H2	
11.									
12. Water Street Healthcare Partners limited partnership	F	Distribution	J	W					
13. Water Street Healthcare Partners II limited partnership	D	Distribution	M	W					
14. TPG FOF VI-QP, LP	E	Distribution	L	W					
15. TPG FOF V-QP-AIV	D	Distribution	J	W					
16. Special Opportunities Fund III limited partnership	D	Distribution	L	W					
17. Special Opportunities Fund IV limited partnership	F	Distribution	L	W					

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	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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18. Charlesbank Equity Coinvestment Fund VII, LP	D	Distribution	L	W					
19.									
20. Trust (H)									
21. --Schwab Gov't Money Fund (SWGXX)	A	Dividend	J	T					
22. --Ishares MSCI ACWI ETF IV (ACWI)	C	Dividend	M	T					
23. US Savings Bonds	A	Interest	K	W					
24.									
25. IRA #1 (H)									
26. --United St Commodity ETF Index Fund (USCI)		None	K	T					
27. --Schwab Gov't Money Fund (SWGXX)		None	J	T					
28. --Doubleline Core Fixed Income Fund (DBLFX)		None	O	T					
29.									
30. Charles Schwab Money Market Accounts (SWGXX)	F	Dividend	P2	T					
31. Ishares MSCI ACWI ETF IV (ACWI)	A	Dividend	O	T	Buy	12/18/18	O		
32.					Buy (add'l)	12/28/18	O		
33. United States Commodity (USCI)		None	N	T	Buy (add'l)	12/28/18	M		
34. Vanguard Total World (VT)	D	Dividend	J	T	Buy	9/14/18	O		

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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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35.					Sold (part)	12/17/18	O		
36. AMG GW&K Muni BD FD Inst (GWMIX)	B	Dividend	P1	T	Buy (add'l)	9/14/18	O		
37.					Buy (add'l)	12/28/18	N		
38. Doubleline Core Fixed (DBLFX)	E	Dividend	M	T	Sold (part)	10/15/18	P1		
39.					Buy (add'l)	12/28/18	M		
40. Schwab US Aggregate Bond (SWAGX)	D	Dividend	P1	T	Buy	10/17/18	P1		
41. Adara Smaller Companies f/k/a Altair Smaller Companies Fd Inst	G	Dividend	P1	T	Buy (add'l)	12/28/18	N		
42. Aquarius International (ASBSZ)	A	Dividend	J	T	Buy	9/14/18	P1		
43.					Sold (part)	12/27/18	P1		
44. Boston Partners Long/Short Equity Fund (BPLSX)	F	Dividend	P1	T	Sold	12/20/18	O		
45. Boston Partners Long/Short Research Fund (BPIRX)		None			Buy	12/21/18	O		
46.					Buy (add'l)	12/28/18	N		
47. Driehaus Emrg Mkts Gwth Fd Inst (DIEMX)	E	Dividend			Sold	12/28/18	N	A	
48. FPA Crescent Fund Inst (FPACX)	F	Dividend	P1	T	Buy (add'l)	12/27/18	O		
49.					Buy (add'l)	12/28/18	M		
50. Intrepid Capital FD Inst (ICMVX)	E	Dividend			Sold	12/26/18	O		
51. Manning & Napier Overseas (MNOSX) fka M & N Oppty A (EWAX)	E	Dividend			Sold	12/28/18	P1	A	

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52. Matisse Discounted Closed End FD Strategy (MDCEX)	D	Dividend			Sold	9/14/18	O	E	
53. Oakmark Select Fund Inst (OANLX)	F	Dividend	J	T	Buy (add'l)	9/14/18	M		
54.					Sold (part)	12/28/18	P1		
55. Schwab Intl Index Fund (SWISX)		None	P1	T	Buy	12/31/18	P1		
56. Touchstone Sands Capital Instl Growth Fund (CISGX)	G	Dividend	P1	T	Buy (add'l)	12/28/18	N		
57. Van Eck Cm Commodity Index Fd 1 (COMIX)	C	Dividend	O	T	Buy (add'l)	12/28/18	M		
58. Vanguard Gbl Ex US Real Estate Index Admiral (VGRLX)	E	Dividend	P1	T	Buy (add'l)	9/14/18	K		
59.					Buy (add'l)	12/28/18	M		
60. Vanguard REIT Index Admiral Share (VGSLX)	E	Dividend	P1	T	Buy (add'l)	12/28/18	N		
61. iShares Russell 1000 (IWD)		None	P1	T	Buy	12/31/18	P1		
62.									
63. IRA #2 (H)									
64. --United St Commodity ETF Index Fund (USCI)		None	M	T					
65.									
66. Activision Blizzard Inc. (ATVI) (X)	A	Dividend	J	T					
67. Newmont Mng Corp. Holding Co. (NEM) (X)	A	Dividend	J	T					
68. Unilever Plc Spon ADR New (UL) (X)	A	Dividend	J	T					

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

Part VII

Lines 4-6, 8-10:

Thermo Fisher Scientific Stock Option transactions listed in line 8-10 are exercise of stock options.

Thermo Fisher Scientific Common Stock (TMO) received upon exercise was sold and is included in lines 4-6.

Line 66: Inadvertently omitted from prior report. Sold prior to the filing of this report

Line 67: Purchased in 2018, date unavailable.

Line 68: Inadvertently omitted from prior report. Sold prior to the filing of this 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
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Washington, D.C. 20544