

# Statement of Financial Interests for 2018



## CONTACT INFORMATION

**Last Name:**

**First Name and Middle initial:**

Collins

James G

**Work Phone Number:**

**Other Phone:**

(413) 584-7686 Ext : 3

**Work Email:**

**Other Email:**

james.collins@jud.state.ma.us

**Primary Residence Address:**

Redacted

**Contact mailing address**

Redacted

You indicated that you did have a spouse residing in your household during 2018.

You indicated that you had no dependent child(ren) residing in your household at any time during 2018.

## Candidacy and Public Service

1. If you are a candidate for public office, please indicate the public office you are seeking.

Filer reported none.

2. Identify the position you now hold, or have held, which requires you to file a Statement of Financial Interests and provide the required information for that position. If you held more than one public position which requires you to file, identify each position.

Agency Name	Address	Position	Date	Amount of Income
Franklin/Hampshire Juvenile Court	116 Russell St., Hadley, MA, 01035, US	Recall Justice	08/02/2016 - 08/01/2019	\$40,001 to 60,000

3. Other than the position(s) identified in Question 2, identify every public position you held, and every public agency to which you provided services, at any time during 2018, whether compensated or not, and whether full- or part-time.

Filer reported none.

4. Identify every public position your spouse and/or any dependent child(ren) residing in your household held, and every public agency to which your spouse and/or any dependent child(ren) residing in your household provided services, at any time during 2018, whether compensated or not, and whether full- or part-time.

Filer reported none.

#### Private Employment and Leaves of Absence

5. Identify every Business for which you worked as an employee, manager, consultant, or independent contractor at any time during 2018, whether compensated or not, and whether full- or part-time, and provide the required information for each.

Filer reported none.

6. Identify any Business from which you were on a leave of absence at any time during 2018, and provide its address.

Filer reported none.

7. Identify every Business for which your spouse and/or any dependent child(ren) residing in your household worked as an employee, manager, consultant, or independent contractor at any time during 2018, whether compensated or not, and whether full- or part-time, and provide the required information for each.

Filer reported none.

### Business Ownership and Transfers

8. Identify each Business of which you were, in whole or in part, an owner, partner, or proprietor, or in which you owned more than 1% of any class of the outstanding stock or similar ownership interest, at any time during 2018, and provide the required information for each.

Filer reported none.

9. Identify each Business of which your spouse and/or any dependent child(ren) residing in your household was, in whole or in part, an owner, partner, or proprietor, or in which your spouse and/or any dependent child(ren) residing in your household owned more than 1% of any class of the outstanding stock or similar ownership interest, at any time during 2018, and provide the required information for each.

Filer reported none.

10. Identify any stock or similar ownership interest in a Business which you transferred to your spouse and/or any dependent child(ren) residing in your household during 2018, and provide the required information for each.

Filer reported none.

### Service as an Officer, Director, or Trustee

11. Identify any Business in which you served as an officer, director, or trustee, at any time during 2018, whether compensated or not, and whether full- or part-time, and provide the required information for each.

Filer reported none.

12. Identify any Business in which your spouse and/or any dependent child(ren) residing in your household served as an officer, director, or trustee, at any time during 2018, whether compensated or not, and whether full- or part-time, and provide the required information for each.

Filer reported none.

**NOTE:** If the Filer answered “YES” to a Question in the following section, one or more columns in the Table for that Question may be blank in the following situations: If the Filer indicated that the name of the person and/or the trust was a family member’s name or address, the Filer was not required to provide that name. If the Filer indicated that an address was a family member’s address, the Filer was not required to provide that address.

### Real Estate

13. Identify all Real Estate in Massachusetts which you owned directly or through a Business as of December 31, 2018, and which had an assessed value greater than \$1,000, and provide the required information for each Real Estate holding.

Ownership Legend:  
Filer = F  
Spouse/Child(ren) = S/C  
Trust = T

Property Address	Owner	Transferred?	Transferor Name	Transferor Address	Assessed Value
Redacted	F, S/C	No			\$100,001 or more

14. Other than the Real Estate identified in Question 13, identify all Real Estate in Massachusetts which your spouse and/or any dependent child(ren) residing in your household owned directly or through a Business as of December 31, 2018, and which had an assessed value greater than \$1,000, and provide the required information for each Real Estate holding.

Filer reported none.

15. Identify any Trust of which you were a beneficiary, and which owned Real Estate in Massachusetts as of December 31, 2018, with an assessed value greater than \$1,000, and provide the required information for each such Trust and Real Estate holding.

Beneficiary Legend:

Filer = F

Spouse/Child(ren) = S/C

Trust = T

Filer reported none.

16. Other than the Real Estate identified in Question 15, identify any Trust of which your spouse and/or any dependent child(ren) residing in your household was a beneficiary, and which owned Real Estate in Massachusetts as of December 31, 2018, with an assessed value greater than \$1,000, and provide the required information for each such Trust and Real Estate holding.

Filer reported none.

17. Identify any Real Estate in Massachusetts with an assessed value greater than \$1,000, that was transferred to another person or entity by you, or by a Trust of which you were a beneficiary, at any time during 2018, and provide the required information for each Real Estate holding.

Ownership Legend:

Filer = F

Spouse/Child(ren) = S/C

Trust = T

Filer reported none.

18. Other than the Real Estate identified in Question 17, identify any Real Estate in Massachusetts with an assessed value greater than \$1,000, that was transferred to another person or entity by your spouse and/or any dependent child(ren) residing in your household, or by a Trust of which your spouse and/or any dependent child(ren) residing in your household was a beneficiary, at any time during 2018, and provide the required information for each piece of Real Estate transferred.

Ownership Legend:  
Filer = F  
Spouse/Child(ren) = S/C  
Trust = T

Filer reported none.

19. Identify any Real Estate in Massachusetts with an assessed value greater than \$1,000, on which, as of December 31, 2018, you, or a Trust of which you were a beneficiary, had a lien, attachment, or mortgage receivable, and provide the required information for each.

Ownership Legend:  
Filer = F  
Spouse/Child(ren) = S/C  
Trust = T

Filer reported none.

20. Other than the Real Estate identified in Question 19, identify any Real Estate in Massachusetts with an assessed value greater than \$1,000, on which, as of December 31, 2018, your spouse and/or any dependent child(ren) residing in your household, or a Trust of which your spouse and/or any dependent child(ren) residing in your household, had a lien, attachment, or mortgage receivable, and provide the required information for each.

Ownership Legend:  
Filer = F  
Spouse/Child(ren) = S/C  
Trust = T

Filer reported none.

**NOTE:** If the Filer answered “YES” to a Question in the following section, one or more columns in the Table for that Question may be blank in the following situations: If the Filer indicated that the name of the person and/or the trust was a family member’s name or address, the Filer was not required to provide that name. If the Filer indicated that an address was a family member’s address, the Filer was not required to provide that address.

## Financial Investments

21. Identify every bond or other security issued by the Commonwealth of Massachusetts or its political subdivisions, agencies, and authorities, which you owned directly or through a Business, as of December 31, 2018, and which had a fair market value as of that date greater than \$1,000, and provide the required information for each such investment.

Ownership Legend:  
Filer = F  
Spouse/Child(ren) = S/C  
Trust = T

Filer reported none.

22. Other than the bonds or other securities identified in Question 21, identify every bond or other security issued by the Commonwealth of Massachusetts or its political subdivisions, agencies, and authorities, which your spouse and/or any dependent child(ren) residing in your household owned directly or through a Business, as of December 31, 2018, and which had a fair market value as of that date greater than \$1,000, and provide the required information for each such investment.

Name of Bond/ Other Security	Description of Investment
Ayer Shirley RSD MA	Bond
Seekonk MA	Bond
Holliston MA	Bond
Bedford MA GO	Bond

23. Identify every bond or other security issued by the Commonwealth of Massachusetts or its political subdivisions, agencies, and authorities, which was owned as of December 31, 2018, by a Trust of which you were a beneficiary, whether directly or through a Business, and which had a fair market value as of that date greater than \$1,000, and provide the required information for each such investment.

Beneficiary Legend:  
 Filer = F  
 Spouse/Child(ren) = S/C  
 Trust = T

Filer reported none.



24. Identify every bond or other security issued by the Commonwealth of Massachusetts or its political subdivisions, agencies, and authorities, which was owned as of December 31, 2018, by a Trust of which your spouse and/or any dependent child(ren) residing in your household was a beneficiary, whether directly or through a Business, and which had a fair market value as of that date greater than \$1,000, and provide the required information for each such investment.

Name of Trust	Name of Bond/ Other Security	Description of Investment
	Bourne MA	Bond
	Groton-Dunstable	Bond
	UP Island S/D MA	Bond
	Bridgewater MA	Bond
	Raynham MA	Bond
	Greater Lawrence MA	Bond
	Seekonk MA	Bond

Hudson MA	Bond
Hyannis MA G/O	Bond
Mansfield MA	Bond
Ayer Shirley RSD MA	Bond
Auburn MA G/O	Bond
Quincy MA GO SCH	Bond

25. Identify every Financial Investment that you owned directly or through a Business as of December 31, 2018, and which had a fair market value as of that date greater than \$1,000, and provide the required information for each.

Ownership Legend:  
Filer = F  
Spouse/Child(ren) = S/C  
Trust = T

Filer reported none.

26. Other than the Financial Investments identified in Question 25, identify every Financial Investment that your spouse and/or any dependent child(ren) residing in your household owned directly or through a Business as of December 31, 2018, and which had a fair market value as of that date greater than \$1,000, and provide the required information for each. For any Financial Investment not included on the drop-down list of publicly traded stock, you must provide the issuer's principal place of business or state of incorporation as well as its address.

Name of Issuer	Description of Investment	Principal Place of Business or State of Incorporation	Address
Tompkins Financial Corporation Common Stock (TMP)			
iShares MSCI USA Minimum Volatility ETF (USMV)			
iShares Core S&P Mid-Cap ETF (IJH)			
EuroPacific Growth Fund, Class F-2 Shs (AEPFX)			
Calamos Market Neutral Fd Cl I (CMNIX)			

Vanguard Admiral  
Fund Treasury  
Money Market  
Fund (VUSXX)

Vanguard European  
Stock Index  
Fund (VEURX)

EuroPac  
International Bond  
Fund (EPIBX)

Northern Funds  
Money Market  
Fund (NORXX)

WisdomTree  
Emerging Markets  
Ex-State Owned  
Enterprises  
Fund (XSOE)

361 Managed  
Futures Strategy  
Fd Cl I (AMFZX)

iShares MSCI EAFE  
Minimum Volatility  
ETF (EFAV)

iShares Core MSCI  
Emerging Markets  
ETF (IEMG)

RevenueShares  
Large Cap (RWL)

RevenueShares  
Small Cap (RWJ)

27. Identify every Financial Investment that was owned as of December 31, 2018, by a Trust of which you were a beneficiary, and which had a fair market value as of that date greater than \$1,000, and provide the required information for each. For any Financial Investment not included on the drop-down list of publicly traded stock, you must provide the issuer's principal place of business or state of incorporation as well as its address.

Beneficiary Legend:  
Filer = F  
Spouse/Child(ren) = S/C  
Trust = T

Filer reported none.

28. Other than the Financial Investments identified in Question 27, identify every Financial Investment that was owned as of December 31, 2018, by a Trust of which your spouse and/or any dependent child(ren) residing in your household was a beneficiary, and which had a fair market value as of that date greater than \$1,000, and provide the required information for each. For any Financial Investment not included on the drop-down list of publicly traded stock, you must provide the issuer's principal place of business or state of incorporation as well as its address.

Name of Issuer	Description of Investment	Principal Place of Business or State of Incorporation	Issuer Address	Name of Trust
	BlackRock Cash Fds, Treasury Select Shares (BRSXX)			
	Goldman Sachs Core Fixed Inc Fd Cl IR (GDFTX)			
	Legg Mason BW Global High Yield Fd Cl A (LBHAX)			
	EuroPacific Growth Fund, Class 529-E Shares (CEUEX)			
	Calamos Convertible Fd Cl C (CCVCX)			
	Apple Inc. - Common Stock (AAPL)			

BB&T Corporation  
Common Stock(BBT)

Corning  
Incorporated  
Common Stock(GLW)

Duke Energy  
Corporation  
(Holding Company)  
Common Stock(DUK)

Arthur J.  
Gallagher & Co.  
Common Stock(AJG)

General Dynamics  
Corporation Common  
Stock(GD)

General Electric  
Company Common  
Stock(GE)

Home Depot, Inc.  
(The) Common  
Stock(HD)

Honeywell  
International Inc.  
Common Stock(HON)

Johnson & Johnson  
Common Stock (JNJ)

JPMorgan  
International  
Equity C (JIECX)

Kimberly-Clark  
Corporation Common  
Stock (KMB)

The Kraft Heinz  
Company - Common  
Stock (KHC)

Eli Lilly and  
Company Common  
Stock (LLY)

Lockheed Martin  
Corporation Common  
Stock (LMT)

McDonald's  
Corporation Common  
Stock (MCD)

Merck & Company,  
Inc. Common Stock  
(new) (MRK)



Microchip  
Technology  
Incorporated -  
Common Stock (MCHP)

Microsoft  
Corporation -  
Common Stock (MSFT)

Mondelez  
International,  
Inc. - Class A  
Common Stock (MDLZ)

Occidental  
Petroleum  
Corporation Common  
Stock (OXY)

Pfizer, Inc.  
Common Stock (PFE)

Procter & Gamble  
Company (The)  
Common Stock (PG)

Public Service  
Enterprise Group  
Incorporated  
Common Stock (PEG)

Southern Company  
(The) Common  
Stock (SO)

The Travelers  
Companies, Inc.  
Common Stock (TRV)

United Parcel  
Service, Inc.  
Common Stock (UPS)

Verizon  
Communications  
Inc. 5.90% Notes  
due 2054 (VZA)

Waste Management,  
Inc. Common  
Stock (WM)

3M Company Common  
Stock (MMM)

PowerShares Global  
Emerging Markets  
Infrastructure (PXR  
)

Astrazeneca PLC  
Common Stock (AZN)

Exxon Mobil  
Corporation Common  
Stock (XOM)

RevenueShares Large Cap(RWL)
iShares Core S&P Mid-Cap ETF(IJH)
RevenueShares Small Cap(RWJ)
iShares Core MSCI Emerging Markets ETF(IEMG)
WisdomTree Emerging Markets Ex-State Owned Enterprises Fund(XSOE)
iShares MSCI EAFE Minimum Volatility ETF(EFAV)
Vanguard FTSEEuropean ETF(VGK)
361 Managed Futures Strategy Fd Cl I(AMFZX)

Swan Defined Risk Fund Class I (SDRIX)
Amgen Inc. - Common Stock (AMGN)
Cisco Systems, Inc. - Common Stock (CSCO)
JP Morgan Chase & Co. Common Stock (JPM)
Invesco Exchange Fund Shs (ACEHX)
Wal-Mart Stores, Inc. Common Stock (WMT)
Astrazeneca PLC Common Stock (AZN)

**NOTE:** If the Filer answered “YES” to a Question in the following section, one or more columns in the Table for that Question may be blank in the following situations: If the Filer indicated that the name of the person and/or the trust was a family member’s name or address, the Filer was not required to provide that name. If the Filer indicated that an address was a family member’s address, the Filer was not required to provide that address.

## Debts and Mortgages

29. Identify all mortgages, including home equity and reverse mortgage loans, on your Primary Residence, on which more than \$1,000 was owed as of December 31, 2018, where the creditor (person who loaned you the money) is not, by blood or marriage, your parent, grandparent, great grandparent, child, grandchild, great-grandchild, aunt, uncle, sister, brother, niece, nephew, or the spouse of any such relative, and provide the required information for each.

Creditor Name	Creditor Address	Mortgage Term	Interest Rate (%)	Termination Year
Webster Bank	P.O. Box 30, Waterbury, CT, 06144 1809, US	30 yrs.	3.875	2045

30. Did you have a mortgage, including a home equity or reverse mortgage loan, on any property OTHER than your Primary Residence, on which more than \$1,000 was owed as of December 31, 2018, which you were obligated to pay and where the creditor (person who loaned you the money) is NOT, by blood or marriage, your parent, grandparent, great grandparent, child, grandchild, great-grandchild, aunt, uncle, sister, brother, niece, nephew, or the spouse of any such relative?

Obligor Legend:  
Filer = F  
Spouse/Child(ren) = S/C  
Trust = T

Filer reported none.

31. Identify all mortgages, including home equity and reverse mortgage loans, other than any mortgage on your Primary Residence or any mortgage identified in response to Question 30, on which more than \$1,000 was owed as of December 31, 2018, and which your spouse and/or any dependent child(ren) residing in your household were obligated to pay and where the creditor (person who loaned the money to your spouse and/or dependent child(ren) residing in your household) is not, by blood or marriage, your parent, grandparent, great grandparent, child, grandchild, great-grandchild, aunt, uncle, sister, brother, niece, nephew, or the spouse of any such relative, and provide the required information for each.

Filer reported none.

32. Identify all non-mortgage debts of more than \$1,000 that you owed as of December 31, 2018, IF the person to whom you owed the debt is not, by blood or marriage, your parent, grandparent, great grandparent, child, grandchild, great-grandchild, aunt, uncle, sister, brother, niece, nephew, or the spouse of any such relative, and provide the required information for each.

Original Amount	Amount Owed	Interest Rate(%)	Date Repayment Due	Loan Collateral	Creditor Name	Creditor Address
\$10,001 to 20,000	\$10,001 to 20,000	11.75	06/20/2019	UNSECURED LOC	Pentagon FCU	Box 1432, Alexandria, VA, 22313 2032, US

33. Identify all non-mortgage debts of more than \$1,000 that your spouse and/or any dependent child(ren) residing in your household owed as of December 31, 2018, if the person to whom your spouse and/or any dependent child(ren) residing in your household owed the debt is not, by blood or marriage, your parent, grandparent, great grandparent, child, grandchild, great-grandchild, aunt, uncle, sister, brother, niece, nephew, or the spouse of any such relative, and provide the required information for each.

Interest Rate(%)	Date RayPayment Due	Loan Collateral	Creditor Name	Creditor Address
4.0	06/22/2016	On Demand - Stocks	Tompkins Investment Services	P.O. Box 6437, Ithaca, NY, 14851 6437, US

34. Identify non-mortgage debts of more than \$1,000 which you owed and which were forgiven at any time during 2018, excluding debts forgiven by a person who is, by blood or marriage, your parent, grandparent, great grandparent, child, grandchild, great-grandchild, aunt, uncle, sister, brother, niece, nephew, or the spouse of any such relative, and provide the required information for each.

Filer reported none.

35. Identify non-mortgage debts of more than \$1,000 that were owed by your spouse and/or any dependent child(ren) residing in your household and were forgiven at any time during 2018, excluding debts forgiven by a person who is, by blood or marriage, your parent, grandparent, great grandparent, child, grandchild, great-grandchild, aunt, uncle, sister, brother, niece, nephew, or the spouse of any such relative, and provide the required information for each.

Filer reported none.

## Reimbursements, Gifts, and Honoraria

36. Identify any Reimbursements for expenses in excess of \$100 provided to you at any time during 2018 by any legislative agent or executive agent (lobbyist).

Filer reported none.

36.a Identify any Reimbursements for expenses in excess of \$100, other than those identified in response to Question 36, you received at any time during 2018 from any person having a direct interest in a matter before the governmental body by which you were or are now employed.

Filer reported none.

37. Identify any Reimbursements for expenses in excess of \$100 provided to your spouse and/or any dependent child(ren) residing in your household at any time during 2018 by any legislative agent or executive agent (lobbyist).

Filer reported none.

37.a Identify any Reimbursements for expenses in excess of \$100, other than those identified in response to Question 36, provided to your spouse and/or dependent child(ren) residing in your household at any time during 2018 by any person having a direct interest in a matter before the governmental body by which you were or are now employed.

Filer reported none.

38. Identify any Gifts and/or Honoraria worth more than \$100 provided to you at any time during 2018 by any person having a direct interest in a matter before a governmental body by which you were or are now employed.

Filer reported none.

39. Identify any Gifts and/or Honoraria worth more than \$100 provided to your spouse and/or any dependent child(ren) residing in your household at any time during 2018 by any person having a direct interest in a matter before the governmental body by which you were or are now employed.

Filer reported none.

**NOTE:** If the Filer answered “YES” to a Question in the following section, one or more columns in the Table for that Question may be blank in the following situations: If the Filer indicated that the name of the person and/or the trust was a family member’s name or address, the Filer was not required to provide that name. If the Filer indicated that an address was a family member’s address, the Filer was not required to provide that address.

#### Blind Trusts

40. Did you, your spouse and/or any dependent child(ren) residing in your household during 2018, own anything that you have not reported on this Statement of Financial Interests because it was held in a Blind Trust during 2018?

Filer reported none.



## CERTIFICATION

I, James G Collins, certify under the pains and penalties of perjury that:

I made a diligent effort to obtain the required information concerning myself and my spouse and/or any dependent child(ren); and

The information provided on this form is true and complete, to the best of my knowledge.

Submitted: 04/29/2019

Did your spouse and/or any dependent child(ren) residing in your household decline to disclose information which is necessary to complete this form fully and accurately?

The following are the specific Question(s) which I decline to answer in whole or in part because I assert that the information is privileged by law:

Please explain the basis of your claim of privilege:

### IMPORTANT:

1. No DESIGNATED PUBLIC EMPLOYEE shall be allowed to continue in their duties or to receive compensation from public funds unless they have filed a Statement of Financial Interests with the State Ethics Commission.
2. The State Ethics Commission does not accept a faxed or emailed copy of a Statement of Financial Interests for filing.
3. If you were required to amend your Statement of Financial Interests last year, we encourage you to carefully review your 2018 filing before submitting.