

**UNITED STATES SENATE
COMMITTEE ON THE JUDICIARY**

QUESTIONNAIRE FOR NON-JUDICIAL NOMINEES

PUBLIC

1. **Name:** State full name (include any former names used).

Patti B. Saris

2. **Position:** State the position for which you have been nominated.

Member and Chair, United States Sentencing Commission

3. **Address:** List current office address. If city and state of residence differs from your place of employment, please list the city and state where you currently reside.

John Joseph Moakley U.S. Courthouse
1 Courthouse Way, Suite 8110
Boston, MA 02210

4. **Birthplace:** State year and place of birth.

1951; Boston, Massachusetts.

5. **Education:** List in reverse chronological order each college, law school, or any other institution of higher education attended and indicate for each the dates of attendance, whether a degree was received, and the date each degree was received.

Harvard Law School: 1973-1976, J.D. Cum Laude, 1976
Radcliffe College, 1969-1973, B.A. Magna Cum Laude, 1973

6. **Employment Record:** List in reverse chronological order all governmental agencies, business or professional corporations, companies, firms, or other enterprises, partnerships, institutions or organizations, non-profit or otherwise, with which you have been affiliated as an officer, director, partner, proprietor, or employee since graduation from college, whether or not you received payment for your services. Include the name and address of the employer and job title or description.

1994-Present
United States District Judge
John Joseph Moakley U.S. Courthouse
One Courthouse Way, Suite 8110,
Boston, MA 02210

1989 to 1993

Associate Justice
Massachusetts Superior Court
Suffolk County Courthouse
Boston, MA 02109

1986-1989

United States Magistrate Judge
United States District Court, District of Massachusetts
John W. McCormack Post Office and Courthouse Building
90 Devonshire Street
Boston, MA 02109

1982-1986

Attorney, Chief of the Civil Division, 1984-1986
Attorney, Member of the Civil Division, 1982-1984
United States Attorney's Office, District of Massachusetts
John W. McCormack Post Office and Courthouse Building
90 Devonshire Street
Boston, MA 02109

1981-1982

Litigation Associate
Berman, Dittmar & Engel, P.C.
No longer exists.

1981

Counsel, Personal Staff
Senator Edward M. Kennedy
United States Senate
Washington, DC 20510

1979-1981

Staff Counsel
United States Senate Judiciary Committee
Majority, Full Committee
United States Senate
Washington, DC 20510

1977-1979

Litigation Associate
Foley, Hoag & Eliot
155 Seaport Boulevard
Boston, MA 02210

1976-1977
Law Clerk to the late Justice Robert Braucher
Massachusetts Supreme Judicial Court
John Adams Courthouse, Suite 2500
One Pemberton Square
Boston, MA 02108

Uncompensated

2009-Present
Director
Codman Academy
637 Washington Street
Dorchester, MA 02124
(a charter school)

2009-Present
President
Boston Intellectual Property Inn of Court
Boston, MA

2008 – Present
Vice President Security and Planning
Federal Judges' Association
111 West Washington Street, Suite 1100
Chicago, IL 60602

2007-Present
Clerk, Director
21st Century Fund
Brookline High School
115 Greenough Street
Brookline, MA 02445

2006- Present
Director
Bottom Line
500 Amory Street, Suite Three
Jamaica Plain, MA 02130

2000-Present
Member
Harvard School of Education
Visiting Committee
86 Brattle Street
Cambridge, MA 02138

2000-Present
Member
Harvard College
Visiting Committee
86 Brattle Street
Cambridge, MA 02138

2000-2009
Member
Harvard Law School Visiting Committee
86 Brattle Street
Cambridge, MA 02138

2000-2006
President - 2005-2006
Overseer - 2000-2005
Harvard Board of Overseers
86 Brattle Street
Cambridge, MA 02138

2002-2006
Director
Legal Affairs, Inc. (magazine)
New Haven, CT

2003
Director
Boston Medical Center
One Medical Center Place,
Boston, MA 02118

1993
Director
Riesman Center for Harvard Hillel
Rosovsky Hall
52 Mount Auburn Street
Cambridge, MA 02138

Approximately 1993
Director
Boston Inns of Court
Now defunct

Approximately 1991
Trustee
Beth Israel Deaconess Medical Center

330 Brookline Avenue
Boston, MA 02215

1987-1992
Director
American Jewish Committee
126 High Street
Boston, MA 02110

1982-1986
Director
Women's Bar Association
27 School Street, Suite 500
Boston, MA 02108

7. **Military Service and Draft Status:** Identify any service in the U.S. Military, including dates of service, branch of service, rank or rate, serial number (if different from social security number) and type of discharge received, and whether you have registered for selective service.

I have not served in the military, nor have I registered for selective service.

8. **Honors and Awards:** List any scholarships, fellowships, honorary degrees, academic or professional honors, honorary society memberships, military awards, and any other special recognition for outstanding service or achievement.

Judicial Conference of the United States, Resolution of Appreciation for Work as Chair of the Committee on Defender Services from 2002-2005 (September 20, 2005)
Boston Bar Association, Citation of Judicial Excellence (May 6, 2003)
Boston Bar Association, Haskell Cohn Distinguished Judicial Service Award (July 29, 1997)
Federal Bar Association Judicial Recognition (January 24, 2007)
Boston Patent Law Association Distinguished Public Services Award (2008)
The Harvard University Medal of Honor (2009)
Girls' Latin School Distinguished Alumni Award
National Merit Scholar (1969)
Phi Beta Kappa, Radcliffe College (1973)
Award from: Mothers of Murdered Children, North Shore (1993)

9. **Bar Associations:** List all bar associations or legal or judicial-related committees, selection panels or conferences of which you are or have been a member, and give the titles and dates of any offices which you have held in such groups.

Budget Committee, United States Judicial Conference (2007 to present)

Defender Services Committee, United States Judicial Conference, (Member 1997-2002,

Chair, 2002-2005)

Federal Judges' Association (Member 1994 to present, Vice President Security and Planning, 2008 to present)

Harvard Law School, Visiting Committee (2000 to 2009)

Boston Intellectual Property Inn of Court (President, 2009 to present)

Ad Hoc Committee on Patent Jury Instructions, selected by Federal Circuit Judge Paul Michel (2008 to 2009)

Administrative Office, United States Courts working groups, including:

Improving the Criminal Justice Act voucher system

Court-room sharing

Computer-assisted legal research

(There may have been others over the years, but I do not have records of them.)

United States District Court liaison to the CJA Board (2006-2009)

Nelson Fellows Program, Boston, co-founder of program to mentor inner city youth in the courthouse (1995 to present)

American Bar Association Task Force on Pre-Trial Release and Speedy Trials (1999)

Women's Bar Association, Board of Directors (1982-1986)

Boston Bar Association, past member of Bench-Bar Committee (until 1986)

Boston Inns of Court, Board of Directors (approximately 1993)

Supreme Judicial Court, Committee on Civil Rules (Member from approximately 1988 to 1993)

Law Clerk Committee, Superior Court (approximately 1990-1993)

Time Standards Committee, Superior Court (approximately 1990-1993)

Massachusetts Association of Women Judges (approximately 1990-1993)

National Association of Women Judges (approximately 1990-1993)

10. **Bar and Court Admission:**

- a. List the date(s) you were admitted to the bar of any state and any lapses in membership. Please explain the reason for any lapse in membership.

I was admitted to the Massachusetts Bar in December 1976. There have been no lapses in membership.

- b. List all courts in which you have been admitted to practice, including dates of admission and any lapses in membership. Please explain the reason for any lapse in membership. Give the same information for administrative bodies that require special admission to practice.

I was admitted to the bar of the United States District Court for the District of Massachusetts on November 14, 1977, and to the First Circuit Court of Appeals in March, 1983. There have been no lapses.

11. Memberships:

- a. List all professional, business, fraternal, scholarly, civic, charitable, or other organizations, other than those listed in response to Questions 9 or 10 to which you belong, or to which you have belonged, since graduation from law school. Provide dates of membership or participation, and indicate any office you held. Include clubs, working groups, advisory or editorial boards, panels, committees, conferences, or publications.

Harvard Board Of Overseers, Cambridge, MA (President 2005-2006, Member 2000-2006).

Harvard School of Education, Visiting Committee (2000 to present)

Harvard College, Visiting Committee (2000 to present)

Bottom Line, Boston MA, Board of Directors (a philanthropy dedicated to helping inner city youth get into college and succeeding) (2006-present).

21st Century Fund, Brookline, MA, Board of Directors, Clerk (a philanthropy that supports innovative programming at Brookline High School, where my children attend) (2007-present)

Legal Affairs, Inc. (magazine), New Haven, CT, Board of Directors (2002-2006)

Codman Academy, Dorchester, MA, Board of Directors, (a charter school) (2009 to present)

The Saturday Club (an eating club) (at least 1994 to present)

Boston Medical Center, Board of Directors (2003); (I attended one meeting and then resigned due to a potential conflict with a pending case)

American Jewish Committee, Board of Directors (approximately 1987-1992)

Beth Israel Hospital, Board of Trustees (Approximately 1991)

Wexner Heritage Foundation. I participated as a student in an educational program every other Thursday night which taught Jewish history, ethics and religion (1990-1991)

Harvard Hillel, Board of Directors (1993)

Nisi Prius (eating club for lawyers and judges) (1994 to present)

The Lawyers' Club (dinner club for lawyers, professors and judges) (1994 to present)

- b. Indicate whether any of these organizations listed in response to 11a above currently discriminate or formerly discriminated on the basis of race, sex, religion or national origin either through formal membership requirements or the practical implementation of membership policies. If so, describe any action you have taken to change these policies and practices.

None.

12. Published Writings and Public Statements:

- a. List the titles, publishers, and dates of books, articles, reports, letters to the editor, editorial pieces, or other published material you have written or edited, including material published only on the Internet. Supply four (4) copies of all published material to the Committee.

I have provided copies of all published materials that were available to me. I no longer have any copies of some of the older materials, the originals of which were provided at the time of my confirmation in 1994.

As an undergraduate at Harvard, I wrote for the school newspaper, The Crimson. Some of those articles are available at
http://www.thecrimson.com/writer/6804/Patti_B._Saris/

Note: Is Federalism Dead? A Constitutional Analysis of the Federal No-Fault Automobile Insurance Bill Reform, 12 Harvard Journal on Legislation 668 (June 1975).

Principal author of Senate Judiciary Committee Report on Regulatory Reform, S.262, 96th Congr., 2d Session (1980). This report evaluates proposed changes in the Administrative Procedure Act and legislative proposals to alter the direction of regulatory policy.

Judge Abner J. Mikva, and Patti B. Saris, Congress: The First Branch of Government (Franklin Watts, Publisher, 1983).

Patti B. Saris, Setting Bail: A Proposal for Change, (Boston Bar Journal, September-October 1991).

Patti B. Saris, Linda Sandstrom, William F. Lee, The Basis of Expert Testimony: A Window into Reliability, (MCLE 1992).

Patti B. Saris, Below the Radar Screens: Have the Sentencing Guidelines Eliminated Disparity? One Judge's Perspective, 30 Suffolk U. L. Rev. 1027, 1060 (1997).

Patti B. Saris, Women in the Profession: A Firm Commitment (The WBA Quarterly, October 1998).

Honorable J. Harold Flannery, Honorable Patti B. Saris, Honorable Martha Sosman, and J.W. Carney, Jr., Massachusetts Evidence: A Courtroom Reference (MCLE 1999).

Massachusetts Continuing Legal Education (MCLE). Co-editor of book on women lawyers in Massachusetts (currently in planning stages).

- b. Supply four (4) copies of any reports, memoranda or policy statements you prepared or contributed in the preparation of on behalf of any bar association, committee, conference, or organization of which you were or are a member. If you do not have a copy of a report, memorandum or policy statement, give the name and address of the organization that issued it, the date of the document, and a summary of its subject matter.

American Bar Association, Standards on Pretrial Release.

American Bar Association, Standard on Speedy Trials and Timely Resolution of Criminal Cases.

- c. Supply four (4) copies of any testimony, official statements or other communications relating, in whole or in part, to matters of public policy or legal interpretation, that you have issued or provided or that others presented on your behalf to public bodies or public officials.

I gave a statement to the U.S. Sentencing Commission as Chair of Defender Services on November 16, 2004. See attached.

Testimony to the Joint Committee on Criminal Justice of the Massachusetts Legislature, about bail reform proposed as part of a Domestic Violence Bill, April 15, 1992. I do not have a copy of my testimony.

Testimony to the Governor's Council on behalf of Margot Botsford at her confirmation hearing for the Supreme Judicial Court, September 30, 2007. I do not have a copy of my testimony.

- d. Supply four (4) copies, transcripts or recordings of all speeches or talks delivered by you, including commencement speeches, remarks, lectures, panel discussions, conferences, political speeches, and question-and-answer sessions. Include the date and place where they were delivered, and readily available press reports about the speech or talk. If you do not have a copy of the speech or a transcript or recording of your remarks, give the name and address of the group before whom the speech was given, the date of the speech, and a summary of its subject matter. If you did not speak from a prepared text, furnish a copy of any outline or notes from which you spoke.

In addition to the many speeches and remarks I have delivered over the years, I have also served on innumerable panels on federal civil practice, employment law, criminal law (including sentencing), intellectual property and trial procedures offered by the Boston Bar Association, Massachusetts Continuing Legal Education, the American Intellectual Law Association, etc. I have tried to identify as many of these as I could by reviewing my calendars and electronic databases, but I have not kept records of all my participation in education panels, and there may be some I have not been able to recall.

1985-1986, I was a panelist at the annual MBA meeting in Chatham, MA. I discussed the award of attorneys' fees to parties prevailing against the federal government. No notes or speech. No notes or speech.

Late 1985 or early 1986, I spoke at a conference of Assistant United States Attorneys to encourage them to undertake more affirmative civil litigation, particularly in the area of civil rights. No notes or speech.

June 1988, I spoke to a seminar of about 200 school teachers concerning the role of the Senate in confirming Article III judges. No notes or speech.

December 13, 1990, Boston, MA, Boston Bar Program, Tough Issues in Discovery: Tackling Issues that Defy Simple or Black Letter Answers. No notes or speech.

May 2, 1991, Boston, MA, Boston Bar Forum, A view from the Bench: Motions for Preliminary Injunction in Trade Secret and other Intellectual Property Cases. No notes or speech.

May 16, 1991, Boston, MA, Massachusetts Continuing Legal Education (MCLE), Rule 11 Snags Lawyers – Sanctions under Rules 11 and 37. No notes or speech.

June 1992, Boston, MA, MCLE, Direct and Cross Examination of Experts. No notes or speech.

September 8, 1992, MCLE, Obtaining and Defending Prejudgment Security – A view from the Bench. No notes or speech.

September 30, 1992, Boston, MA, Boston Bar Foundation, Labor and Employment Section, Motions to Dismiss in Employment Cases. No notes or speech.

February 26, 1993, Boston, MA, Suffolk University Law School, Advanced Legal Studies: How to Try a Discrimination Case to Jury. No notes or speech.

March 10, 1993, Boston, MA, Boston Human Resources Association mock trial on a sexual harassment, wrongful discharge case. No notes or speech.

January 23, 1993, Boston, MA, Boston Human Resources Association, Federal Civil Practice. No notes or speech.

September 1993, I spoke to the Brookline, MA, League of Women Voters regarding domestic violence. No notes or speech.

October 1993, I addressed a conference on violence at Salem State College in a program run by the Probation Department. No notes.

October 30, 1993, Massachusetts Association of Trial Attorneys, Address on civil trial developments. No notes or speech.

January 4, 1994, Boston, MA, Investiture Remarks, United States District Court. No notes or speech. Press coverage attached.

January 20, 1994, Boston, MA, Women's Bar Association, Remarks about being a judge. Speech attached.

May 4, 1994, Boston, MA, Excellence in Government Awards, Federal Executive Board, Speech to federal employees. Speech attached.

March 10, 1995, Boston, MA, MCLE, Panel Discussion on Practicing in Federal Court. No notes or speech.

April 5, 1995, Exeter, NH, Speech to Phillips Exeter Academy. Speech attached.

May 15, 1995, Boston, MA, Evidence Seminar at court. No notes or speech.

July 23, 1995, Plymouth, MA, Naturalization Ceremony. No notes or speech.

September 13, 1995, Boston, MA, Boston Patent Association, Remarks at Patent and Trademark dinner. Outline attached.

November 4, 1995, Boston, MA, Securities Litigation, Panel: View from the Bench. No notes or speech.

November 14, 1995, Cambridge, MA, Speech at Harvard Law School, Police, Lying and Truth Symposium. Speech Attached.

November 1, 1996, Joint Federal/State Probation Conference, Federal Sentencing Guidelines. No notes or speech.

January 1997, Boston, MA, Boston Bar Association, Speech on Recent Federal Developments in Criminal Law. Outline attached.

March 11, 1997, Boston, MA, MCLE, From State to Federal Practice. Outline attached.

April 3, 1997, Boston, MA, Suffolk University Law School Lecture, Speeches re: Sentencing Guidelines. Speech attached.

May 2, 1997, Waltham, MA, Bentley College Chapter of Beta Gamma Sigma Speech. Speech attached.

May 22, 1997, Boston, MA, Conference for Court-Appointed Counsel in Federal Criminal Cases, Downward Departure Rates in D. Mass, D. NH, D. Conn, and D. RI. Outline attached.

July 29, 1997, Boston, MA, Boston Bar Association Haskell Cohn Award. Speech attached.

December 12, 1997, New Orleans, LA, Tulane University, Panel: DNA in the Courtroom. No notes or speech.

January 15, 1998, Boston, MA, Boston Bar Association, Cutting Edge Issues in Federal Court. Outline attached.

January 30, 1998, Cambridge, MA, Harvard Law School, Member of panel, Celebration 45 "The New Courtroom and ADR". No notes or speech.

February 10, 1998, Boston, MA, MCLE, Evidence Rules for Trial Lawyers. No notes or speech.

March 5, 1998, Boston, MA, Combined Jewish Philanthropies. Speech attached.

March 23, 1998, New York, NY, New York University Employment Law Seminar, Panel on Practical Issues in Employment Litigation Presented in multiple years. No notes or speech.

April 21, 1998, Boston, MA, Harvard Alumni Association. Remarks attached.

June 3, 1998, Cambridge MA, Harvard 25th Reunion, Toast of Class Marshal. Speech attached.

June 17, 1998, Boston, MA, MCLE, Claim Construction and Markman Hearings. Notes attached.

August 27-28, 1998, Portland, ME, Criminal Justice Act Conference "Winning Strategies for Defending Federal Criminal Cases", Panel "From Conviction to Sentencing". No notes or speech.

September 13, 1998, Boston, MA, Boston Patent Law Association. No notes or speech.

October 6, 1998, Boston, MA, Boston Bar Association, Hot Topics in Criminal Law '98, Panel, No notes or speech.

October 15, 1998, Boston, MA, Combined Jewish Philanthropies. Speech attached.

January 14, 1999, Boston, MA, Boston Bar Association, Panel: The Cutting Edge: 1998's Most Important Changes in Federal and State Criminal Law. Speech attached.

March 5, 1999, Boston, MA, The Equal Employment Opportunity Commission, Formal Speech. Speech attached.

April 22, 1999, Boston, MA, ALI-ABA Program, Trade Secrets and Protecting High Tech Markets. No notes or speech.

May 26, 1999, Boston, MA, Flaschner Institute, "What is the Role of Spiritual Values in our Services as Judges?" No notes or speech.

June 30, 1999, Boston, MA, MCLE Intellectual Property Conference, Panel on Markman hearings in patent infringement cases. No notes or speech.

August, 1999, A Legislative Challenge: Fairly Funding Indigent Criminal Defense. While my records and memory are unclear, I believe this was a speech to a group of panel attorneys in the First Circuit. Speech attached.

November 16, 1999, Boston, MA, Boston University Women's Council. Speech attached.

January 2000, Boston, MA, Boston Bar Association, The Cutting Edge: 1999's Most Important Changes in Federal and State Criminal Law with a Look Ahead at 2000. Speech attached.

February 8, 2000, Boston, MA, MCLE Daubert program, Panel "A View from the Bench". Outline attached.

March 29, 2000, BIO 2000, Panel on Intellectual Property. No notes or speech.

May 3, 2000, panelist, Digital Discovery Workshop, The Berkman Center for Internet & Society at Harvard Law School. No notes or speech. Discussion log of event available at: <http://cyber.law.harvard.edu/digitaldiscovery/chat-log.html>

May 17, 2000, Boston, MA, Citizen Schools Moot Court Speech on Federal Court Public Education Project. Speech on Role of Courts. Attached.

June 29, 2000, Boston, MA, Federal Defender Training Groups, "Winning Strategies". No notes or speech.

July 6, 2000, Boston, MA, Federal Public Defenders. Outline attached.

September 14, 2000, Boston, MA, MCLE, Panel on Employment Law Practice after Abramian, Reeves, Wynn & Winn. No notes or speech.

October 17, 2000, Boston, MA, International Women's Insolvency and Restructuring Federation, Speech at a Reception. Outlined attached.

November 8, 2000, Waltham, MA, New Jewish High School, View from the Bench. Speech attached.

December 1, 2000, MCLE, Trial Tactics and Ethics. Outline attached.

December 13, 2000, Boston, MA, Citizen Schools, Comment/Remarks about Federal Court Public Education Project. Outline attached.

January 17, 2001, Federal Judges Association, Lecture on Judicial Perspective on Civil Rights Actions Under Section 1983. No notes or speech.

April 26, 2001, Boston, MA, Speech to Temple Israel Brotherhood, "Jewish View from the Bench". Speech attached.

May 10-12, 2001, Boston, MA, ALI-ABA, Program on Employment Litigation. No notes or speech.

May 22, 2001, Boston, MA, The Federal Court Education Project. Remarks attached.

June 14, 2001, Boston, MA, MCLE, Class Action Seminar. No notes or speech.

July 2001, Seattle, WA, Panel Member, "Validity of Patents in the Patent Office and Courts – USA." Center for Advanced Study & Research on Intellectual Property, 2001 High Technology Summit Conference, University of Washington, Seattle. Transcript attached.

October 30, 2001, Boston, MA, Boston Bar Association Criminal Law Section, Panel on Federal Developments. No notes or speech.

January 16, 2002, Boston, MA, Boston Bar Association, Panel: The Cutting Edge: 2001's Most Important Changes in Federal and State Criminal Law with a Look Ahead at 2002. Summary attached.

January 24, 2002, Boston, MA, State Sentencing Commission, The Sentencing Guidelines: The Federal Experience. Speech attached.

January 26, 2002, Boston, MA, Massachusetts Bar Association: A Celebration of Law and Justice, Moderator: Bench Bar Forum on the effects of 9/11 on civil liberties; confronting the legal issues. Remarks attached.

April 9, 2002, Boston, MA, MCLE, Federal Civil Litigation in the First Circuit. Program Outline attached.

May 15, 2002, Boston, MA, MCLE Sentencing Program, Tips from Judges. No notes or speech.

May 23, 2002, Boston, MA, Massachusetts Association for Law-Related Education (for school teachers), Panels: protecting the public from terrorism: the difficult balance between security and civil reform: panel; Facing challenges for immigration law: the rights of foreigners after 9/11. No notes or speech.

July 10, 2002, Boston, MA, MCLE, Employment Discrimination Law. No notes or speech.

July 25-26, 2002, Federal Bar Association, Panel: Cutting Edge Issues in Federal Criminal Law and Procedure. No notes or speech.

August 23, 2002, Washington DC, Reinventing Sentencing Workshop given by Defender Services Division of the Administrative Office, Remarks on Judging at Sentencings. No notes or speech.

October 18, 2002, Boston, MA, Boston Bar Association, Commercial Cases in Federal Courts. Outline attached.

October 20, 2002, Boston, MA, Massachusetts Association for Law-Related Education Conference (for school teachers), Panel on Search and Seizure and rights of criminals vs. rights of victims. No notes or speech.

November 8, 2002, Sedona, AZ, "Summary Judgment Trials After Festo & Markman" The Third Annual Sedona Conference on Patent Litigation. No notes or speech.

January 15, 2003, Boston, MA, Boston Bar Association, Panel: Cutting Edge Issues in Federal Criminal Law. Outline attached.

February 26, 2003, Boston, MA, MCLE Second Annual Business Litigation Conference, The Federal Perspective. Outline attached.

April 8, 2003, Boston, MA, Boston Bar Association, Moderator/Sponsor Gideon's Promise. Outline attached.

April 28, 2003, Patent Seminar - Patent Litigation Find Law, Panel: Developments in Patent Law. No notes or speech.

July 15, 2003, Boston, MA, MCLE Program, Electronic Filing. No notes or speech.

October 2, 2003, Cambridge, MA, Harvard Law School Hale & Dorr Conference, Speech on Intellectual Property. Speech attached.

October 2-3, 2003, Boston, MA, American Bar Association and University of Texas Law School: The Future of Class Action Litigation in America, Panel: Hot Topics in Class Actions, New Areas, New Subjects & More. No notes or speech.

November 14, 2003, Cleveland, OH, "The Past, Present & Future of the Federal Circuit," Law, Technology & the Arts Symposium, Center for Law, Technology & the Arts, Case Western Reserve University School of Law. No notes or speech.

February 5, 2004, Boston, MA, Combined Jewish Philanthropies, SEA Speech to lawyers and accountants: The Story of the Sea. Speech attached.

March 24, 2004, Boston, MA, Federal Criminal Appellate Practice, CJA Panel (rates and management). No notes or speech.

May 1, 2004, Cambridge, MA, Signet Society. Speech attached.

May 12, 2004, Cambridge, MA, Dinner Speech, Harvard Foundation and the Harvard Alumni Association Evening in honor of Judge A. David Mazzone. No notes or speech. Press coverage attached.

November 8, 2004, Boston, MA, National Consumer Law Center/Consumer Class Action Symposium, Panel on Class Action Litigation. No notes or speech.

November 16, 2004, Statement as Chair of the Defender Services Committee, Statement to Sentencing Commission. Attached.

March 18, 2005, Boston, MA, Boston Town Meeting on Patent Reform, Speech attached.

April 7, 2005, Boston, MA, MCLE Seminar, Panel: Representing Directors, Officers and Employees in Securities Cases. No notes or speech.

May 17, 2005, Boston Bar Association Program on Complex Torts, Panel Discussion. No notes or speech.

October 7, 2005, Galveston, TX, Conference on Patent Reform, Speech on Patent Reform. Speech attached.

October 19, 2005, Cambridge, MA, Harvard Law School Conference on Intellectual Property, Patent Litigation: View from the Bench. No notes or speech.

March 9, 2006, Boston, MA, Women's Bar Association Annual Conference. Speech attached.

June 20, 2006, Boston, MA, American Bar, Practical Tips on Handling Intellectual Property Disputes. Speech attached.

July 27, 2006, Boston, MA, Anti-Defamation League, Speech to Lawyers. Outline attached.

October 26, 2006, Boston, MA, BIO - Intellectual Property Counsels Conference, Committee Meeting. Speech attached.

November 16, 2006, Alexandria, VA, George Mason University School of Law and Univ. Of Texas School of Law 2006 Advanced Patent Law Institute on Current Developments in Claim Construction, Remarks on Panel on claim construction and other patent issues. No speech or notes.

January 19, 2007, Boston, MA, MCLE Business Litigation Conference, Views from the Bench. No notes or speech.

January 24, 2007, Boston, MA, Federal Bar Association, Speech after receiving award. Speech attached.

January 25, 2007, Boston, MA, American Immigrant Lawyers Association, Panel on Immigration Law. No notes or speech.

March 1-2, 2007, San Diego, CA, ABA, White Collar Crime, Panel on practical advice on sentencing. No notes or speech.

April 12, 2007, Crystal City, Washington, D.C., ABA Annual Meeting, Section of Intellectual Property, Panel: Patent Litigation: Is It Broken and Can We Fix It? No notes or speech.

May 9, 2007, Boston, MA, American Intellectual Patent Law Association, Patent Law Speech on Patent Reform. Attached.

May 23-25, 2007, Salt Lake City, UT, The 16th Annual National Seminar on Federal Sentencing Guidelines, Panel on View from the Bench. Notes attached.

July 23, 2007, Boston, MA, Federal Bar Association, Young Lawyers Division. Remarks attached.

August 22, 2007, Boston, MA, Speech to the Chemical Society, Science Litigation, views from the bench and bar. Remarks attached.

September 18, 2007, Boston, MA, Boston Bar Association, Speech regarding Tony Doniger, the new President. Speech attached.

October 5, 2007, Boston, MA, U.S. Courthouse, Tribute to Judge Robert Keeton. Speech attached.

October 25, 2007, Boston, MA, American Bar Association, Speech on Issues of Sub-Classing. Attached.

November 15-16, 2007, Patent Claim Construction, The Advance Legal Forum, View from the Bench. Notes attached.

January 10-11, 2008, Alexandria, VA, 2008 Advanced Patent Law Institute at USPTO, District Judges Panel. No notes or speech.

January 15, 2008, Boston, MA, MCLE, Panel on trying your first criminal case. No notes or speech.

March 28, 2008, New York City, NY, The New York Intellectual Property Law Association, Trying a patent case in view of recent Supreme Court cases. No notes or speech.

May 1, 2008, ALI-ABA Online CLE, Securities Litigation: Planning and Strategies. No notes or speech.

May 15, 2008, Washington, D.C., Federal Circuit Judicial Conference (25th Anniversary), Panel. Notes attached.

June 10, 2008, Boston, MA, Boston Patent Law Association Litigation Committee Damages Seminar, Panel. Notes attached.

June 18, 2008, Boston, MA, Class Action Litigation Torts Program; Complex Issues and Emerging Trends in Class Action Litigation, Panel discussion. No notes or formal speech.

September 17, 2008, Boston, MA, Naturalization Ceremony, Fenway Park. Remarks Attached.

April 6, 2009, Boston, MA, Federal Bar Association, Speech Honoring Chief Judge Wolf. Attached.

May 8, 2009, Palo Alto, CA, Patent Litigation in the Biosciences: A View from the Bench, The Stanford Law School Conference on Intellectual Property Law and BioSciences. MP3 available at <http://www.slsipbioconference.com/materials/>

July 9-10, 2009, Boston, MA, ALI-ABA, Panel Discussion on Insurance and Financial Services Industry Litigation. No notes or speech.

October 7, 2009, Boston, MA, CJA Panel Attorneys, Reception for CJA Attorneys; Introduction Speech. No notes or speech.

October 17, 2009, American Intellectual Property Law Association Annual Meeting, Outline re: patent trials. Attached.

October 25, 2009, National Employment Lawyers Association, Outline attached.

January 27, 2010, Boston, MA, Roundtable with Judge Young, Judge Saris and Judge Gertner, Gaining Insights Into Federal Practice, MCLE. No notes or speech. MP3 available at http://www.mcle.org/program-calendar/program-catalog.cfm?product_code=2100139P01

January 28, 2010, Boston, MA, Boston Bar Association, "The Cutting Edge Issues in Criminal Law." No notes or speech.

March 18, 2010, New Orleans, LA, Sentencing Advocacy Workshop, "Judging at Sentencing" Panel. No speech or notes.

April 13, 2010, Boston, MA, Harvard Jewish Law Students Association. Notes attached.

- e. List all interviews you have given to newspapers, magazines or other publications, or radio or television stations, providing the dates of these interviews and four (4) copies of the clips or transcripts of these interviews where they are available to you.

Over the years, as a prosecutor, federal magistrate judge, state judge, and federal district court judge, I have made it a general policy not to give interviews about particular cases, but I have spoken to reporters about various more general legal issues, and about other topics, including my involvement at Harvard. I have searched my files and various internet databases to try and provide as complete a list of these interviews as possible.

Leslie J. Seifert, "*University Contemplates Additional Energy Moves*," The Harvard Crimson, Dec. 8, 1973.

Jean Dietz, "*Insurance Hearing Ponders Requiring Maternity Benefits*," The Boston Globe, Apr. 4, 1984.

Peter Gosselin and Stephen Kurkjian, "*Banks Are Not the Only*," The Boston Globe, May 14, 1985.

Elizabeth Neuffer, "*Few Applicants So Far for US Magistrate Job*," The Boston Globe, November 8, 1989, at 36.

Toni Locy, "*Bail Plan Receives Tepid Response from Female Legislators' Caucus*," The Boston Globe, April 16, 1992 at 30.

"*Women Not Totally Sold on Domestic Violence Bill*," Worcester Telegram & Gazette, Apr. 16, 1992.

Heidi B. Perlman, "*Two Brookline Women Seek Nods for Federal District Court*," The Jewish Advocate, August 19, 1993 at 1.

Scott S. Greenberger, "*Kennedy Staffers 'Graduate' to Positions of Power*," States News, July 7, 1994.

Ralph Ranalli, "*New Views from the Bench*," The Boston Herald, August 7, 1994, Magazine at 15.

Judy Rakowsky, "*A New Order in the Court*," The Boston Globe, September 24, 1995 at 33.

Michael Gelbwasser, "*Stories of Spirituality: 'Celebrity Teachers' Tell of Spiritual Quests Through Torah, Talmud and Other Jewish Texts*," The Jewish Advocate, March 19, 1998, at 17.

Patricia Wen and Bruce Mohl, "*A Practical Mother's Day Gift: Tips to Save Time and Money*," The Boston Globe, May 10, 1998.

"*Judge Patti Saris: On Returning for a 25th Reunion*," The Harvard University Gazette, June 4, 1998.

William F. Doherty, "*Judges Aren't All Smiling for Camera*," The Boston Globe, April 7, 2000, at B6.

Denise Magnell, "*WBA Survey: Part-Timers Get Raw Deal*," The National Law Journal, Dec. 11, 2000.

Erica B. Levy, "*Patti B. Saris: Local Judge Cites Harvard as Inspiration*," The Harvard Crimson, May 2, 2000.

Shelley Murphy, "*Finding Defender for Flemmi Proves a Hard Sell*," The Boston Globe, February 3, 2001, at B6.

Kendra Johnson, "*Building Citizens*," The Patriot Ledger, March 1, 2002, at 11.

"*Committee Defends Independence of Representation: An Interview with Judge Patti B. Saris*," The Third Branch, April 2005.

Albert W. Alschuler, "*Disparity: The Normative and Empirical Failure of the Federal Guidelines*," 58 Stanford Law Review 85, October 2005.

Laurel J. Sweet, "*Federal Trials Up 154 Percent With Sullivan at the Helm*," The Boston Herald, November 7, 2005, at 8.

"*Lawrence Summers to Step Down as President at End of Academic Year*," States News, February 21, 2006.

Daniel J. T. Schuker, "*Overseeing – But Not Heard?*" The Harvard Crimson, June 7, 2006.

Stephanie Ebbert, "*Hearing Bodes Well for Botsford*," The Boston Globe, August 30, 2007, at B1.

"*Anthony M. Doniger Takes Office as New BBA President*," Boston Bar Association Week, September 3, 2007.

Barbara Rabinovitz, "*Massachusetts Bench, Bar Reflect on Passing of 'Very Special Guy'*," Massachusetts Lawyers Weekly, March 23, 2009.

Wil Haygood, "*A Connection to the End*," The Washington Post, August 30, 2009, at A10.

Emma Baccalough, "*Questions and Answers*," Intellectual Property, October 2009.

13. Public Office, Political Activities and Affiliations:

- a. List chronologically any public offices you have held, other than judicial offices, including the terms of service and whether such positions were elected or appointed. If appointed, please include the name of the individual who appointed you. Also, state chronologically any unsuccessful candidacies you have had for elective office or unsuccessful nominations for appointed office.

When I was 18 in 1969, I was elected to the Democratic Ward Committee in West Roxbury, Massachusetts.

- b. List all memberships and offices held in and services rendered, whether compensated or not, to any political party or election committee. If you have ever held a position or played a role in a political campaign, identify the particulars of the campaign, including the candidate, dates of the campaign, your title and responsibilities.

I played a low-level volunteer role in Senator Kennedy's campaign for President in 1980.

14. Legal Career: Answer each part separately.

- a. Describe chronologically your law practice and legal experience after graduation from law school including:

- i. whether you served as clerk to a judge, and if so, the name of the judge, the court and the dates of the period you were a clerk;

I clerked for Justice Robert Braucher (former Harvard Law Professor, now deceased), Massachusetts Supreme Judicial Court, 1976-1977.

- ii. whether you practiced alone, and if so, the addresses and dates;

I have never practiced alone.

- iii. the dates, names and addresses of law firms or offices, companies or governmental agencies with which you have been affiliated, and the nature of your affiliation with each.

1982-1986: United States Attorney's Office, District of Massachusetts, Civil Division.

Berman, Dittmar & Engel, PC (Associate) 1981-1982. I was involved primarily in commercial litigation.

Senate Judiciary Committee Staff Counsel, 1979-1981. I worked for Senator Edward M. Kennedy who for two years was chairman of the committee. In 1980-81, I handled the Comprehensive Crime Control Act, including the bail reform provision that added the criterion of dangerousness to a judge's decision-making process and sentencing reform.

Foley, Hoag & Eliot, Litigation Associate, 1977-1979.

- iv. whether you served as a mediator or arbitrator in alternative dispute resolution proceedings and, if so, a description of the 10 most significant matters with which you were involved in that capacity.

I have never served as a mediator or arbitrator.

b. Describe:

- i. the general character of your law practice and indicate by date when its character has changed over the years.

1994 – Present. United States District Court Judge, United States District Court, District of Massachusetts.

1989-1993 Justice, Massachusetts Superior Court. The Superior Court is the court of general trial jurisdiction which handles all significant felony trials and all civil trials worth more than \$25,000. On the criminal side, the court has jurisdiction over murder, rape, child abuse, robbery, drug distribution, etc. On the civil side, the court handles commercial disputes, medical malpractice, personal injury, civil rights, employment disputes, etc. The court also has exclusive equity jurisdiction. I was appointed for life by the Governor after being approved by a State Merit Selection Committee. I was approved by the Governor's Council.

1986-1989. United States Magistrate Judge, United States District Court, District of Massachusetts. I was appointed by the federal judges. My jurisdiction was criminal (except felony trials), and civil.

1982-1986: United States Attorney's Office, District of Massachusetts, Civil Division. As Chief of the Division from 1984-1986, I supervised 12 Assistant United States Attorneys and an administrative staff of 12. I assigned complaints; reviewed significant briefs; approved settlements; reviewed appeal recommendations; prepared personnel evaluations;

coordinated civil and criminal actions; and supervised performance of trial attorneys. Throughout my employment in the U.S. Attorney's Office, I engaged in litigation in all stages of a civil action from complaint through appellate argument in the First Circuit Court of Appeals. My litigation arose under the Federal Tort Claims Act; the Fair Housing Act; the False Claims Act; Title VII of the Civil Rights Act of 1964; various environmental statutes like the Clean Air Act, the Clean Water Act, and CERCLA, the SuperFund statute; drug forfeiture statutes; and the social security laws.

Berman, Dittmar & Engel, PC (Associate) 1981-1982. I was involved primarily in commercial litigation. My most significant experience there was as second chair in a four month jury trial in federal District Court, Manhattan Life Ins. Co. v. Boston Safe Deposit and Trust Co., Civ. Action No. 70-837-K. I also engaged in motions practice in state and federal court.

Senate Judiciary Committee Staff Counsel, 1979-1981. I worked for Senator Edward M. Kennedy who for two years was chairman of the committee. My area of expertise was regulatory reform. I was the full Committee staff person responsible for the regulatory reform legislation in the committee such as the Regulatory Flexibility Act to reduce the burden of regulation on small business; and omnibus legislation to reform the Administrative Procedure Act, such as a requirement for cost-benefit analysis in rulemaking. I also handled certain civil rights legislation like making Martin Luther King day a federal holiday, and the so-called Stanford Daily legislation to provide certain statutory protections against searches of press offices. In 1980-81, I handled the Comprehensive Crime Control Act, including the bail reform provision that added the criterion of dangerousness to a judge's decision-making process and sentencing reform.

Foley, Hoag & Eliot, Litigation Associate, 1977-1979. I represented General Dynamics and the University of Massachusetts, among others, in labor matters like arbitrations under collective bargaining agreements. I was involved in the pro bono program. My most significant activity was working on the investigation of a state judge for alleged unethical conduct.

Clerk for Justice Robert Braucher (former Harvard Law Professor, now deceased), Massachusetts Supreme Judicial Court, 1976-1977.

- ii. your typical clients and the areas at each period of your legal career, if any, in which you have specialized.

When I worked in the private law firms, as described above, I usually represented businesses or institutions in commercial litigation, primarily

as a defendant.

When I worked in the Civil Division, I represented government agencies when they were defendants in tort litigation or in challenges to the constitutionality or legality of their programs or actions. I also initiated litigation on behalf of the agencies under the False Claims Act when the agencies believed that a company was defrauding them; under the environmental statutes against violators; under the drug forfeiture laws; and under the civil rights provisions. For example, I initiated litigation against certain landlords whom HUD believed were violating the Fair Housing Act; and against the Department of Corrections for discriminating against women under Title VII.

- c. Describe the percentage of your practice that has been in litigation and whether you appeared in court frequently, occasionally, or not at all. If the frequency of your appearances in court varied, describe such variance, providing dates.

Now, as a federal judge, all my time, of course, is in federal court.

- i. Indicate the percentage of your practice in:

1. federal courts; **90%**
2. state courts of record; **10%**
3. other courts; **None**
4. administrative agencies **None**

- ii. Indicate the percentage of your practice in:

1. civil proceedings; **95%**
2. criminal proceedings. **5%**

- d. State the number of cases in courts of record, including cases before administrative law judges, you tried to verdict, judgment or final decision (rather than settled), indicating whether you were sole counsel, chief counsel, or associate counsel

Altogether, as a litigator, I have personally tried to conclusion five cases in Federal District Court. I second-chaired another federal court jury trial. As a student district attorney, I prosecuted about twelve cases in Cambridge District Court, Middlesex County.

- i. What percentage of these trials were:

1. jury;
2. non-jury.

As a litigator, 95% of my trials were non-jury, and 5% jury.

- e. Describe your practice, if any, before the Supreme Court of the United States. Supply four (4) copies of any briefs, amicus or otherwise, and, if applicable, any oral argument transcripts before the Supreme Court in connection with your practice.

I have not practiced before the Supreme Court of the United States.

15. **Litigation**: Describe the ten (10) most significant litigated matters which you personally handled, whether or not you were the attorney of record. Give the citations, if the cases were reported, and the docket number and date if unreported. Give a capsule summary of the substance of each case. Identify the party or parties whom you represented; describe in detail the nature of your participation in the litigation and the final disposition of the case. Also state as to each case:

- a. the date of representation;
- b. the name of the court and the name of the judge or judges before whom the case was litigated; and
- c. the individual name, addresses, and telephone numbers of co-counsel and of principal counsel for each of the other parties.

I have included as many matters as I could after consulting my records, my memory, and the questionnaire I submitted to the Judiciary Committee in 1993 in connection with my nomination to the District Court. It has been many years since I practiced law and my records are limited.

United States v. AVX Corporation, Civ. Action No. 83-3882-Y, U.S. District Court, MA. Litigation before Judge Young under the Comprehensive Environmental Response Compensation and Liability Act of 1980, commonly known as the Superfund law, against two manufacturing plants which discharged PCBs into New Bedford Harbor. For about one year, 1985-1986, I was lead counsel representing the Environmental Protection Agency. It settled after I became a United States Magistrate Judge.

Opposing counsel were:

Verne Vance, Foley Hoag & Eliot, 1 Post Office Square, Boston, MA, 617-482-1390.

Daniel J. Gleason, Mary Ryan, Nutter McLennen & Fish, 1 International Place, Boston, MA, 617-439-2000

Paul Galvani, Ropes & Gray, 1 International Place, Boston, MA, 617-951-7000

David A. McLaughlin, McLaughlin & Folan, New Bedford, MA, 508-992-9730

John Quarles, Janine Sweeney, Morgan Lewis & Bockius, Washington, DC.

United States v. Holyoke Housing Authority, Civ. Action No. 85-0493-F, U.S. District Court, MA. Litigation in 1985 under the Fair Housing Act against the Authority for discriminating against Hispanics. I was lead counsel in developing facts and legal theories and negotiating consent decree.

Opposing counsel: Thomas M. Barrett, Bussell, Barrett, Marra & Smith, 324 High Street, Holyoke, MA, 413-536-0800.

Bucci v. Bell, Civ. Action No. 81-2973-MA, U.S. District Court, MA. In 1983, I was lead counsel in defending the Department of Education in a discrimination suit under Title VII. This bench trial before Judge Mazzone lasted several days spread over two weeks. Opposing counsel: Mitchell Benjoya (not listed in lawyer's directory).

Chesna v. International Fueling Co., Civ. Action No. 80-2230-K, U.S. District Court, MA. I represented a member of the Federal Reserves charging employment discrimination in a bench trial before Judge Robert Keeton, and handled the appeal of the action. The trial judge was affirmed. See 753 F.2d 1067 (1st Cir. 1984). Opposing counsel was John W. Lincoln, 440 Market Street, Rockland, MA, 871-1533.

Ricci v. Murphy, Civ. Action No. 72-0469-T, U.S. District Court, MA. I represented the Secretary of Health and Human Services in class action involving the state schools for the mentally retarded before Judge Tauro. Opposing counsel were: Carl Valvo, then Assistant Attorney General, 1 International Place, Boston, MA, 617-439-7770; Beryl Cohen, 11 Beacon Street, Boston, MA 617-742-3322; Nonnie Burnes, Hill & Barlow, 1 International Place, Boston, MA, 617-439-3555.

Manhattan Life Ins. Co. v. Boston Safe Deposit & Trust Co., Civ. Action No. 70-887-K, U.S. District Court, MA. In 1981, I second chaired a four month jury trial with James Dittmar representing Boston Safe Deposit and Trust Co. Opposing counsel were Erik Lund, 100 Charles River Plaza, Boston, MA, 617-367-9595; James St. Clair, Hale and Dorr, 60 State Street, Boston, MA, 617-742-9100; Robert Bonin, 1 Boston Place, Boston, MA, 617-723-2525.

16. **Legal Activities:** Describe the most significant legal activities you have pursued, including significant litigation which did not progress to trial or legal matters that did not involve litigation. Describe fully the nature of your participation in these activities. List any client(s) or organization(s) for whom you performed lobbying activities and describe the lobbying activities you performed on behalf of such client(s) or organizations(s). (Note: As to any facts requested in this question, please omit any information protected by the attorney-client privilege.)

As a federal judge, I have handled two multi-district litigation cases involving the pharmaceutical industry, multiple criminal trials (guns, drugs, immigration), complex patent and securities cases, and numerous diversity trials. My two multi-district litigation cases are In re: Pharmaceutical Industry Average Wholesale Price Litigation, Civ. Action No. 01-12257-PBS, and In re: Neurontin Marketing, Sales Practices, and Products Liability Litigation, Civ. Action No. 04-10981-PBS.

Prior to becoming a federal judge, the litigation I was most proud of involved the Holyoke Housing Authority which was discriminating against Hispanic applicants for

public housing. The Authority believed that if too many minorities entered the housing project, it would “tip” and become entirely minority rather than be integrated. Therefore, it allowed applications based on race: for every Hispanic accepted, there had to be one white. The problem was that there were far more Hispanic applicants than white applicants, so that Hispanic applicants had to wait years to get in while white applicants had to wait a much shorter period of time. The litigation was brought under the Fair Housing Act, and resulted in a consent decree. United States v. Holyoke Housing Authority, Civ. Action No. 85-0493-F, U.S. District Court, MA.

The other legal activity I was most proud of before becoming a judge involved my testimony on an Act to Strengthen the Bail Laws to Ensure the Safety of the Public before the Criminal Justice Committee, on April 5, 1992. As a staff member on the Senate Judiciary Committee, I had worked on federal legislation to require federal judges to consider dangerousness of certain defendants charged with serious crimes in setting bail. When I became a United States Magistrate Judge, I interpreted and applied this law in setting bail. When I became a Superior Court Judge, I was concerned that the only factor in setting bail was risk of flight. Accordingly, I wrote an article in the Boston Bar Journal proposing change and testified in support of reform. On October 7, 1992, Governor William F. Weld signed the legislation which authorized judges to consider whether a defendant is dangerous in setting bail. See Chapter 201 of the Acts of 1992. The State Supreme Judicial Court declared the statute unconstitutional. New legislation with better constitutional safeguards was later considered by the legislature.

17. **Teaching:** What courses have you taught? For each course, state the title, the institution at which you taught the course, the years in which you taught the course, and describe briefly the subject matter of the course and the major topics taught. If you have a syllabus of each course, provide four (4) copies to the committee.

I have taught two courses. At Harvard Law School, I taught Federal Litigation as a lecturer in about 1986 and 1987. In 1989, I taught Trial Practice at Boston University. I do not have a syllabus for either of these courses.

18. **Deferred Income/ Future Benefits:** List the sources, amounts and dates of all anticipated receipts from deferred income arrangements, stock, options, uncompleted contracts and other future benefits which you expect to derive from previous business relationships, professional services, firm memberships, former employers, clients or customers. Describe the arrangements you have made to be compensated in the future for any financial or business interest.

None.

19. **Outside Commitments During Service:** Do you have any plans, commitments, or agreements to pursue outside employment, with or without compensation, during your service with the court? If so, explain.

None.

20. **Sources of Income:** List sources and amounts of all income received during the calendar year preceding your nomination and for the current calendar year, including all salaries, fees, dividends, interest, gifts, rents, royalties, licensing fees, honoraria, and other items exceeding \$500 or more (if you prefer to do so, copies of the financial disclosure report, required by the Ethics in Government Act of 1978, may be substituted here).

I attach a copy of my Financial Disclosure Report.

21. **Statement of Net Worth:** Please complete the attached financial net worth statement in detail (add schedules as called for).

See attached.

22. **Potential Conflicts of Interest:**

- a. Identify the family members or other persons, parties, affiliations, pending and categories of litigation, financial arrangements or other factors that are likely to present potential conflicts-of-interest when you first assume the position to which you have been nominated. Explain how you would address any such conflict if it were to arise.

None.

- b. Explain how you will resolve any potential conflict of interest, including the procedure you will follow in determining these areas of concern.

I do not expect any conflicts to arise in this position. I am careful to identify and avoid conflicts as a federal judge, and were any conflicts to arise in the position, I would identify and resolve them in the same way that I do in my role as a federal judge. I follow the Code of Judicial Conduct. With respect to any potential conflict of interest, I always inform the attorneys and any interested parties to determine whether there is an objection. If I know that my husband has a significant business relationship with a person or company, even if we do not have a financial interest in the company, I inform the counsel and any interested parties to see if there is an objection. I currently do and will continue to recuse myself where even an appearance of impropriety might otherwise result.

23. **Pro Bono Work:** An ethical consideration under Canon 2 of the American Bar Association's Code of Professional Responsibility calls for "every lawyer, regardless of professional prominence or professional workload, to find some time to participate in serving the disadvantaged." Describe what you have done to fulfill these responsibilities, listing specific instances and the amount of time devoted to each. If you are not an attorney, please use this opportunity to report significant charitable and volunteer work you may have done.

I care passionately about the education of young people, particularly inner city youth. In the District of Massachusetts, I am a co-founder of the David S. Nelson Fellowship Program. Each judge in the District of Massachusetts takes a student from an inner-city school for the summer, mentors the student and provides assistance in getting him/her into college. I have helped run the program since about 1995, and we have 137 graduates, some of whom are now lawyers, probation officers, and college graduates. I have also helped initiate a court program for college students who want to become lawyers called the Lindsay Fellowship.

In my private time, I am on the Board of Bottom Line, a non-profit organization in Boston, Massachusetts, which helps low income children get into college and stay there. We have a 72 percent graduation rate in our "success" program (in contrast to about 31 percent for Boston students as a whole). I am also on the board of the 21st Century Fund which pays for innovative programming at Brookline High School, my children's school. For example, we have helped pay for courses in engineering and social justice, and have provided tutorials and support for students at risk. Finally, I have been very active at the Harvard School of Education, where I have served on the Visiting Committee and Dean's Advisory Council for nine years, and helped support education for leaders in large urban school districts. I recently joined the board of a charter school in Dorchester, Massachusetts (near where I went to school). We are also supportive of other local philanthropies like Summer Search, Posse, and Citizen Schools.

As a judge, I have seen the tragic consequences for defendants who drop out of school and have no education, hope, or job potential. Through my work both in the Nelson Fellows Program and in private philanthropy, I hope to help in providing a better education for the inner-city students of the Boston area.

FINANCIAL STATEMENT**NET WORTH**

Provide a complete, current financial net worth statement which itemizes in detail all assets (including bank accounts, real estate, securities, trusts, investments, and other financial holdings) all liabilities (including debts, mortgages, loans, and other financial obligations) of yourself, your spouse, and other immediate members of your household.

ASSETS			LIABILITIES		
Cash on hand and in banks	\$767,749 see schedule 1		Notes payable to banks-secured		0
U.S. Government securities-add schedule	\$3,881,462 see schedule 2		Notes payable to banks-unsecured		0
Listed securities-add schedule	\$45,553,103 see schedule 3		Notes payable to relatives	(\$21,969) see schedule 10	
Unlisted securities--add schedule	\$147,166,987 see schedule 4		Notes payable to others		0
Accounts and notes receivable:		0	Accounts and bills due		0
Due from relatives and friends		0	Unpaid income tax		0
Due from others		0	Other unpaid income and interest		0
Doubtful		0	Real estate mortgages payable-add schedule		0
Real estate owned-add schedule	\$3,446,300 see schedule 5		Chattel mortgages and other liens payable		0
Real estate mortgages receivable		0	Other debts-itemize:		0
Autos and other personal property	\$162,869 see schedule 6				
Cash value-life insurance	\$1,771,744 see schedule 7				
Other assets itemize:	\$2,359,852 see schedule 8				
			Total liabilities	(\$21,969)	
			Net Worth	\$205,110,066 see schedule 11	
Total Assets	\$205,110,066 see schedule 9		Total liabilities and net worth	\$205,088,097 see schedule 11	
CONTINGENT LIABILITIES			GENERAL INFORMATION		
As endorser, comaker or guarantor		0	Are any assets pledged? (Add schedule)	No	
On leases or contracts		0	Are you defendant in any suits or legal actions?	No	
Legal Claims		0	Have you ever taken bankruptcy?	No	
Provision for Federal Income Tax		0			
Other special debt		0			

Schedule 1: Cash on hand and in banks

1. Assets owned by Patti B. Saris and/or her husband	\$767,749
U.S. Dollars	\$69,864
Canadian Dollars (value in USD)	\$697,885

Schedule 2: U.S. Government securities

1. Assets owned by Patti B. Saris and/or her husband	\$3,881,462
TINT DUE 02/15/11 TRSY INTEREST PAYMENT (Cusip: 912833CZ1)	\$99,703
U.S. Treasury TIPS	\$3,781,759
2. Assets held in collective investment vehicles that are owned by Patti B. Saris's husband and/or for the benefit her children (note that these are not additional assets, but rather reflect the assets of MECM Investments, LLC and MECM Associates II, LLC, ownership interests in which are listed as unlisted securities on Schedule 4)	\$525,287
U.S. Treasury TIPS	\$525,287

Schedule 3: Listed securities

1. Assets owned by Patti B. Saris and/or her husband	\$38,193,899
MASACHUSETTS PORT AUTH RV REF BDS SER 98A BE/R/ 5.750 070112 DTD 011598	
CUSIP (575895XR3)	\$55,172
MASS TPK AU METRO HWY RV SER A SENIOR NPFGBE/R/ 5.000 010113 DTD 090197	
CUSIP (576018AD7)	\$50,115
MASS WTR POLL ABATEMENT RV OID@99.2465 BE/R/ 6.375 020115 DTD 100194	
CUSIP (576047WB6)	\$5,025
MASS WTR POLL ABATEMENT SER A OID@97.7429 BE/R/ 5.250 080114 DTD 111596	
CUSIP (576047XF6)	\$30,116
MASSACHUSETTS CMNWLTH CONSL LN SER 03D B/E/R/ 5.000 100127 DTD 102303	
CUSIP (57582NSS5)	\$195,825
MASSACHUSETTS HEFA REV-C SER C REV B/E/R/ 5.750 070112 DTD 040101	
CUSIP (57585KQE1)	\$58,231
MASSACHUSETTS ST DEV FIN AGY REV SER C B/E/R/ 5.750 070133 DTD 020103	
CUSIP (57583FM65)	\$86,330
MASSACHUSETTS ST PORT 5.625 070112 DTD 040173	
CUSIP (575895DH7)	\$10,663
MASACHUSETTS PORT AUTH RV REF BDS SER 98A BE/R/ 5.750 070112 DTD 011598	
CUSIP (575895XR3)	\$22,069
MASSACHUSETTS BAY TRANS AU GEN 98C RF FGIC BE/R/ 5.500 030112 DTD 110198	
CUSIP (575567LN0)	\$48,801
CREF Money Market	\$253,012
PIMCO DEVELOPING LOCAL MKT FD-IN	\$3,104,468
FEDERATED US TRES CASH RSV-I	\$1,826,704
SPDR GOLD TRUST	\$6,773,487
VANGUARD INFLAT PROTECTED-AD	\$4,106,749
ZOOM INFORMATION INC - SERIES B	\$3,655
GOVERNMENT OF CANADA SERIES XY54 DUE 09/01/2010 4.0%	\$504,421
GOVERNMENT OF CANADA SERIES YW89 DUE 09/01/2011 1.0%	\$176,394
CANADA HOUSING TRUST NO.1 CDA MTGE BONDS SER-15 DUE 12/15/2011 3.95%	\$229,490
PKG GOVERNMENT OF CANADA INTEREST ONLY PKG 1.7% SEMI DUE 12/01/2012 1.7%	\$305,877
CANADA HOUSING TRUST NO.1 CANADA MORTGAGE BONDS SER-22 DUE 09/15/2013 3.55%	\$318,134
PROVINCE OF ONTARIO EURO MED TERM NOTE DUE 07/27/2011 4.75%	\$240,357
PKG PROVINCE OF BRITISH COLUMBIA 3.7% SEMI-ANNUAL PACKAGE DUE 01/09/2012 3.7%	\$318,921
PROVINCE OF QUEBEC DUE 10/01/2013 5.25%	\$333,720
PKG HYDRO QUEBEC INTEREST ONLY PACKAGE 2.75% SEMI 8/15/09 DUE 02/15/2014 2.75%	\$303,990
PROVINCE OF ONTARIO 3.25% NOTES DUE 09/08/2014 3.25%	\$310,011
PROVINCE OF ONTARIO DUE 09/08/2015 3.15%	\$193,258
ROYAL BANK OF CANADA 3.18% COVERED BOND DUE 03/16/2015 3.18%	\$289,991
BANK OF MONTREAL ADVISORS ADVAN. GIC- ANNUAL DUE 08/08/2011 1.85%	\$98,735
RBC MORTGAGE CORP GIC- ANNUAL COMPOUND DUE 12/12/2011 1.65%	\$99,355
HSBC BANK GIC- ANNUAL DUE 08/07/2012 2.9%	\$98,735
ROYAL BANK OF CANADA GIC- ANNUAL DUE 08/06/2013 3.15%	\$98,735
NATIONAL BANK OF CANADA GIC- ANNUAL DUE 08/06/2014 3.65%	\$98,735
ROYAL TRUST COMPANY GIC - DUE JUL 16 2012 2.37%	\$395,231
ROYAL BANK OF CANADA GIC DUE JUL 16 2010 .54%	\$395,231

ROYAL BANK MORTGAGE CORPORATION GIC DUE JUL 18 2011 1.71%	\$395,231
ROYAL TRUST COMPANY GIC - DUE OCT 2012 2.37%	\$133,333
ROYAL BANK OF CANADA GIC DUE OCT 2010 .54%	\$133,333
ROYAL BANK MORTGAGE CORPORATION GIC DUE OCT 18 2011 1.71%	\$133,333
ANCHORAGE ALASKA WTR REV 3% 05-01-2017REG (033285TT4)	\$328,699
AUBURNDALE FLA WTR & SWR REV 5.25% 12-01-2019 BEO CUSIP : 050683CJ8	\$413,986
BERKELEY CNTY S C WTR & SWR REV 5% 06-01-2022 BEO CUSIP : 084219FW9	\$411,071
BIRMINGHAM ALA 5% 12-01-2032 BEO CUSIP : 09088RMQ6	\$220,236
CALIFORNIA ST ECONOMIC RECOVERY 5% 07-01-2017 CUSIP : 13067JBW0	\$208,198
CHATHAM CNTY GA SCH DIST 5.25%08-01-2010 REG CUSIP: 162042GA7	\$149,206
GREENVILLE CNTY S C SCH DIST INSTMT BLDGEQTY SOONER TOMORROW 6 12-1-20 BEO CUSIP : 396066AT9	\$227,512
HAWAII ST 5% 02-01-2019 BEO CUSIP: 419791YD4	\$345,288
HAWAII ST 5% 08-01-2020 REG CUSIP: 419791WS3	\$88,683
HAWAII ST 5% 08-01-2020 REG CUSIP: 419791WL8	\$174,321
ILLINOIS ST 5% 08-01-2020 BEO CUSIP : 452150Y82	\$389,333
INTERMOUNTAIN PWR AGY UTAH PWR SUPPLY REV 4.25% 07-01-2019 REG CUSIP: 45884AYW7	\$362,138
LOWER COLO RIV AUTH TEX REV 5%05-15-2015 REG CUSIP: 54810CQ45	\$424,789
LOWER MAKEFIELD TWP PA 3% 06-15-2019 BEO CUSIP: 548210MA8	\$325,055
MARICOPA CNTY ARIZ UNI SCH DIST NO 48 SCOTTSDALE 4.75% 07-01-2025 BEO CUSIP : 567288PW9	\$257,825
MASSACHUSETTS ST COLLEGE BLDG AUTH PROJREV 3.5% 05-01-2020 REG CUSIP: 575832TC4	\$427,393
MET TRANSN AUTH N Y SVC CONTRACT REF-SERA 5.75 DUE 07-01-2018 BEO CUSIP : 592597U55	\$409,910
MI ST BLDG AUTH REV REF-FACS PROG-SER III 5 DUE 10-15-2026 BEO CUSIP : 594614SS9	\$136,828
MINNESOTA PUB FACS AUTH CLEAN WTR REV 5 DUE 03-01-2019 REG CUSIP : 60411KBG6	\$174,923
NEW JERSEY ECONOMIC DEV AUTH REV 5.25% 03-01-2015 BEO CUSIP : 645918AR4	\$168,458
NEW MEXICO FIN AUTH ST TRANSN REV 5.25% 06-15-2015 BEP CUSIP: 64711RAY2	\$377,260
NEW YORK ST 3% 02-01-2016 REG CUSIP: 649791AH3	\$412,504
NJ ENV INFRASTRUCTURE-A 5.5 DUE 09-01-2010 BEO CUSIP : 645788LZ1	\$152,711
NORTHERN ARIZ UNIV REVS 5.5% 06-01-2020 BEO CUSIP : 664754YY8	\$348,450
PHOENIX ARIZ CIVIC IMPT CORP WTR SYS REV5.5 07-01-2014 REG CUSIP : 71883REQ2	\$463,773
SAN ANTONIO TEX WTR REV 5% 05-15-2023 BEO CUSIP : 796422J95	\$362,817
SWEETWATER CNTY WYO IMPT PROJS JT PWRS BRD LEASE REV 5% 06-15-2013 BEO CUSIP : 870482AP1	\$155,522
TEXAS MUN PWR AGY REV 4% 09-01-2013 BEO CUSIP : 882555WT8	\$400,864
UNIVERSITY IDAHO UNIV REVS VAR RT 4.5% 04-01-2041 BEO CUSIP : 914318A67	\$156,426
WALLED LAKE MICH CONS SCH DIST 5.25% 05-01-2016 BEO CUSIP : 932423MS2	\$155,784
WASHINGTON ST 5.25% 01-01-2019 BEO CUSIP : 93974AAT1	\$155,024
USD - MFB NORTHERN FUNDS MUN MONEY MKT FD	\$124,938
Van Eck Intl Invest Gold-A	\$7,049,006
2. Assets held in trust for the benefit of Patti B. Saris's children	\$3,284,724
FEDERATED US TRES CASH RSV-I*	\$762,334
Manulife Financial Corp	\$13,995
ISHARES MSCI BRAZIL INDEX FUND	\$91,345
SPDR GOLD TRUST	\$722,284
BOSTON MASS SER A B/E/R/ 5.000 010120 DTD 013106 CUSIP (100853BP4)	\$74,887
CHILMARK MASS GO B/Q FSA B/E/R/ 3.375 121511 DTD 121504	

CUSIP (169256BC7)	\$104,256
MASS HLTH EDUC FAC AUTH SER G REV B/E/R/ 4.250 070116 DTD 062807	
CUSIP (57586CYQ2)	\$137,517
MASS ST PORT AU REV SER SER C REV AMBAC B/E/R/ 5.000 070126 DTD 051205	
CUSIP (575896BH7)	\$79,095
MASS TPK AU METRO HWY RV SER A SENIOR NPFGB E/R/ 5.000 010113 DTD 090197	
CUSIP (576018AD7)	\$110,252
MASSACHUSETTS BAY TRANS AU SR.SALE TAX 03A BE/R/ 5.250 070112 DTD 012903	
CUSIP (575579CN5)	\$109,610
MASSACHUSETTS CMNWLT SR A FSA OID99.2487BE/R/ 5.000 010121 DTD 010101	
CUSIP (575827T83)	\$170,097
MASSACHUSETTS COMMWLTH SER B REV B/E/R/ 4.800 061514 DTD 111598	
CUSIP (57583PCC1)	\$50,130
MASSACHUSETTS WTR POLLTN SER 7 REV B/E PREF/R/ 5.000 020119 DTD 071501	
CUSIP (57604PUM4)	\$58,043
MASSACHUSETTS WTR POLLTN SER 8 REV B/E PREF/R/ 5.000 080116 DTD 111502	
CUSIP (57604PVE1)	\$54,287
NORWOOD MASS G.O. ULT B/E/R/ 5.000 011515 DTD 011501	
CUSIP (669555HR8)	\$255,052
UNIVERSITY MASS BLDG SER 2 REV AMBAC B/E /R/ 5.000 110119 DTD 080305	
CUSIP (914437PF9)	\$339,035
MASSACHUSETTS ST HEFA RV NPFGB E/OID@96.9659A/R/ 5.000 070119 DTD 060198	
CUSIP (57585JX63)	\$83,129
NEW BEDFORD MASS FGIC BE/R/ 5.500 050116 DTD 050101	
CUSIP (642169W44)	\$47,746
TOWN OF FOXBOROUGH, MA G.O. NPFGB E/R/ 5.000 061520 DTD 061504	
CUSIP (351640MS3)	\$16,383
MASSACHUSETTS WTR POLLTN SER 7 REV B/E/R/ 5.000 020119 DTD 071501	
CUSIP (57604PUX0)	\$5,248

*\$170,180 of total is held by immediate member of household rather than in trust

3. Assets held in collective investment vehicles that are owned by Patti B. Saris's husband and/or for the benefit her children (note that these are not additional assets, but rather reflect the assets of MECM Investments, LLC and MECM Associates II, LLC, ownership interests in which are listed as unlisted securities on Schedule 4)	\$17,545,221
ANCHORAGE ALASKA WTR REV 3% 05-01-2017REG (033285TT4)	\$176,992
AUBURNDALE FLA WTR & SWR REV 5.25% 12-01-2019 BEO	\$223,776
CUSIP : 050683CJ8	
BERKELEY CNTY S C WTR & SWR REV 5% 06-01-2022 BEO	\$246,643
CUSIP : 084219FW9	
CHATHAM CNTY GA SCH DIST 5.25%08-01-2010 REG CUSIP: 162042GA7	\$238,730
CLEARWATER FLA WTR & SWR REV 5% 12-01-2017 BEO CUSIP: 185328HT1	\$188,545
EASLEY S C UTIL REV 5% 12-01-2034 BEO CUSIP : 270371FC6	\$227,606
HAWAII ST 5% 02-01-2019 BEO CUSIP: 419791YD4	\$230,192
ILLINOIS ST FIRST SER 5.375% DUE 07-01-2015/07-01-2012 BEO	\$246,971
CUSIP : 452151AR4	
INTERMOUNTAIN PWR AGY UTAH PWR SUPPLY REV 4.25% 07-01-2019 REG	\$206,936
CUSIP: 45884AYW7	
KENTUCKY ASSET/LIABILITY COMMN AGY FDREV 5% 09-01-2016 BEO	\$277,005
CUSIP: 49118NB78	
LOUDOUN CNTY VA SANTN AUTH WTR & SWR REV 4% 01-01-2022 BEO	\$261,853
CUSIP: 5459D4HT4	
LOWER COLO RIV AUTH TEX REV 5%05-15-2015 REG CUSIP: 54810CQ45	\$226,554

LOWER MAKEFIELD TWP PA 3% 06-15-2019 BEO CUSIP: 548210MA8	\$200,034
MAINE ST 5% 05-15-2017 BEO CUSIP : 56052AUM6	\$231,460
MASSACHUSETTS ST COLLEGE BLDG AUTH PROJREV 4% 05-01-2015 REG CUSIP: 575832SX9	\$244,305
MET TRANSN AUTH N Y SVC CONTRACT REF-SERA 5.75 DUE 07-01-2018 BEO CUSIP : 592597U55	\$234,234
MISSISSIPPI ST 5.5% 12-01-2016 BEO CUSIP : 6055794M0	\$236,478
NEW MEXICO FIN AUTH ST TRANSN REV 5.25% 06-15-2015 BEP CUSIP: 64711RAY2	\$232,160
NEW YORK ST 3% 02-01-2016 REG CUSIP: 649791AH3	\$257,815
NEW YORK ST DORM AUTH REVS ST SUPPORTED DEBT 5% DUE 02-15-2017 BEO N/C CUSIP : 64983MH27	\$223,974
OSCEOLA CNTY FLA SALES TAX REV 3% 10-01-20100 BEO CUSIP: 6879D9DH1	\$257,118
REGIONAL TRANSN DIST COLO SALES TAX REV 5% 11-01-2012 BEO CUSIP : 759136QA5	\$219,664
USD - MFB NORTHERN FUNDS MUN MONEY MKT FD	\$453,400
FEDERATED US TRES CASH RSV-I	\$191,795
ISHARES MSCI BRAZIL INDEX FUND	\$194,109
SPDR GOLD TRUST	\$3,379,178
PIMCO DEVELOPING LOCAL MKT FD-IN	\$2,541,978
PIMCO FOREIGN BOND FUND IN	\$4,315,124
VANGUARD INFLAT PROTECTED-AD	\$746,238
MA COMMWLTH GO CONS LN OID@99.115 2002 E BE/R/ 4.000 010114 DTD 110102 (Cusip: 57582NJU0)	\$64,265
MASACHUSETTS PORT AUTH RV REF BDS SER 98A BE/R/ 5.750 070112 DTD 011598 (Cusip: 575895XR3)	\$88,274
MASSACHUSETTS CMNWLTH SR A FSA OID99.2487BE/R/ 5.000 010121 DTD 010101 (Cusip: 575827T83)	\$15,463
MASSACHUSETTS WTR POLLTN SER 8 REV B/E PREF /R/ 5.000 080116 DTD 111502 (Cusip: 57604PVE1)	\$54,287
NORTHAMPTON MASS GO FGIC B/E OID@96.7616 /R/ 5.250 061519 DTD 101500 (Cusip: 663617RM2)	\$127,079
UBS RMA TAX FREE FUND	\$284,987
4. Assets held in a private charitable foundation controlled by Patti B. Saris and her husband	\$4,074,481
FEDERATED US TRES CASH RSV-I	\$5,847
Dodge & Cox Income Fd	\$980,555
PIMCO DEVELOPING LOCAL MKT FD-IN	\$502,953
Van Eck Intl Invest Gold-A	\$1,174,834
Vanguard S/T Invest Gr-Inv	\$1,410,292

Schedule 4: Unlisted securities

1. Assets owned by Patti B. Saris and/or her husband	\$116,531,856
Abrams Capital Partners II LP	\$4,935,574
Baupost Value Partners LP II	14,845,169
Brookside Cap Partners Fd LP	6,436,500
Kensico Associates LP	\$6,912,073
Battery Ventures VI LP	\$99,227
Buenos Aires Res Co II LLC	\$31,000
Centerbridge Capital Partners, L. P.	\$1,975,979
Chilton Global Natural Res Partners LP	\$1,127,173
CX Partners Fd Ltd	\$160,254
Elliott Associates LP	4,895,637
Europa Fund II US LP	\$376,945
Friends of Lime Rock II LP	\$163,197
Friends of Lime Rock III LP	\$755,672
Hephaestion II LP	\$1,372,596
Hephaestion III LP	\$83,573
Hephaestion Retail LP	\$115,861
Highfields Capital II LP	\$1,435,300
Highland Capital Partners VIII LP	\$10,000
Hony Capital Fund 2008 LP	\$119,304
Lime Rock Partners IV, L.P.	\$647,644
Lime Rock Partners V, L.P.	\$557,714
Liveprocess Corp Ser A PFD	\$10,000
Local Motors Series A PFD	\$10,000
Local Motors Series B PFD	\$249,999
Lone Star Europe Holdings	\$396,745
Lone Star Fund VI	\$2,466,026
Lone Star Real Estate Fund	\$883,346
Meridia Capital	\$425,105
Meta4 Group Limited	\$10,000
Millgate Partners II LP	\$3,179,443
MW Special Situations LP	\$208,650
Neurophage Pharms Inc Ser A CV PFD	\$10,000
Orion European Real Estate Fund II CV	\$266,147
Orion European Real Estate Fund III CV	\$221,456
Park St Capl Nat Res Fd II LP	\$712,152
Park St Capl Natl Res Fd II AIV	\$62,868
Park St Capl Natl Res Fd III AIV	\$10,253
Park St Capl Natl Res Fd III LP	\$885,934
Park St Capl Natl Res Fd LP	\$465,643
Park St Capl Priv Eq Fd V LP	\$875,440
Park St Capl Priv Eq Fd VI LP	\$691,718
Park St Capl Priv Eq Fd VII A LP	\$292,021
Patron Capital LP I	\$503,157
Patron Capital LP II	\$1,009,885
Penta Asia Domestic Partners LP	\$2,341,447
Perry Partners	\$51,990
Plymouth Rock Co Inc Oc-CL A	\$9,816,210
Polaris Vent Part Entrep Fd V LP	\$594,666
Portland Capital LLP	\$80,027
Portland Glob Real Est Sec Fund L.P.	\$827,430

PSC Luxembourg Holdings LLC	\$28,765
Summit Partners Priv Equity Fd VII-A	\$559,915
TA Realty Corp	\$10,000
TA X LP	\$1,353,125
Tucker Anthony Private Equity Fund I	\$70,236
Tucker Anthony Private Equity Fund II	\$194,846
Tucker Anthony Private Equity Fund III	\$207,563
Tucker Anthony Private Equity Fund IV	\$309,959
Tucker Anthony Private Equity Technology Fd	\$110,757
US Wertheim LLC	\$150,000
U S Dublin LLC (Kildare Village)	\$75,000
US Fidenza LLC	\$50,000
Wavemark Inc Ser A PFD	\$270,344
Wavemark Inc Ser B PFD	\$223,888
Weston Presidio V LP	\$298,292
WMD L P	\$30,000
Mondrian Intl Fixed Income Fd LP	\$7,865,502
K-1 Realty Associates Fund V LLC	\$12,652,453
K-1 TA Conference LLC	\$2,388,479
Venture Investors Fund L.P.(Updated semiannually)	\$14,016
REIT - AIS Realty Assoc Fund V	\$264
REIT - PBS The Realty Assoc Fund V	\$264
MECM Associates II, LLC (approximately 86.84% interest)	\$8,467,375
Hephaestion Co Invest I LP	\$1,179,313
Hephaestion LP	\$4,564,650
Porus Invt Hldg Co Ltd	\$274,541
Xander Master Fund LLC	\$568,159
2. Assets held in trust for the benefit of Patti B. Saris's children	\$23,926,426
MECM INVESTMENTS, LLC - 98.58% INTEREST	\$23,926,426
3. Assets held in collective investment vehicles that are owned by Patti B. Saris's husband and/or for the benefit her children (note that these are not additional assets, but rather reflect the assets of MECM Investments, LLC and MECM Associates II, LLC, ownership interests in which are listed as unlisted securities on this Schedule 4)	\$12,906,222
Baupost Val Partners LP II	\$3,611,261
Chilton Global Natural Resource Partners LP	\$1,656,780
Elliott Associates LP	\$2,448,570
HighVista I LP	\$1,546,491
Penta Asia Long Short Fund LTD	\$1,862,530
SCP Atlantic Fund LP	\$1,500,000
X Investment Holding Ltd	\$280,590
4. Assets held in a private charitable foundation controlled by Patti B. Saris and her husband	\$6,708,705
Baupost Val Partners LP I	\$3,088,628
Global Fixed Inc Brandywine Inv Tr	\$654,863
Kensico Offshore Fd Ltd	\$2,965,214

Schedule 5: Real estate owned

1. Assets owned by Patti B. Saris and/or her husband	\$3,446,300
Primary residence	\$2,380,800
Vacation residence	\$1,065,500

Schedule 6: Autos and other personal property

1. Assets owned by Patti B. Saris and/or her husband

\$162,869

Schedule 7: Cash value-life insurance

1. Assets held in trust for the benefit of Patti B. Saris's children	\$1,771,744
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Schedule 8: Other assets itemize

1. Assets owned by Patti B. Saris and/or her husband	\$2,359,852
Gold bullion	\$2,359,852
2. Assets held in collective investment vehicles that are owned by Patti B. Saris's husband and/or for the benefit her children (note that these are not additional assets, but rather reflect the assets of MECM Investments, LLC and MECM Associates II, LLC, ownership interests in which are listed as unlisted securities on this Schedule 4)	\$2,022,730
Gold bullion	\$2,022,730

AFFIDAVIT

I, Peter B. Sosis, do swear
that the information provided in this statement is, to the best
of my knowledge, true and accurate.

4/27/10
(DATE)

Lee A. Manjella
(NAME)

My Commission expires 8/25/11
(NOTARY)