

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Levy, Jon D.	2. Court or Organization U.S. District Court, Maine	3. Date of Report 05/07/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address 156 Federal Street Portland, Maine 04101		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Associate Justice	Maine Supreme Judicial Court - 01/01/2014 to 05/02/2014
2. Treasurer	William Vaughan House Condominium Association
3. Member	American Bar Association, Standing Committee on Legal Aid and Indigent Defense
4.	
5.	

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

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2014	Maine Supreme Judicial Court	\$40,392.72
2. 2014	Matthew Bender & Co., book royalties	\$5,872.65
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2014	Miriam A. Levy, LLC, Self-employed Psychologist (self-employment income)
2.	
3.	
4.	

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☐ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. American Bar Association	2/8/14 - 2/9/14	Chicago, Illinois	Standing Committee on Legal Aid and Indigent Defense Meeting	Paid Travel, Hotel, Automobile and Meal Expenses
2. American Bar Association	4/10/14 - 4/11/14	Washington DC	Standing Committee on Legal Aid and Indigent Defense Meeting	Paid Travel, Hotel, Automobile and Meal Expenses
3. American Bar Association	11/14/15 - 11/15/15	Arlington, Virginia	Standing Committee on Legal Aid and Indigent Defense Meeting	Paid Travel, Hotel and Taxi Expenses
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.			
2.			
3.			
4.			
5.			

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. American Funds Capital Income Builder Fund	C	Dividend	L	T					
2. American Funds Capital World Bond Fund	B	Dividend	L	T					
3. American Funds Captial World Growth & Income Fund	B	Dividend	L	T					
4. American Funds EuroPacific Growth Fund	B	Dividend	L	T	Sold (part)	05/06/14	K	D	
5. American Funds Global Balanced Fund	A	Dividend	K	T					
6. American Funds Growth Fund of America	B	Dividend	L	T					
7. American Funds International Growth & Income Fund	C	Dividend	L	T					
8. American Funds New World Fund	B	Dividend	L	T					
9. American Funds Short Term Bond Fund	A	Dividend	L	T					
10. Bed Bath & Beyond Stock		None	M	T					
11. Norway Savings Bank Checking Account		None	J	T					
12. Fidelity Equity Income Fund	A	Dividend			Sold	03/25/14	J	C	
13. Franklin Small-Mid Cap Growth Fund	B	Dividend			Sold	12/19/14	J		
14. Hartford Capital Appreciation Fund	D	Dividend			Sold	12/19/14	L		
15. Harford Total Return Bond HLS Fund	A	Dividend	J	T					
16. Managers AMG Skyline Special Equities Portfolio	A	Dividend			Sold	12/19/14	K		
17. Franklin Mutual Global Discovery Fund	B	Dividend	K	T					

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

18. Oppenheimer International Bond Fund	A	Dividend	K	T					
19. PIMCO All Asset All Authority Fund	A	Dividend	J	T					
20. PIMCO Low Duration Fund	A	Dividend			Sold	10/01/14	K	A	
21. PIMCO Total Return Fund	A	Dividend			Sold	09/29/14	M	C	
22. Fidelity Cash Account	A	Interest	J	T					
23. TD Bank Checking Account		None	J	T					
24. Templeton Global Bond Fund	B	Dividend	L	T					
25. Thornberg Investment Trust Limited Term Municipal Fund	A	Dividend	L	T					
26. Wells Fargo Cash Account	A	Interest	L	T					
27. US Government Series E Bonds		None	J	W					
28. US Government Series EE Bonds		None	J	W					
29. Wells Fargo Absolute Return Fund		None	L	T					
30. Pruco Life Insurance Co. of New Jersey Annuity	C	Distribution	K	T					
31. Bank of America Checking Accounts		None	J	T					
32. PIMCO All Asset Fund	A	Dividend	J	T					
33. American Funds Short Term Tax Exempt	A	Dividend	K	T	Buy	05/06/14	K		
34. Metropolitan West-Total Return Bond Fund	A	Dividend	M	T	Buy	10/02/14	M		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. Vanguard Fixed Income - Short Term	A	Dividend	K	T	Buy	10/08/14	K		
36. SSGA S&P 500 Index Sec Lend	A	Dividend	L	T	Buy	12/19/14	L		
37. SSGA S&P MC Index Non-Led Serv	A	Dividend	K	T	Buy	12/19/14	K		
38.									
39.									
40.									
41.									

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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

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IX. CERTIFICATION.

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

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

Signature: **s/ Jon D. Levy**

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

Committee on Financial Disclosure
Administrative Office of the United States Courts
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