

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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) Finkle, Diane	2. Court or Organization United States Bankruptcy Court, District of Rhode Island	3. Date of Report 04/30/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Judge- Full Time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address United States Bankruptcy Court, District of Rhode Island Federal Building, 380 Westminster Street, 6th Fl. Providence, RI 02903		
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. Director, Officer, Employee and Shareholder	Winograd Shine Land & Finkle, P.C. (See Part VIII.)
2. Director, Officer and Employee	Winograd, Shine, & Zacks. P.C. (See Part VIII.)
3. Trustee	Winograd Shine Land & Finkle, P.C. 401 (K) Profit Sharing Plan, 401 (K) Profit Sharing Plan, (See Part VIII.)
4. Legal Guardian, healthcare only, pro bono basis; 2 individual wards	Cornerstone Adult Services, Inc.(See Part VIII.)
5. Secretary	Westcote Drive Association; unincorporated private association

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. 2012	Winograd Shine Land & Finkle, P.C.; employee benefits: disability, health and long term care insurance and 401 (K) Profit Sharing Plan
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 7

Name of Person Reporting

Finkle, Diane

Date of Report

04/30/2013

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. 2012	Winograd Shine Land & Finkle, P.C.- salary	\$114,176.56
2. 2012	Winograd Shine Land & Finkle, P.C.-employee benefits	\$86,072.46
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. 2012	Ursillo, Teitz & Ritch, Ltd.- salary and employee benefits
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.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting

Finkle, Diane

Date of Report

04/30/2013

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.	Winograd, Shine Land & Finkle, P.C.	Public reception in honor of appointment as bankruptcy judge	\$7,098.88
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.	Coastway Community Bank	Commercial Real Estate Mortgage	L
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting

Finkle, Diane

Date of Report

04/30/2013

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. Winograd Shine Land & Finkle, P.C, Stock;		None			Sold	08/31/12	J		Richard Land
2. Ursillo, Teitz & Ritch Realty IV, Appraisal, 12/08/2011	A	Dividend	L	Q					
3. First Eagle Gold Fund Class A, Mutual Fund	A	Dividend	J	T					
4. Wells Fargo, Common Stock;	A	Dividend			Sold	10/12/12	J	A	
5. MFS Municipal Income Fund-A	C	Interest	L	T					
6. Commonwealth Municipal Income Fund	C	Interest	M	T					
7. UBS Pace Select Fund (IRA), Mutal Fund	A	Dividend	L	T					
8. Sovereign/Santander Bank, Account- CD (X)	A	Interest			Matured	09/07/12	L		
9. Bank Rhode Island, Account		None	J	T					
10. Hartford Select Dimensions Fund, (Annuity)	B	Dividend	J	T					
11. Phoenix Big Edge Plus, Mutual Fund, (Annuity)	B	Dividend	K	T					
12. Great West Maxim Moderately Conser. Profile II, 401(K); X	F	Dividend			Distributed	12/31/12	P1		
13. Fidelity FA Freedom 2020 I, 401(K)/Profit Sharing Plan	E	Dividend	O	T					
14. Pioneer Value Fund A	A	Dividend	K	T					
15. Ursillo, Teitz, & Ritch, Ltd. 12/08/11		None	K	U					
16. American Express- Money Market Account	B	Interest	M	T					
17. UBS Pace Select Fund, Mutal Fund	B	Dividend	M	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	
3. Value Method Codes	P3 ~\$25,000,001 - \$50,000,000		P4 ~More than \$50,000,000		
(See Column C2)	Q ~Appraisal	R ~Cost (Real Estate Only)	S ~Assessment	T ~Cash Market	
	U ~Book Value	V ~Other	W ~Estimated		

FINANCIAL DISCLOSURE REPORT

Page 5 of 7

Name of Person Reporting

Finkle, Diane

Date of Report

04/30/2013

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 I (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. UBS Pace Select Fund, Mutual Fund (IRA)	A	Dividend	L	T					
19. UBS Pace Select Fund, Mutual Fund	B	Dividend	M	T					
20. Capital One Money Market Account	A	Interest	J	T					
21. Phoenix Big Edge Plus, Mutual Fund Annuity	B	Dividend	K	T					
22. HSA Bank, Account	A	Interest	J	T					
23. Bank Rhode Island Account, (CD)	A	Interest			Matured	02/05/12	M		
24. Great West Lifetime Advan. IRA, Mod. Conserv. Profile II; (X)		None	P1	T	Open	12/31/12	P1		

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

FINANCIAL DISCLOSURE REPORT

Page 6 of 7

Name of Person Reporting

Finkle, Diane

Date of Report

04/30/2013

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

Part I, page 1, Lines 1-3. I no longer held any of these positions on and after August 31, 2012.

Part I, page 1, Line 4- Position is as guardian for healthcare purposes only with no control over Ward's personal finances or financial estate. On and after October of 2012, I held these guardian positions for only 2 wards.

Part VII, page 1, Line 12- Funds in Winograd, Shine Land & Finkle 401 (K) Profit Sharing Plan were transferred and rolled over in their entirety as of December 31, 2012 to an individual IRA Account in my name entitled "Great-West Lifetime Advantage IRA-Traditional." Moderately Conservative Profile II Fund, with actual transfer date of this new account of January 2, 2013.

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Finkle, Diane

Date of Report

04/30/2013

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/ **Diane Finkle**

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
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