

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Fagone, Michael A.	2. Court or Organization U.S. Bankruptcy Court, District of Maine	3. Date of Report 06/02/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address Margaret Chase Smith Federal Building Room 30607 202 Harlow Street Bangor, ME 04401		
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	American Bankruptcy Institute
2.	Trustee	Trust #1
3.		
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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.		
2.		
3.		
4.		

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

DATE	SOURCE AND TYPE
1.	
2.	
3.	
4.	

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

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.	American Bankruptcy Institute	April 13 - 17, 2016	Washington, D.C.	Speaker	Meals, Lodging, Transportation
2.	American Bankruptcy Institute	July 14 - 17, 2016	Bretton Woods, NH	Speaker	Meals, Lodging, Transportation
3.	Massachusetts Continuing Legal Education	November 16, 2016	Boston, MA	Speaker	Meals, Lodging, Transportation
4.	American Bankruptcy Institute	November 30 - December 4, 2016	Palos Verde, CA	Speaker	Meals, Lodging, Transportation
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.	Nelnet	Student Loan	K
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. Fidelity Investments IRA (H)									
2. -FlexShares MStar Stock Market Factor Tilt ETF		None			Buy	10/26/16	K		
3. - FlexShares MStar Stock Market Factor Tilt ETF	A	Dividend	L	T	Buy	12/21/16	K		
4. - FlexShares Quality Stock Dividend Index EFT	B	Dividend	L	T	Buy	07/27/16	L		
5. - Guggenheim S & P Equal Weight Stock Index ETF	A	Dividend	L	T	Buy	07/27/16	L		
6. - iShares 1-5 year US Bond ETF	A	Dividend	K	T	Buy	07/27/16	K		
7. - iShares 3-7 year Treasury Bond ETF	A	Dividend	K	T	Buy	07/28/16	K		
8. - iShares Barclays 1-3 yr Credit Bond ETF	A	Dividend	K	T	Buy	12/21/16	K		
9. - iShares Barclays Intermed Gov Credit Index ETF	A	Dividend	K	T	Buy	07/27/16	K		
10. - iShares S&P 500 Stock Index ETF	B	Dividend	M	T	Buy	07/27/16	M		
11. - iShares S&P MidCap 400 Stock Index ETF	A	Dividend	K	T	Buy	07/27/16	K		
12. - iShares S&P MidCap 400/ BARRA Value Stock ETF	A	Dividend	K	T	Buy	07/27/16	K		
13. - iShares S&P SmallCap 600 Stock Index ETF	A	Dividend	K	T	Buy	07/27/16	K		
14. - iShares Floating Rate Bond ETF	A	Dividend	K	T	Buy	12/21/16	K		
15. - iShares S&P Small Cap 600 Value Stock ETF	A	Dividend	K	T	Buy	07/27/16	K		
16. - Powershares QQQ Stock Index ETF	A	Dividend	L	T	Buy	07/27/16	L		
17. - Powershares S&P 500 HighDivLowVol Stk ETF	A	Dividend			Buy	07/27/16	L		

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000 (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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☐ 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. - Powershares S&P 500 HighDivLowVol Stk ETF	A	Dividend			Sold	10/05/16	L	A	
19. - Powershares S&P 500 High Beta Stock ETF	A	Dividend	K	T	Buy	10/05/16	K		
20. - ProShares S&P 500 DivAristocrats Stk ETF	A	Dividend	K	T	Buy	07/27/16	L		
21. -					Sold (part)	10/26/16	K	A	
22. -					Sold (part)	12/21/16	K	A	
23. - ProShares S & P 500 DivAristocrats Stk ETF	B	Dividend	L	T	Buy	07/26/16	L		-
24. - Vanguard Intermed Term Corp Bond ETF	A	Dividend	K	T	Buy	07/28/16	K		
25. - iShares Barclays Agg Bond Index ETF	A	Dividend	K	T	Buy	07/28/16	K		
26. - Fidelity Government Cash Reserve Money Mkt Fd	A	Dividend			Buy	07/28/16	O		
27. -					Sold (part)	07/29/16	J	A	
28. -					Sold (part)	08/01/16	O	A	
29. -					Sold (part)	08/02/16	M	A	
30. -					Buy (add'l)	08/05/16	J		
31. -					Buy (add'l)	08/31/16	J		
32. -					Buy (add'l)	09/08/16	J		
33. -					Buy (add'l)	09/23/16	J		
34. -					Buy (add'l)	09/26/16	J		

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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☐ 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)
35. -					Buy (add'l)	09/29/16	J		
36. -					Buy (add'l)	09/30/16	J		
37. -					Sold (part)	10/04/16	J	A	
38. -					Buy (add'l)	10/07/16	J		
39. -					Buy (add'l)	10/11/16	K		
40. -					Buy (add'l)	10/31/16	J		
41. -					Buy (add'l)	11/07/16	J		
42. -					Buy (add'l)	11/30/16	J		
43. -					Buy (add'l)	12/07/16	J		
44. -					Sold (part)	12/27/16	K	A	
45. -					Buy (add'l)	12/28/16	J		
46. -					Buy (add'l)	12/29/16	J		
47. -					Buy (add'l)	12/30/16	J		
48. T. Rowe Price IRA (H)									
49. - T. Rowe Price Equity Index 500 Mutual Fund	B	Dividend			Sold	07/27/16	M	D	
50. - T. Rowe Price Mid Cap Growth Mutual Fund		None			Sold	07/27/16	N	E	
51. - T. Rowe Price Mid Cap Value Mutual Fund		None			Sold	07/27/16	M	D	

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52. - T. Rowe Price Sciene & Technology Mutual Fund		None			Sold	07/27/16	J	A	
53. - T. Rowe Price U.S. Treas Money Market Fund	A	Dividend			Sold	07/26/16	J	A	
54.									
55. Gorham Savings Bank Cash Account	A	Interest	K	T					
56. Bangor Savings Bank Cash Account	A	Interest	J	T					
57.									
58.									
59.									
60.									
61.									
62.									

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

I inadvertently omitted, from my 2015 report (which was dated April 22, 2016), the existence and value of certain deposit accounts (checking and savings) at Gorham Savings Bank. These are commonplace checking and savings accounts which I use on a daily basis. For example, my salary is direct deposited into one of these accounts, and I pay bills out of another. A third account is used only to pay the mortgage and bills for a secondary residence owned by [REDACTED] and me. The aggregate balance of these accounts, as of December 31, 2015 would have been roughly similar to the aggregate balance of these accounts as of December 31, 2016 (which is listed in Part VII above).

I am the sole trustee of a trust for the benefit of certain relatives ("Trust #1"). I do not receive any income from Trust #1. I do not currently have, and did not at any time during the reporting period have, any beneficial interest in Trust #1, its res, or any income derived therefrom. My sole function, with respect to the trust, is to serve as a trustee for those persons who do have a beneficial interest in the trust, and I serve in that capacity on an uncompensated basis. Copies of the trust agreement and the relevant account records are available upon request.

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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/ Michael A. Fagone**

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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Washington, D.C. 20544