

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) Cary, Peter G.	2. Court or Organization United States Bankruptcy Court for the District of Maine	3. Date of Report 04/14/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Bankruptcy Judge - Full Time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2016 to 12/31/2016
5b. ☒ Amended Report		
7. Chambers or Office Address United States Bankruptcy Court for the District of Maine 537 Congress Street, Second Floor Portland, ME 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. Treasurer	State-Federal Judicial Council: a not-for-profit unincorporated association of Maine state and federal judges.
2. Member; Registered Agent	566 Seashore, LLC: (family LLC which owns a vacation home).
3. Advisory Director	The Nathan & Henry B. Cleaves Law Library: a not-for-profit 501(c)(3) corporation.
4. Trustee	Revocable Family Trust.
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. 2016	MittelAsen, LLC Profit Sharing Plan 401(k) (terminated on 2/13/16 by rollover into IRA).
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Cary, Peter G.

Date of Report

04/14/2018

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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2016

Maine International Trade Center - salary

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED1. American Bankruptcy
Institute7-09-2015 -
7-12-2015

North Falmouth, MA

Northeast Meeting and
CLE (presenter)transportation (gas and tolls), meals, hotel
and tuition2. Massachusetts Continuing
Legal Education

10-29-2015

Boston, MA

Bankruptcy 2015 CLE
(presenter)

transportation and tuition

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Cary, Peter G.

Date of Report

04/14/2018

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Cary, Peter G.

Date of Report

04/14/2018

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. MittelAsen, LLC Profit Sharing Plan 401(k)									
2. - American Funds AMCAP R6	B	Dividend			Sold	02/17/16	M		self - IRA rollover.
3. - RidgeWorth Large Cape Value Equity I	B	Dividend			Sold	02/17/16	M		self - IRA rollover.
4. - Western Asset Core Plus Bond Fund I	B	Dividend			Sold	02/17/16	M		self - IRA rollover.
5. - Victory Established Value I	B	Dividend			Sold	02/17/16	M		self - IRA rollover.
6. - American Funds New Perspective	C	Dividend			Sold	02/17/16	M		self - IRA rollover.
7. - PIMCO Income Instl	B	Dividend			Sold	02/17/16	L		self - IRA rollover.
8. IRA									
9. - Charles Schwab US REIT	B	Dividend	L	T	Buy	02/25/16	K		self - 401(k) rollover.
10. - Schwab International	B	Dividend	L	T					
11.					Buy	02/25/16	L		self - 401(k) rollover.
12.					Sold (part)	03/09/16	K		self - 401(k) reallocation
13. - Schwab Short Term US	A	Dividend	L	T					
14.					Buy	02/25/16	L		self - 401(k) rollover.
15.					Sold (part)	12/21/16	K		
16. - Schwab US Aggregate Bond	A	Dividend	J	T	Buy	02/25/16	M		self - 401(k) rollover.
17. - Schwab US Broad Market	C	Dividend	M	T					

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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = \$50,001 - \$100,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,001 - \$500,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	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 5 of 8

Name of Person Reporting

Cary, Peter G.

Date of Report

04/14/2018

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.					Buy	02/22/16	N		self - 401(k) rollover.
19.					Sold (part)	12/21/16	K		self - 401(k) reallocation
20. - Deposit (cash) account	A	Interest	J	T	Open	02/22/16	J		self - 401(k) rollover.
21. - Schwab US Aggregate Bond	A	Dividend			Sold	03/09/16	M		self - IRA reallocation.
22. - Scwab US Broad Market	C	Dividend	M	T	Sold (part)	03/09/16	M		self - IRA reallocation.
23. - PIMCO Foreign Bond Fund Mutual Fund	B	Dividend	L	T	Buy	03/09/16	L		self - IRA reallocation.
24. - Metro West Mutual Fund	B	Dividend	M	T	Buy	03/09/16	M		self - IRA reallocation.
25. - DFA International Core Equity	B	Dividend	L	T	Buy	03/09/16	K		self - IRA reallocation.
26. - DFA US Core Equity	C	Dividend	M	T	Buy	03/09/16	M		self - IRA reallocation.
27. - Blackrock Strat Income	A	Dividend	J	T	Buy	12/22/16	L		self - IRA reallocation.
28. KeyBank, NA Accounts	A	Interest	J	T					
29. Vanguard Accounts									
30. - GNMA Fund Investor Shares	A	Dividend							
31.					Sold (part)	03/15/16	J		
32.					Sold (part)	8/15/16	K		
33.					Sold	11/03/16	J		
34. - Ltd Term Tax-Exempt Inv	A	Dividend							

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 8

Name of Person Reporting

Cary, Peter G.

Date of Report

04/14/2018

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)
35.					Sold (part)	3/15/16	J		
36.					Sold (part)	8/15/16	J		
37.					Sold	11/03/16	J		
38. - Short Term Bond Index Admin	A	Dividend							
39.					Sold (part)	02/03/16	J		
40.					Buy (add'l)	08/01/16	J		
41.					Sold (part)	08/15/16	J		
42.					Sold	11/03/16	J		
43. Estate #1									
44. - Real Estate in Cumberland County, Maine	A	Rent			Distributed	04/15/16	O		566 Seashore, LLC
45. - Peoples United Bank checking accounts (2) in Portland, Maine	A	Int./Div.			Distributed	09/29/16	J		566 Seashore, LLC
46. 566 Seashore, LLC									
47. - Real Estate in Cumberland County, Maine (Appraisal date = 10/30/13)	A	Rent	N	Q	Open	4/15/16	N		
48. - Peoples United Bank checking account	A	Int./Div.	J	T	Open	09/29/16	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	
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 7 of 8

Name of Person Reporting

Cary, Peter G.

Date of Report

04/14/2018

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

Part I, line 4 : My wife is one of several beneficiaries of this trust. I served as a non-compensated trustee. The trust was a revocable trust for all of 2016.
Part VII,Line 47: The real estate was distributed to the LLC upon the closing out of the Estate.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Cary, Peter G.

Date of Report

04/14/2018

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/ Peter G. Cary

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544