

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 04/25/2014
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 01/01/2013 to 12/31/2013
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. Secretary	Westcote Drive Association; unincorporated private association
2. Legal Guardian, healthcare only, pro bono basis; 2 individual wards	Cornerstone Adult Services, Inc.(See Part VIII.)
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2013	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. National Conference Bankruptcy Judges	10-8-13 to 10-11-13	Atlanta, Georgia	educational and professional conference	two nights lodging
2. American Bankruptcy Institute	7-11-13 to 7-14-13	Newport, Rhode Island	educational seminar and conference	registration fee, lodging and meals
3.				
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.	Coastway Community Bank	Commercial Real Estate Mortgage	L
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. Great West Lifetime Advan. IRA, Mod. Conserv. Profile II	F	Dividend	P1	T					
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. HSA Bank, Account	A	Interest	J	T					
5. MFS Municipal Income Fund-A	A	Interest	L	T					
6. Commonwealth Municipal Income Fund	A	Interest	L	T					
7. UBS Pace Select Fund (IRA), Mutal Fund	A	Dividend	L	T					
8. Phoenix Big Edge Plus, Mutual Fund Annuity	A	Dividend	K	T					
9. Bank Rhode Island, Account		None	J	T					
10. Hartford Select Dimensions Fund, (Annuity)	B	Dividend	K	T					
11. Phoenix Big Edge Plus, Mutual Fund, (Annuity)	A	Dividend	K	T					
12. Capital One Money Market Account	A	Interest			Sold	04/01/13	J	A	
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. Appraisal 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: (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 \$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	

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18. UBS Pace Select Fund, Mutual Fund (IRA)	A	Dividend	L	T					
19. UBS Pace Select Fund, Mutual Fund	B	Dividend	M	T					
20. Phoenix Big Edge Plus, Mutual Fund Annuity	A	Dividend	K	T					
21. Dreyfus Insured Deposits Basic	A	Dividend	J	T	Buy	05/29/13	J		
22. Fidelity Floating Rate High Income	A	Dividend	K	T	Buy	05/29/13	K		
23. Franklin Low Duration Total	B	Dividend	K	T	Buy	05/29/13	K		
24. Goldman Sachs Global Income Fund	C	Dividend	L	T	Buy	05/29/13	L		
25. Goldman Sachs Strategic Income	B	Dividend	K	T	Buy	05/29/13	K		
26. Lord Abbett Short Duration Income Fund	B	Dividend	K	T	Buy	05/29/13	K		
27. Indexiq EFT TR IQ Hedge Multi-Strategy	A	Dividend	K	T	Buy	05/29/13	K		
28. Ishares TR Morningstar	A	Dividend	K	T	Buy	05/29/13	K		
29. IsharesTR Russell Mid-Cap ETF	A	Dividend	K	T	Buy	05/29/13	K		
30. Ishares Global 100 ETF	A	Dividend	K	T	Buy	05/29/13	K		
31. Ishares TR Russell 2000 ETF	A	Dividend	K	T	Buy	05/29/13	K		
32. Powershares Exchange-Traded Fund	A	Dividend	K	T	Buy	05/29/13	K		
33. SPDR Index Shs FDS S&P World Ex-US ETF	A	Dividend	L	T	Buy	05/29/13	L		
34. SPDR SER TR Barclays High Yield BD ETF	A	Dividend	J	T	Buy	05/29/13	J		

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35. US Commodity Index FD Commodity	A	Dividend	J	T	Buy	05/29/13	J		
36. Vanguard Intl Equity Index FDS FTSE	B	Dividend	L	T	Buy	05/29/13	L		
37. Vanguard Index FDS Vanguard REIT ETF	A	Dividend	J	T	Buy	05/29/13	J		
38. Goldman Sachs Global ND Institutional Class A	A	Dividend			Sold (part)	08/29/13	K	A	
39. Goldman Sachs ND Institutional Class A	A	Dividend			Sold	10/31/13	K	A	

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

Part I, page 1, Line 2- Position was held as guradian for healthcare purposes only of 2 wards with no control over wards' personal finances or financial estates. On February 5, 2013, and February 13, 2013, respectively, I resigned as guardian of these wards and no longer served a such guardian on and after the latter date.

Part II. Agreement with former law firm employer Winograd Shine Land & Finkle, P.C. for employee benefits: disability, health and long term care insurance and 401 (K) Profit Sharing Plan and all payments thereunder ceased as of December 31, 2012.

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.

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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/ **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
Administrative Office of the United States Courts
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