

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 State Bankruptcy Court, District of Rhode Island	3. Date of Report 04/4/2016
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 01/01/2015 to 12/31/2015
7. Chambers or Office Address United States Bankruptcy Court 380 Westminster Street, 6th Floor Providence Rhode Island 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	Westcote Drive Association; unincorporated private association
2. Trustee	Trust #1
3. Trustee	Trust # 2
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. 2015	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. American Bankruptcy Institute	07/09/15 to 07/12/15	Falmouth, Ma	educational seminar and conference	registration fee, lodging and meals
2.				
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	E	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	K	T					
5. MFS Municipal Income Fund-A	C	Interest	L	T					
6. Commonwealth Municipal Income Fund	A	Interest	L	T					
7. UBS Pace Select Fund (IRA), Mutual Fund	B	Dividend	L	T					
8. Phoenix Big Edge Plus, Mutual Fund, Annuity	B	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)	B	Dividend	K	T					
12. Fidelity FA Freedom 2020 I, 401(K)/Profit Sharing Plan	E	Dividend	P1	T					
13. Pioneer Value Fund A	A	Dividend	K	T					
14. Ursillo, Teitz & Ritch Ltd. Appraisal 12/08/11		None	K	U					
15. American Express- Money Market Account	B	Interest	M	T					
16. UBS Pace Select Fund, Mutual Fund	B	Dividend	M	T					
17. SPDR SER TR Barclays Short	A	Dividend	K	T	Buy	01/28/15	K		

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 = \$250,000.01 - \$500,000.00	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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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)	B	Dividend	L	T					
19. UBS Pace Select Fund, Mutual Fund	C	Dividend	M	T					
20. Phoenix Bid Edge Plus, Mutual Fund (Annuity)	B	Dividend	K	T					
21. Dreyfus Insured Deposits Basic	A	Dividend			Sold	10/30/15	J	A	
22. Fidelity Floating Rate High Income	B	Dividend	K	T					
23. Franklin Low Duration Total	A	Dividend			Sold	01/28/15	K	A	
24. Goldman Sachs Global Income Fund	C	Dividend	L	T					
25. Goldman Sachs Strategic Income Fund	B	Dividend	K	T					
26. Lord Abbett Short Duration Income Fund	B	Dividend	K	T					
27. Indexiq ETF TR IQ Hedge Multi-Strategy	A	Dividend	K	T					
28. Ishares TR Morningstar	A	Dividend	K	T					
29. Ishares TR Russell Mid-Cap ETF	A	Dividend	K	T					
30. Ishares TR Global 100 ETF	A	Dividend			Sold	06/01/15	K	C	
31. Ishares TR Russell 2000 ETF	A	Dividend	K	T					
32. Ishares TR MSCI ACWI ETF	A	Dividend	K	T					
33. Powershares Exchange-Traded Fund	A	Dividend	K	T					
34. SPDR Index SHS FDS S&P World Ex-US ETF	B	Dividend	L	T					

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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. SPDR SER TR Barclays High Yield BD ETF	A	Dividend	J	T					
36. Putnam Absolute Return 700 Fund CLY	C	Dividend	K	T	Buy	06/01/15	K		
37. Vanguard Index FDS Vanguard Reit ETF	A	Dividend			Sold	02/10/15	J	B	
38. Vanguard FTSE Emergng Markets ETF	A	Dividend	K	T					

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

Part I, Line 2- I am the trustee of and hold a beneficial interest in Trust #1. I did not realize that my position in this type of trust had to be disclosed because the trust has no reportable value as its sole asset is a term life insurance policy. Consequently, it was erroneously omitted from previously filed reports. Because this trust has no reportable value it is not listed in Part VII.

Part I, Line 3- I am the trustee of Trust #2 which has no assets and has never had any assets. I did not realize that my position in this trust had to be disclosed because the trust has no reportable value. Consequently, it was erroneously omitted from previously filed reports. Because it has no reportable value it is not listed in Part VII.

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