

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 6/12/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
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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Fagone, Michael A.

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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. 1/19-12/19	RSU #22 - Wages
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. (Duberstein)	March 3-5, 2019	New York City, NY	Duberstein Competition	Meals, Lodging, Transportation
2. American Bankruptcy Institute	April 11 - 13, 2019	Washington, D.C.	Speaker	Meals, Lodging, Transportation
3. American Bankruptcy Institute	July 10 - 13, 2019	Newport, RI	Speaker	Meals, Lodging, Transportation
4. American Bankruptcy Institute	December 4 - 8, 2019	Los Angeles, 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	J
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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. Fidelity Investments - IRA Rollover (***-0895) (H)									
2. FlexShares MStar Mkt Factor Tilt ETF - TILT	A	Dividend	K	T	Sold	05/21/19	L	D	
3.					Buy	12/12/19	K		
4. FlexShares Quality Div Index ETF (QDF)	A	Dividend			Sold	05/21/19	K	D	
5. Goldman Sachs Active Beta LG ETF (GSLC)	B	Dividend	L	T	Buy	05/21/19	K		
6. IShares 1-5 yr US Bond Index ETF (ISTB)	B	Dividend	L	T	Buy	10/29/19	K		
7. IShares 3-7 yr Treasury Bond Index ETF (IEI)	A	Dividend			Sold	05/21/19	K	A	
8. IShares 1-3 yr Credit Bond Index ETF (IGSB)	B	Dividend	L	T	Buy	05/21/19	J		
9.					Buy	10/29/19	K		
10. IShares Barclays Aggregate Bond Index ETF (AGG)	B	Dividend			Sold	10/29/19	K	A	
11. IShares Floating Rate Bond ETF (FLOT)	A	Dividend	K	T	Buy	05/21/19	J		
12. IShares Barclays Intermed Gov Credit Bond Index ETF (GVI)	B	Dividend	L	T	Buy	05/21/19	J		
13.					Buy	10/29/19	K		
14. IShares Barclays Intermed Credit Bond Index ETF (IGIB)	B	Dividend	L	T	Buy	05/21/19	K		
15.					Buy	10/29/19	L		
16. IShares Core S&P US Value Index ETF (IUSV)	A	Dividend	K	T	Buy	10/29/19	L		
17. IShares MSCI USA Momentum Factor ETF (MTUM)	A	Dividend	L	T	Buy	05/21/19	J		

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	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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Name of Person Reporting

Fagone, Michael A.

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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)
18. IShares KLD 400 Social Index ETF (DSI)	B	Dividend	L	T	Buy	01/23/19	K		
19.					Buy	05/21/19	K		
20. IShares S&P 500 Index ETF (IVV)	C	Dividend	M	T					
21. IShares S&P MidCap Index ETF (IJR)	A	Dividend			Sold	10/29/19	K	D	
22. IShares ESG MCI USA ETF (ESGU)	B	Dividend	L	T	Buy	01/23/19	K		
23.					Buy	05/21/19	J		
24. IShares Core Dividend Growth ETF (DGRO)	A	Dividend	K	T					
25. Invesco QQQ Trust ETF (QQQ)	A	Dividend	K	T	Sold (part)	01/23/19	K	C	
26.					Sold (part)	05/21/19	K	E	
27. Invesco S&P 500 Equal Weight ETF (RSP)	B	Dividend	L	T					
28. SPDR MSCI USA Strategic Factors ETF (QUS)	B	Dividend	L	T	Buy	05/21/19	L		
29. Vanguard Dividend Appreciation ETF (VIG)	A	Dividend			Sold	12/12/19	L	C	
30. Vanguard Mega Cap 300 Growth ETF (ETF)	A	Dividend			Sold	01/23/19	K	D	
31. Fidelity Government Cash Reserve Money Mkt Fd (FDRXX)	A	Dividend	J	T	Sold (part)	01/03/19	J		
32.					Buy (add'l)	01/04/19	J		
33.					Buy (add'l)	01/25/19	J		
34.					Buy (add'l)	01/31/19	J		

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	
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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35.					Buy (add'l)	02/07/19	J		
36.					Sold (part)	02/14/19	K		
37.					Buy (add'l)	02/28/19	J		
38.					Buy (add'l)	03/07/19	J		
39.					Buy (add'l)	03/21/19	J		
40.					Buy (add'l)	03/26/19	J		
41.					Buy (add'l)	03/29/19	J		
42.					Sold (part)	04/01/19	J		
43.					Buy (add'l)	04/02/19	J		
44.					Buy (add'l)	04/05/19	J		
45.					Buy (add'l)	04/30/19	J		
46.					Buy (add'l)	05/07/19	J		
47.					Sold (part)	05/21/19	J		
48.					Buy (add'l)	05/31/19	J		
49.					Buy (add'l)	06/07/19	J		
50.					Buy (add'l)	06/10/19	J		
51.					Buy (add'l)	06/20/19	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	

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NONE (No reportable income, assets, or transactions.)

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52.					Buy (add'l)	06/21/19	J		
53.					Buy (add'l)	06/28/19	J		
54.					Sold (part)	07/01/19	J		
55.					Buy (add'l)	07/08/19	J		
56.					Buy (add'l)	07/31/19	J		
57.					Buy (add'l)	08/05/19	K		
58.					Sold (part)	08/07/19	J		
59.					Buy (add'l)	08/30/19	J		
60.					Buy (add'l)	09/09/19	J		
61.					Buy (add'l)	09/27/19	J		
62.					Buy (add'l)	09/30/19	J		
63.					Sold (part)	10/01/19	J		
64.					Buy (add'l)	10/07/19	J		
65.					Sold (part)	10/29/19	J		
66.					Buy (add'l)	10/31/19	J		
67.					Buy (add'l)	11/07/19	J		
68.					Buy (add'l)	11/29/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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69.					Buy (add'l)	12/06/19	J		
70.					Buy (add'l)	12/12/19	J		
71.					Buy (add'l)	12/20/19	J		
72.					Buy (add'l)	12/26/19	J		
73.					Buy (add'l)	12/27/19	J		
74.					Buy (add'l)	12/30/19	J		
75.					Buy (add'l)	12/31/19	J		
76. Fidelity Investments - Trust #1 (**- **3720) (H) X									
77.									

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

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, during the reporting period, I served 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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544