

FD-10
Rev. 1/91

FINANCIAL DISCLOSURE REPORT

Report Required by the Ethics
Reform Act of 1989, Pub. L. No.
101-194, November 30, 1989;
(5 U.S.C.A. App. 6, §§101-112)

1. Person Reporting (Last name, first, middle initial) BRODY, MORTON A.	2. Court or Organization FEDERAL DISTRICT COURT	3. Date of Report June 12, 1991
4. Title (Article III judges indicate active or senior status; Magistrate judges indicate full- or part-time) JUDGE	5. Report Type (check appropriate type) <u>X</u> Nomination, Date <u>6/14/91</u> ___ Initial ___ Annual ___ Final	6. Reporting Period JUNE, 1991
7. Chambers or Office Address Kennebec County Courthouse 95 State St. Augusta, Maine 04330		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each section where you have no reportable information. Sign on last page.		

I. POSITIONS. (Reporting individual only; see pp. 7-8 of Instructions.)

POSITION

NAME OF ORGANIZATION/ENTITY

☒ X

NONE (No reportable positions)

II. AGREEMENTS. (Reporting individual only; see p. 8-9 of Instructions.)

DATE

PARTIES AND TERMS

☒ X

NONE (No reportable agreements)

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 9-12 of Instructions.)

DATE

SOURCE AND TYPE

GROSS INCOME

(Honoraria only)

(yours, not spouse's)

☐ NONE (No reportable non-investment income)

1	Salary	State of Maine	\$ 80,132.55
2	Salary	Colby College	\$ 5,395.00
3	Salary	Colby College (s)	\$
4			\$
5			\$

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting

BRODY, MORTON A.

Date of Report

June 12, 1991

IV. REIMBURSEMENTS AND GIFTS -- transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children; use the parentheticals "(S)" and "(DC)" to indicate reportable reimbursements and gifts received by spouse and dependent children, respectively. See pp.13-15 of instructions.)

SOURCE

DESCRIPTION

☒

NONE (No such reportable reimbursements or gifts)

1

(Both myself and my wife are reimbursed travel expenses in connection with our employment.)

2

3

4

5

6

7

8

V. OTHER GIFTS. (Includes those to spouse and dependent children; use the parentheticals "(S)" and "(DC)" to indicate other gifts received by spouse and dependent children, respectively. See pp.15-16 of instructions.)

SOURCE

DESCRIPTION

VALUE

☒

NONE (No such reportable gifts)

1

2

3

4

VI. LIABILITIES. (Includes those of spouse and dependent children; indicate where applicable, person responsible for liability by using the parenthetical "(S)" for separate liability of spouse, "(J)" for joint liability of reporting individual and spouse, and "(DC)" for liability of a dependent child. See pp.16-18 of instructions.)

CREDITOR

DESCRIPTION

VALUE CODE*

☐

NONE (No reportable liabilities)

1

Student Loan Services

Guarantor - Student loan - daughter

J

3

Student Loan Services

Guarantor - Student loan - son

J

5

6

7

8

9

* VALUE CODES: J = \$15,000 or less K = \$15,001 to \$50,000 L = \$50,001 to \$100,000 M = \$100,001 to \$250,000
 N = \$250,001 to \$500,000 O = \$500,001 to \$1,000,000 P = More than \$1,000,000

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting

Date of Report

BRODY, MORTON A.

June 12, 1991

VII. INVESTMENTS and TRUSTS -- income, value, transactions. (Includes those of spouse and dependent children; see pp. 18-27 of Instructions.)

A. Description of Assets (Including trust assets) Indicate, where applicable, owner of the asset by using the parenthetical "(S)" for joint ownership of reporting individual and spouse, "(S)" for separate ownership by spouse, "(DC)" for ownership by dependent child. 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) Amt. Code (A-B)	(2) Type (div., rent or int.)	(1) Value Code (J-P)	(2) Value Method Code (Q-W)	(1) Type (e.g., buy, sell, merger, redemption)	(2) Date: Month-Day	(3) Value Code (J-P)	(4) Gain Code (A-B)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions)									
1 common stock BRISTOL-MYERS - SQUIBB	A	div.	J	T					
2 common stock NUCOR	A	div.	J	T					
3 common stock AT&T	A	div.	J	T					
4 common stock OKLAHOMA GAS & ELECTRIC	A	div.	J	T					
5 common stock FLEET BANK (S)	A	div. & int.	J	T					
6 common stock FLEET BANK (DC)	A	div. & int.	J	T					
7 annuity TIAA/CREF (S)									
8 annuity (IRA)									
9 annuity (IRA)									
10 annuity (IRA)									
11 U.S. Savings Bonds (DC)			J	T					
12									
13									
14									
15									
16									
17									
18									
19									
20									

1 Income/Gain Codes:	A=\$1,000 or less (See Col. B) & D4)	B=\$15,001 to \$50,000	C=\$52,501 to 5,000	D=\$5,001 to \$15,000
2 Value Codes:	J=\$15,000 or less (See Col. C) & D3)	K=\$15,001 to \$50,000	L=\$50,001 to \$100,000	M=\$100,001 to \$250,000
3 Value Method Codes:	Q=Appraisal (See Col. C2)	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market

FINANCIAL DISCLOSURE REPORT (cont'd)

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VIII. ADDITIONAL INFORMATION or EXPLANATIONS. (Indicate part of Report.)

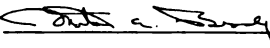
IX. CERTIFICATION.

In compliance with the provisions of 28 U.S.C. § 455 and of Advisory Opinion No. 57 of the Advisory Committee on Judicial Activities, and to the best of my knowledge at the time after reasonable inquiry, I did not perform any adjudicatory function in any litigation during the period covered by this report in which I, my spouse, or my minor or dependent children had a financial interest, as defined in Canon 3C(3)(c), in the outcome of such litigation.

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.A. app. 7, § 501 et. seq., 5 U.S.C. § 7353 and Judicial Conference regulations.

Signature



Date June 12, 1991

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C.A. APP. 6, § 104, AND 18 U.S.C. § 1001.)

FILING INSTRUCTIONS:

Mail signed original and 3 additional copies to:

Judicial Ethics Committee
Administrative Office of the
United States Courts
Washington, DC 20544

ATTACHMENT E

**FINANCIAL STATEMENT
NET WORTH**

FINANCIAL STATEMENT

NET WORTH

Provide a complete, current financial net worth statement which itemizes in detail all assets (including bank accounts, real estate, securities, trusts, investments, and other financial holdings) all liabilities (including debts, mortgages, loans, and other financial obligations) of yourself, your spouse, and other immediate members of your household.

ASSETS			LIABILITIES		
Cash on hand and in banks	2	000.00	Notes payable to banks—secured		1.00
U.S. Government securities—add schedule	2	795.00	Notes payable to banks—unsecured		1.00
Listed securities—add schedule	26	364.96	Notes payable to relatives		1.00
Unlisted securities—add schedule		0.00	Notes payable to others		1.00
Accounts and notes receivable:			Accounts and bills due		1.00
Due from relatives and friends		0.00	Unpaid income tax		1.00
Due from others		0.00	Other unpaid tax and interest:		1.00
Doubtful		0.00	Real estate mortgages payable—add schedule	99	354.56
Real estate owned—add schedule	375	000.00	Chattel mortgages and other liens payable		0.00
Real estate mortgages receivable		0.00	Other debts—itemize:		0.00
Autos and other personal property	14	700.00			0.00
Cash value—life insurance	7	221.00			0.00
Other assets—itemize:					
C.D. People's Heritage (S)	4	000.00			
CD. Key Bank (S)	1	200.00			
TIRA/CRF annuity (S)	22	854.86			
All others*	80	149.25	Total liabilities	99	354.56
Total assets	336	285.07	Net worth	436	930.51
			Total liabilities and net worth	536	285.07
CONTINGENT LIABILITIES			GENERAL INFORMATION		
As endorser, cosigner or guarantor	19	536.03	Are any assets pledged? (Add schedule.)	NO	
On leases or contracts		0.00	Are you defendant in any suits or legal actions?	NO	
Legal claims		0.00	Have you ever taken bankruptcy?	NO	
Provision for Federal Income Tax		0.00			
Other special debt:		0.00			

*Other assets - itemized:

MFS/Sun Annuity	66,599.00
MFS/Sun Annuity (S)	10,396.00
Standing reserve fund	3,154.25
	80,149.25