

AO 10* Rev. 1/2013		FINANCIAL DISCLOSURE REPORT NOMINATION FILING		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) Levy, Jon D.		2. Court or Organization U.S. District Court, Maine		3. Date of Report 09/22/2013	
4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge active		5a. Report Type (check appropriate type) ☒ Nomination Date 09/19/2013 ☐ Initial ☐ Annual ☐ Final 5b. ☐ Amended Report		6. Reporting Period 01/01/2012 to 08/31/2013	
7. Chambers or Office Address Maine Supreme Judicial Court 205 Newbury St. Portland, Maine 04101-4125					
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.)

POSITION	NAME OF ORGANIZATION/ENTITY
1. Associate Justice	Maine Supreme Judicial Court
2. Treasurer	William Vaughan House Condominium Association
3. Co-trustee	Trust #1
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE	PARTIES AND TERMS
1.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting	Date of Report
Levy, Jon D.	09/22/2013

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.)

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2011	Maine Supreme Judicial Court	\$119,476.00
2. 2011	Matthew Bender & Co., book royalties	\$613.46
3. 2012	Maine Supreme Judicial Court	\$119,476.00
4. 2012	Matthew Bender & Co., book royalties	\$6,011.69
5. 2013	Maine Supreme Judicial Court	\$83,538.79
6. 2013	Matthew Bender & Co., book royalties	\$641.66
7.		

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.)

DATE	SOURCE AND TYPE
1. 2012	self-employed psychologist, self-employment income
2. 2013	self-employed psychologist, self-employment income
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.)

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. exempt				
2.				
3.				
4.				

5.

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

☐ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
1. exempt		
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

Name of Person Reporting

Levy, Jon D.

Date of Report

09/22/2013

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. American Funds Capital Income Builder Fund	D	Dividend	N	T					
2. American Funds Capital World Bond Fund	A	Dividend	L	T					
3. American Funds Capital World Growth & Income Fund	A	Dividend	K	T					
4. American Funds EuroPacific Growth Fund	B	Dividend	L	T					
5. American Funds Global Balanced Fund		None	J	T					
6. American Funds Growth Fund of America		None	L	T					
7. American Funds International Growth & Income Fund	B	Dividend	L	T					
8. American Funds New World Fund	B	Dividend	L	T					
9. American Funds Short Term Bond Fund	A	Interest	L	T					
10. United States Treasuryr Inflation Index Notes	A	Interest							
11. Bed Bath & Beyond Stock		None	M	T					
12. Norway Savings Bank Checking Account		None	J	T					
13. Fidelity Equity Income Fund	A	Dividend	J	T					
14. Franklin Small-Mid Cap Growth Fund	A	Dividend	J	T					
15. Hartford Capital Appreciation Fund	A	Dividend	K	T					
16. Hartford Total Return Bond HLS Fund	A	Dividend	J	T					
17. Managers AMG Skyline Special Equities Portfolio	A	Dividend	K	T					

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.)

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. Mutual Global Discovery Fund	A	Dividend	K	T					
19. Oppenheimer International Bond Fund		None	J	T					
20. PIMCO All Asset All Authority Fund		None	J	T					
21. PIMCO All Asset Fund	A	Dividend	J	T					
22. PIMCO Low Duration Fund	A	Dividend	K	T					
23. PIMCO Total Return Fund	B	Int./Div.	M	T					
24. PIMCO Global Multi-Asset Fund	B	Dividend							
25. Templeton Global Bond Fund	B	Interest	L	T					
26. Thornberg Investment Trust Limited Term Municipal Fund	B	Dividend	L	T					
27. Wells Fargo Cash Account	A	Interest	N	T					
28. US Government Series E Bonds		None	J	W					
29. US Government Series EE Bonds		None	J	W					
30. Wells Fargo Absolute Return Fund		None	J	T					
31. Pruco Life Insurance Co. of New Jersey Annuity	C	Distribution	K	T					
32. Bank of America Checking Accounts		None	J	T					
33. TD Bank Checking Account		None	J	T					
34. Citibank Cash Account	A	Interest							

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
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

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. Trust #1 - Wells Fargo Cash Account	A	Interest							
36. American Funds Short Term Tax Exempt Bond Fund	A	Interest	K	T					
37.									
38.									

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
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

Name of Person Reporting	Date of Report
Levy, Jon D.	09/22/2013

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

Regarding my answers to Part I, § 2, and Part VII, § 12, I am the treasurer of the Wiliam Vaughan House Condominium Association. The Norway Savings Bank checking account is the condominium's operating account from which I pay the condominium's expenses.

Name of Person Reporting	Date of Report
Levy, Jon D.	09/22/2013

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/ Jon D. Levy**

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

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		3	497	Notes payable to banks-secured (auto)		25	207
U.S. Government securities – see schedule		1	125	Notes payable to banks-unsecured			
Listed securities – see schedule	1	628	858	Notes payable to relatives			
Unlisted securities – see schedule		31	399	Notes payable to others			
Accounts and notes receivable:				Accounts and bills due			
Due from relatives and friends				Unpaid income tax			
Due from others				Other unpaid income and interest			
Doubtful				Real estate mortgages payable			
Real estate owned – personal residence		450	000	Chattel mortgages and other liens payable			
Real estate mortgages receivable				Other debts-itemize:			
Autos and other personal property		75	000				
Cash value-life insurance							
Other assets itemize:							
				Total liabilities		25	207
				Net Worth	2	164	672
Total Assets	2	189	879	Total liabilities and net worth	2	189	879
CONTINGENT LIABILITIES				GENERAL INFORMATION			
As endorser, comaker or guarantor				Are any assets pledged? (Add schedule)	No		
On leases or contracts				Are you defendant in any suits or legal actions?	No		
Legal Claims				Have you ever taken bankruptcy?	No		
Provision for Federal Income Tax							
Other special debt							