

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Woodcock, John A.	2. Court or Organization Maine	3. Date of Report 05/13/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District Judge (Senior Status)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address 156 Federal Street Portland, ME 04101		
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. Emeritus Member of Board of Trustees	Bowdoin College
2. Member Board of Visitors	University of Maine School of Law
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Woodcock , John A.

Date of Report

05/13/2019

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.

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.)*

DATE

SOURCE AND TYPE

1.

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Woodcock , John A.

Date of Report

05/13/2019

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.			
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Woodcock, John A.

Date of Report

05/13/2019

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. Merck Common Stock	B	Dividend	L	T					
2. Netflix, Inc. Common Stock		None	K	T	Buy	08/21/18	L		
3. Boeing Common Stock	B	Dividend	K	T					
4. Cisco Common Stock	A	Dividend	K	T					
5. MetLife Common Stock	A	Dividend	J	T					
6. Wells Fargo Common Stock	D	Dividend	M	T					
7. Union Pacific Common Stock	A	Dividend	K	T					
8. Invesco QQQ Trust, Series 1 (Comment)	A	Dividend	L	T	Buy	03/01/18	L		
9. Mitsui Common Stock - ADRs	B	Dividend	M	T					
10. Apple, Inc. Common Stock	C	Dividend	M	T					
11. MorganStanley Bank Deposits (Comment)	B	Int./Div.	M	T					
12. Amazon.com, Inc.		None	M	T					
13. ExxonMobil Common Stock	C	Dividend			Sold	12/20/18	K	E	
14. General Electric Common Stock	A	Dividend			Sold	03/01/18	K	E	
15. American Growth Fund of America Mutual Fund	A	Dividend	K	T					
16. American Capital Income Builder	A	Dividend	K	T					
17. Alphabet, Inc. (Google)		None	K	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Woodcock, John A.

Date of Report

05/13/2019

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. Norfolk Southern Common Stock	B	Dividend	L	T					
19. Pepsico Common Stock	A	Dividend			Sold	09/05/18	K	E	
20. Ameritas Life Insurance Corp Flexible Universal Life (Fixed)		None	L	T					
21. Procter & Gamble Common Stock	B	Dividend	K	T					
22. Bangor Savings Bank Checking Account (note)	A	Interest	K	T					
23. ASA (Bermuda) STD Common Stock	A	Dividend	J	T					
24. Health Care Services Group Common Stock	B	Dividend	L	T					
25. SPDR S&P 500 ETF	B	Dividend	L	T	Buy (add'l)	04/04/18	K		
26. Stifel Bank & Trust Bond (Comment)	A	Interest			Buy	09/27/18	L		
27. CVS Caremark Corp Common Stock	A	Dividend			Sold	03/01/18	K	E	
28. Stifel Bank & Trust Bond					Sold (part)	11/28/18	L		
29. United Technologies Common Stock	A	Dividend	K	T					
30. Stifel Bank & Trust Bond					Redeemed	12/27/18	K		
31.									
32. ClearBridge Appreciation Fund IRA	A	Dividend	L	T					
33. ClearBridge Dividend Strategy Fund A	A	Dividend	K	T					
34.									

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Woodcock, John A.

Date of Report

05/13/2019

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)

35.									
36. McDonalds Corp. Common Stock	C	Dividend	M	T					
37.									
38. Johnson & Johnson Common Stock	B	Dividend	K	T					
39. Stericycle, Inc. Common Stock		None			Sold	03/01/18	K	E	
40. U.S. Bancorp Common Stock	A	Dividend	K	T					
41.									
42. Zimmer Holdings Common Stock	A	Dividend	K	T					
43. MetLife Life Whole Life Insurance Policies	A	Dividend	K	T					
44.									
45. Chevron Corp. Common Stock	A	Dividend	K	T					
46. Rental Property, Hancock, Maine (Comment)		None	O	R					
47. American Income Fund of America Mutual Fund	B	Dividend	K	T					
48.									
49.									
50. Verizon Common Stock	B	Dividend			Sold	08/21/18	K	D	
51.									

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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Woodcock , John A.

Date of Report

05/13/2019

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

Regarding Item 8, I purchased this security under the name, Powershares QQQ, TR. On June 4, 2018, Powershares changed its name to Invesco QQQ Trust, Series I.

Regarding Item 11, MorganStanley Bank Deposits was the recipient of stock sales, interest and dividends during the year. The value indicated is the value at the end of the year.

Regarding Items 20 and 43, the Committee issued a letter dated August 11, 2017, asking for further information concerning item 43, the MetLife Life Insurance Policies and asking whether the policies were whole or variable life. This report confirms that each of the MetLife life insurance policies is a whole life policy. In addition, item 20 confirms that it is a life insurance policy characterized as a flexible universal life insurance policy (fixed). I have no control over the investments either MetLife or Ameritas makes under any of these policies.

Regarding Item 22, this bank account is used as a personal checking account and varies in amounts during the year based on income received. The value indicated is the value at the end of the year.

Regarding Items 26, 28 and 39, we purchased a Stifel Bank and Trust bond on September 24, 2018 for \$100,000, sold \$64,952.03 of the bond on November 28, 2018, and redeemed the bond for \$35,000 on December 27, 2018. We received interest income for the period from September 24, 2018 through December 27, 2018, which is reported on Item 26.

Regarding Item 46, the property was purchased on June 29, 2011 for \$573,000. The property was not rented in 2018.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting	Date of Report
Woodcock , John A.	05/13/2019

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/ John A. Woodcock**

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