

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) Cary, Peter G.	2. Court or Organization United States Bankruptcy Court for the District of Maine	3. Date of Report 1/15/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Bankruptcy Judge - Full Time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address United States Bankruptcy Court for the District of Maine 537 Congress Street, Second Floor 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.	Personal Representative	Estate #1
2.	Member-Vice President	MittelAsen, LLC (through 1/4/14)
3.	Treasurer	State-Federal Judicial Council - a not-for-profit unincorporated association of Maine state and federal judges
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. 2014	MittelAsen, LLC - 401(k) Profit Sharing Plan with Great West Financial
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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2014	Northwestern Mutual Life Insurance Company (payout from death of insured)	\$3,538.37
2. 2014	MittelAsen, LLC (former law firm - buy out and receivables)	\$62,489.65
3. 2014	Estate #1	\$7,552.00
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. 2014	Maine International Trade Center - salary
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. Cumberland Bar Association	2-27-2014	Portland, ME	Annual Luncheon Speaker	lunch
2. American Bankruptcy Institute	7-17-2014 - 7-20-2014	Stowe, VT	Northeast Meeting and CLE (presenter)	transportation (gas and tolls), meals, hotel and tuition
3. National Conference of Bankruptcy Judges	10-08-2014 - 10-11-2014	Chicago, IL	Annual Meeting	hotel, meals, architecture river tour
4. Massachusetts Continuing Legal Education	11-05-2014	Boston, MA	Bankruptcy 2014 CLE (presenter)	transportation and tuition
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.		
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. MittelAsen, LLC Profit Sharing Plan 401(k)	F	Int./Div.	O	T					
2. - Franklin Strategic Income Fund - A					Sold	10/07/14	L		
3. - MFS Research Bond Fund R3					Sold	10/07/14	M		
4. - American Funds Growth Fund of AM R3					Sold	10/07/14	M		
5. - MFS Value Fund R3					Sold	10/07/14	M		
6. - Ridgeworth Class Mid Cap Value					Sold	10/07/14	M		
7. - Delaware Global Fund Value Fund A					Sold	10/07/14	L		
8. - American Funds AMCAP R6					Buy	10/07/14	L		
9. - RidgeWorth Large Cape Value Equity I					Buy	10/07/14	M		
10. - Western Asset Core Plus Bond Fund I					Buy	10/07/14	M		
11. - Victory Established Value I					Buy	10/07/14	M		
12. - American Funds New Perspective					Buy	10/07/14	M		
13. - PIMCO Income Instl					Buy	10/07/14	L		
14. KeyBank, NA Accounts	A	Interest	L	T					
15. Vanguard Accounts	B	Int./Div.	L	T					
16. - GNMA Fund Investor Shares	A	Dividend	K	T					
17. - Ltd Term Tax-Exempt Inv	A	Dividend	K	T	Buy (add'l)	02/18/14	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P = \$250,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	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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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 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.					Sold (part)	10/27/14	J		
19.					Sold (part)	12/26/14	J		
20. - Short Term Bond Index Admin	A	Dividend	J	T	Buy (add'l)	02/18/14	J		
21.					Sold (part)	10/27/14	J		
22.					Sold (part)	12/26/14	J		
23. Northwest Mutual Disability Insurance Policy	A	Dividend	J	T					
24. Estate #1	A	Int./Div.	M	T					
25. - Real Estate located in Cumberland County, Maine									
26. - Checking accounts (2) in Portland, Maine									
27. - Series EE United States Savings Bonds									

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

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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/ **Peter G. Cary**

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
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