

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 06/30/2016
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 ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address 156 Federal Street Portland, Maine 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. Treasurer	William Vaughan House Condominium Association
2. Member	American Bar Association, Standing Committee on Legal Aid and Indigent Defense
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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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. 2015	Matthew Bender & Co., book royalties	\$381.46
2. 2015	Brandeis University, commissioned paper	\$1,500.00
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. 2015	Miriam A. Levy, LLC, Self-employed Psychologist (self-employment income)
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. Federal Judiciary	2/23/215 - 2/27/15	Washington DC	Phase II Judge School	Paid Travel, Hotel, and Meal Expenses
2. Federal Judiciary	3/19/15 - 3/20/15	Boston Massachusetts	First Circuit Conference	Paid Travel, Hotel, and Meal Expenses
3. American Bar Association	4/12/15-4/13/15	Washington DC	Standing Committee on Legal Aid and Indigent Defense Meeting	Paid Travel, Hotel and Taxi Expenses
4.				
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. American Funds Capital Income Builder Fund	D	Dividend	N	T	Sold (part)	04/10/15	K	A	
2. American Funds Capital World Bond Fund	A	Dividend	J	T					
3. American Funds Captial World Growth & Income Fund	A	Dividend	L	T					
4. American Funds EuroPacific Growth Fund	B	Dividend	L	T	Sold (part)	05/06/15	K	D	
5. American Funds Global Balanced Fund	A	Dividend	K	T					
6. American Funds Growth Fund of America	A	Dividend	L	T					
7. American Funds International Growth & Income Fund	A	Dividend	L	T					
8. American Funds New World Fund	A	Dividend	L	T					
9. American Funds Short Term Bond Fund	A	Dividend	L	T					
10. Bed Bath & Beyond Stock		None	L	T					
11. Norway Savings Bank Checking Account		None	J	T					
12. Harford Total Return Bond HLS Fund	A	Dividend	J	T					
13. Franklin Mutual Global Discovery Fund	A	Dividend	K	T					
14. Oppenheimer International Bond Fund	A	Dividend			Sold	11/23/15	K		
15. PIMCO All Asset All Authority Fund	A	Dividend	J	T					
16. Fidelity Cash Account	A	Interest	J	T					
17. TD Bank Checking Account		None	J	T					

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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☐ 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. Templeton Global Bond Fund	B	Dividend			Sold	11/23/15	L		
19. Thornberg Investment Trust Limited Term Municipal Fund	B	Dividend	L	T					
20. Wells Fargo Cash Account	A	Interest	L	T					
21. US Government Series E Bonds		None	J	W					
22. US Government Series EE Bonds		None	J	W					
23. Wells Fargo Absolute Return Fund		None	L	T					
24. Pruco Life Insurance Co. of New Jersey Annuity	C	Distribution	K	T					
25. Bank of America Checking Accounts		None	J	T					
26. PIMCO All Asset Fund	A	Dividend	J	T					
27. American Funds Short Term Tax Exempt	A	Dividend	L	T					
28. Metropolitan West-Total Return Bond Fund	B	Dividend	M	T					
29. Vanguard Fixed Income - Short Term	C	Dividend	M	T					
30. SSGA S&P 500 Index Sec Lend	A	Dividend	L	T					
31. SSGA S&P MC Index Non-Led Serv	A	Dividend	J	T					
32. Nuveen NWQ SC Value	A	Dividend	K	T					
33.									
34.									

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(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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35.									
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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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Explanatory Note Regarding Section VII - Investments and Trusts, No. 32

Pursuant to the letter dated June 15, 2016, I received from the Judicial Conference of the United States Committee on Financial Disclosure, please be advised that my 2015 Financial Report was correctly submitted.

The Committee's letter indicates that the "Nuveen NWQ SC Value" listed on my 2015 Financial Report was not reported in my 2014 Financial Report. The "Nuveen NWQ SC Value" asset was purchased December 19, 2014, but I inadvertently omitted it from my 2014 Financial Report. The relevant information regarding the "Nuveen NWQ SC Value" asset that should have been included in the 2014 Financial Report is as follows:

- As to Section B, "Income during reporting period," the "Amount Code" is "A" and the "Type" is Dividend."
- As to Section C, "Gross value at end of reporting period," the "Value Code" is "K" and the "Value Method" is "T".
- As to Section D, "Transaction during reporting period," the "Type" is "buy," the "date" is "12/19/14," and the "Value Code 2" is "K."

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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/ 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