

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Fagone, Michael A.	2. Court or Organization U.S. Bankruptcy Court, District of Maine	3. Date of Report 01/11/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address Margaret Chase Smith Federal Building Room 30607 202 Harlow Street Bangor, ME 04401		
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.	Director	American Bankruptcy Institute
2.	Trustee	Trust #1
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.)*

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.	American Bankruptcy Institute	April 20 - April 23, 2017	Washington, D.C.	Speaker	Meals, Lodging, Transportation
2.	American Bankruptcy Institute	July 20 - July 23, 2017	Newport, Rhode Island	Speaker	Meals, Lodging, Transportation
3.	American Bankruptcy Institute	November 30 - December 2, 2017	La Quinta, California	Speaker	Meals, Lodging, Transportation
4.	Massachusetts Continuing Legal Education	December 6, 2017	Boston, Massachusetts	Speaker	Meals, Transportation
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.	Nelnet	Student Loan	J
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. Fidelity Investments IRA (H)									
2. - First Trust Rising Dividend Achievers ETF - RDVU	A	Dividend			Buy	04/11/17	K		
3. -					Sold	06/23/17	K	A	
4. - Flexshares MStar Market Factor TILT ETF - TILT	B	Dividend	L	T	Buy (add'l)	04/11/17	K		
5. - Flexshares Quality Dividend Index EFT - QDF	B	Dividend	K	T	Sold (part)	07/05/17	K	B	
6. - GSAM ActiveBeta US Large Cap Equity ETF - GSLC	A	Dividend	L	T	Buy	06/23/17	K		
7. - Guggenheim S&P 500 Equal-Weight ETF - RSP	B	Dividend	L	T					
8. - iShares 1-5 yr US Bond ETF - ISTB	A	Dividend	K	T					
9. - iShares 3-7 yr US Bond ETF - IEI	A	Dividend	K	T					
10. - iShares Barclays 1-3 yr Credit Bond ETF - CSJ	A	Dividend	K	T					
11. - iShares Barclays Intermediate US Govt Credit Bond ETF - GVI	A	Dividend	K	T					
12. - iShares Edge MSCI Multifactor USA ETF - LRGF	A	Dividend	K	T	Buy	05/18/17	J		
13. -					Buy	07/05/17	K		
14. - iShares S&P 500 Index ETF - IVV	C	Dividend	M	T					
15. - iShares S&P Mid Cap 400 Index ETF - IJH	A	Dividend	K	T					
16. - iShares S&P Mid Cap 400/Barra Value Index ETF - IJJ	A	Dividend			Sold	05/03/17	K	C	
17. - iShares S&P Small Cap 600 Index ETF - IJR	A	Dividend	K	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000 (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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18. - iShares Core MSCI Emerging Markets ETF - IEMG		None			Buy	11/20/17	K		
19. -		None			Sold	12/12/17	K		
20. - iShares Floating Rate Bond ETF - FLOT	A	Dividend	K	T	Buy (add'l)	04/11/17	J		
21. - iShares S&P Small Cap 600 Value ETF - IJS		None			Sold	03/08/17	K	C	
22. - iShares Barclays Aggregate Bond Index - ETF	A	Dividend	K	T					
23. - iShares Edge MSCI USA Momentum Factor ETF - MTUM	A	Dividend	K	T	Buy	03/13/17	K		
24. -					Buy	07/05/17	J		
25. - iShares Trust Core Dividend Growth ETF - DGRO	A	Dividend	K	T	Buy	08/31/17	K		
26. - PowerShares QQQ Trust ETF - QQQ	A	Dividend	L	T					
27. - PowerShares S&P 500 High Beta Index ETF - SPHB		None			Sold	03/13/17	K	B	
28. - Schwab US Dividend Equity ETF - SCHD	A	Dividend	K	T	Buy	12/12/17	K		
29. - SPDR DJ Euro STOXX 50 ETF - FEZ	A	Dividend			Buy	05/03/17	K		
30. -					Sold	11/20/17	K	B	
31. - SPDR S&P Dividend ETF - SDY	A	Dividend			Sold	04/11/17	K	A	
32. -					Sold	05/17/17	J	A	
33. - SPDR S&P Dividend ETF - SDY (continued)					Sold	08/31/17	K	B	
34. - Vanguard Intermediate Term Corporate Bond ETF - VCIT	A	Dividend			Sold	04/11/17	K		

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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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35. - Vanguard Mega Cap 300 Growth ETF - MGK	A	Dividend	K	T	Buy	03/08/17	K		
36. - Fidelity Government Cash Reserve Fund (MMF) - FDRXX	A	Dividend	J	T	Sold	01/04/17	J	A	
37. -					Buy	03/13/17	J		
38. -					Buy	03/30/17	J		
39. -					Sold	04/10/17	J	A	
40. -					Sold	04/17/17	J	A	
41. -					Buy	05/08/17	J		
42. -					Buy	05/22/17	J		
43. -					Sold	05/23/17	J	A	
44. -					Buy	06/30/17	J		
45. -					Sold	07/07/17	J	A	
46. -					Buy	07/10/17	J		
47. -					Buy	09/06/17	J		
48. -					Buy	09/29/17	J		
49. -					Sold	10/03/17	J	A	
50. -					Buy	12/26/17	J		
51. -					Buy	12/28/17	J		

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52.									
53. Gorham Savings Bank Cash Account	A	Interest	K	T					
54. Bangor Savings Bank Cash Account	A	Interest	J	T					

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

I am the sole trustee of a trust for the benefit of certain relatives ("Trust #1"). I do not receive any income from Trust #1. I do not currently have, and did not at any time during the reporting period have, any beneficial interest in Trust #1, its res, or any income derived therefrom. My sole function, with respect to the trust, is to serve as a trustee for those persons who do have a beneficial interest in the trust and, during the reporting period, I served in that capacity on an uncompensated basis. Copies of the trust agreement and the relevant account records are available upon request.

RESPONSE TO LETTER OF INQUIRY:

In the 2016 report, the purchase of SPDR S&P Dividend ETF – SDY was inadvertently left out. The 2017 report correctly reflects that it was sold.

In the 2016 report, the asset listed on Line 20 - ProShares S&P 500 Div Aristocrats Stk ETF was sold in full on December 21, 2016, and should have been reflected as such on Line 22.

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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/ Michael A. Fagone**

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