

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Finkle, Diane	2. Court or Organization United State Bankruptcy Court, District of Rhode Island	3. Date of Report 9/12/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Judge- Full Time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2016 to 12/31/2016
5b. ☒ Amended Report		
7. Chambers or Office Address United States Bankruptcy Court 380 Westminster Street, 6th Floor Providence Rhode Island 02903		
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. Secretary- Westcote Drive Association	Westcote Drive Association; unincorporated private association
2. Trustee	Michael A. Ursillo 2007 Irrevocable Life Insurance Trust (unfunded)
3. Trustee	Diane Finkle Revocable Trust Dated February 10, 1999, as amended (unfunded)
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.		
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2016	Ursillo, Teitz & Ritch, Ltd- salary and employee benefits
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. American Bankruptcy Institute	7/14/2016-7/17/2016	Bretton Woods, NH	educational seminar and conference	registration fee, lodging and meals
2.				
3.				
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.	Coastway Community Bank	Commercial Real Estate Mortgage	L
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. Great West Lifetime Advan. IRA, Mod. Conserv. Profile II	E	Dividend	P1	T					
2. Ursillo, Teitz & Ritch Realty IV, Appraisal, 12/08/2011	A	Dividend	L	Q					
3. First Eagle Gold Fund Class A, Mutual Fund		None	J	T					
4. HSA Bank, Account	A	Interest	K	T					
5. MFS Municipal Income Fund-A	C	Interest	L	T					
6. Commonwealth Municipal Income Fund		None	L	T					
7. UBS Pace Int'l Equity Investments Class P	B	Dividend	L	T					
8. Phoenix Big Edge Plus, Mutual Fund, Annuity	B	Dividend	K	T					
9. Bank Rhode Island, Account		None	J	T					
10. Hartford Select Dimensions Fund, (Annuity)	A	Dividend	K	T					
11. Phoenix Big Edge Plus, Mutual Fund, (Annuity)	B	Dividend	K	T					
12. Fidelity FA Freedom 2020 I, 401(K)/Profit Sharing Plan	E	Dividend	P1	T					
13. Pioneer Value Fund A	B	Dividend	K	T					
14. Ursillo, Teitz & Ritch Ltd. Appraisal 12/08/11		None	K	U					
15. American Express- Money Market Account	B	Interest	M	T					
16. UBS Pace Int'l Emerging Markets Equity Investments Class P	A	Dividend	K	T					
17. UBS Pace Global Real Estate Securities Investments Class P	A	Dividend	J	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 = \$250,000.01 - \$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 \$5,000,000	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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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. UBS Pace Large Co Growth Equity Investments Class P	A	Dividend	L	T					
19. Grow ALPS ETF TR Alerian MLP EFT	B	Dividend	K	T	Buy	06/30/16	K		
20. BlackRock Floating Rate INC PRT Instl 1	B	Dividend	K	T	Buy	04/01/16	K		
21.			K	T	Buy (add'l)	05/04/16	K		
22. Fidelity Floating Rate High Income	B	Dividend			Sold (part)	03/28/16	J	A	
23.					Sold	04/01/16	K	A	
24. First TR Value Line Index FD SHS	A	Dividend	K	T	Buy	03/28/16	K		
25. Goldman Sachs Global Income Fund	A	Dividend	L	T	Sold (part)	03/28/16	J	A	
26.				T	Sold (part)	11/14/16	K	A	
27. Goldman Sachs Strategic Income Fund	B	Dividend			Buy	03/28/16	J		
28.					Sold	05/04/16	K	A	
29. Lord Abbett Short Duration Income Fund	B	Dividend			Sold	03/28/16	J	A	
30.			K	T	Buy	05/13/16	J		
31.			K		Buy (add'l)	12/05/16	K		
32. Indexiq ETF TR IQ Hedge Multi-Strategy	A	Dividend	K	T	Sold (part)	03/28/16	J	A	
33. Ishares Morningstar Large Cap Growth ETF	A	Dividend			Sold	03/28/16	K	D	
34. Ishares TR Russell Mid-Cap ETF	A	Dividend			Sold	03/28/16	K	C	

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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. Ishares TR Global ETF	A	Dividend			Sold	06/01/16	K	C	
36. Ishares TR Russell 2000 Value ETF	A	Dividend	J	T	Buy (add'l)	11/14/16	J		
37.			J	T	Sold (part)	03/28/16	J	A	
38. Ishares TR MSCI ACWI ETF	A	Dividend			Sold	03/28/16	K	A	
39. Power Shares Exchange Traded Fund TR II	A	Dividend	K	T	Buy	03/28/16	K		
40. Power Shares FTSE RAFI US 1000 ISIN	A	Dividend			Sold	03/28/16	K	C	
41. SPDR Index SHS FDS S&P World Ex-US ETF	B	Dividend			Sold	03/28/16	L	A	
42. SPDR SER TR Bloomberg Barclays	A	Dividend	J	T	Buy	03/28/16	J		
43. SPDR SER TR Bloomberg BRC SRT (formerly High Yield Bond)	A	Dividend	K	T	Sold (part)	03/28/16	J	A	
44. Putnam Absolute Return 700 Fund CLY	B	Dividend	J	T	Sold (part)	03/28/16	J	A	
45.				T	Sold (part)	11/28/16	J	A	
46. Putnam Short Duration Income CL Y	A	Dividend	K	T	Buy	11/14/16	K		
47. Vanguard FTSE Emergng Markets ETF (Equity)	A	Dividend	J	T	Sold (part)	03/28/16	J	A	
48.			J	T	Sold (part)	11/14/16	J	A	
49. Schwab Strategic TR US Dividend Equity Fund	B	Dividend	K	T	Buy	03/28/16	K		
50. Wisdomtree TR Intl Large Cap Divid FD	B	Dividend	K	T	Buy	03/28/16	K		
51. Wisdomtree TR Mid Cap Divid FD	A	Dividend	K	T	Buy	03/28/16	K		

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52. Select SPDR TR SHS Ben Int Consumer	A	Dividend			Buy	03/28/16	K		
53.					Sold	06/30/16	K	B	
54. SPDR SER TR S&P Divd ETF	A	Dividend	K	T	Buy	03/28/16	K		
55. Gateway Fund Class Y	A	Dividend	K	T	Buy	07/01/16	K		
56.		Dividend	L		Buy (add'l)	11/28/16	J		
57. UBS Pace Large Co. Value Equity Investments Class P	B	Dividend	L	T					
58. UBS Pace Small/Medium Co Growth Equity Investments Class P	A	Dividend	K	T					
59. UBS Pace Small/Medium Co Value Equity Investments Class P	A	Dividend	K	T					
60. UBS Pace Global Fixed Income Investments Fund Class P	A	Dividend	J	T					
61. UBS Pace High Yield Investments Class P	A	Dividend	J	T					
62. UBS Pace Intermediate Fixed Income Investments Class P	A	Dividend	J	T					
63. UBS Pace Mortgage-Backed Securities Fixed Income Investment Class P	A	Dividend	J	T					
64. UBS Pace Municipal Fixed Income Investments Class P	A	Dividend	M	T					
65. UBS Pace Strategic Fixed Income Investments Class P	A	Dividend	K	T					
66. Wells Fargo Intermediate Tax/AMTFREE Fund Class C	A	Dividend	L	T					
67. UBS Pace Government Money Market Investments Fund Class P	A	Int./Div.	J	T					

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

Part I. Lines 2 and 3. These trusts have no assets.

Part VII. Line 20. I realized that in the reporting for 2015, the fund listing in lines 8 and 20 was a duplication. That has now been corrected.

Part VII. Line 44. Former name of fund was SPDR TR Barclays High Yield Bond ETF.

Part VII. Lines 7, 16-18 were amended and Lines 57-67 were added in response to a letter from the Committee on Financial Disclosure of the Judicial Conference to list the full names of each fund within investment portfolios held myself and members of my household serviced by UBS Financial Services Inc. In all prior filed reports the investments in these portfolios were listed as "UBS Pace Select Fund, Mutual Fund" and "UBS Pace Select Fund, Mutual Fund (IRA)"

Part VII. Line 40. To clarify, the fund listed on this line is the same fund owned and listed in my 2015 annual disclosure report as "Powershares Exchange-Traded Fund. In my 2016 annual report on line 40, the full and correct name of this fund was used, the full name being "Power Shares FTSE RAFI US 1000 ISIN" (ticker identification "PRF").

part VII. Line 43. To clarify, the fund listed on this line is the same fund listed in my 2015 annual report on line 17 as ""SPDR SER TR Barclays Short". The name of the fund changed in 2016. The full name of the fund listed in my 2015 report was "SPDR SER Tr Barclays High Yield Bd ETF", and in 2016 the name was changed to "SPDR Series Trust Bloomberg Brcllys" (ticker identification "JNK").

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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/ **Diane Finkle**

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