

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) Papalia , Vincent F.	2. Court or Organization United States Bankruptcy Court for District of New Jersey	3. Date of Report 08/03/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address M.L. King Jr. Federal Bldg. 50 Walnut Street Newark, NJ 07102		
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.	Co-Executor	Estate No. 1
2.		
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.	1/1/2015	Saiber LLC - Return of Capital - Bi-Weekly payments over 2 years, no control
2.	1/1/2015	Saiber LLC - Retirement Benefit - Bi-Weekly payments over 5 years, no control
3.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 13

Name of Person Reporting

Papalia , Vincent F.

Date of Report

08/03/2017

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. 2016	Saiber L.L.C. - Payment of Retirement Benefit (see Part II)	\$25,540.00
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	Ramapo College - 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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Eastern District of PA Bankruptcy Conference	Jan. 21-22, 2016	Atlantic City, NJ	Speaker	Transportation, Meals, Hotel, Conference Registration
2. BY Intellectual Property Law Association (NYIPLA)	April 1, 2016	New York, NY	94th Annual Dinner in Honor of Federal Judiciary	Transportation, Meals
3. American Bankruptcy Institute (ABI)	August 4-6, 2016	Cambridge, MD	12th Annual Mid-Atlantic Bankruptcy Workshop/ Speaker	Transportation, Meals, Hotel, Conference Registration
4. National Conference of Bankruptcy judges (NCBJ)	October 27-29, 2016	San Francisco, CA	Annual Meeting	Hotel
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 13

Name of Person Reporting

Papalia , Vincent F.

Date of Report

08/03/2017

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.	PNC	Mortgage (Rental Property #1)	N
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 13

Name of Person Reporting

Papalia, Vincent F.

Date of Report

08/03/2017

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. PNC BANK ACCOUNT	A	Interest	L	T					
2. RENTAL PROPERTY #1 SEASIDE PARK, NJ	D	Rent	N	R					
3. BROKERAGE ACCT #1 (H)									
4. FIDELITY GOVT MONEY MKT CAP. RESERVES	A	Int./Div.	J	T					
5. FPA CRESCENT FUND		None			Sold	07/28/16	K	A	
6. LORD ABBETT MULTI ASSET INCOME FUND F	B	Int./Div.	K	T	Sold (part)	08/01/16	J		
7. BLACKROCK MULTI ASSET INCOME PORT A	B	Int./Div.	K	T	Sold (part)	08/01/16	J		
8. PUBLIC SERVICE ENTERPRISE GROUP	B	Dividend	K	T					
9. EVERSOURCE ENERGY COM		None	K	T					
10. IRA #1 (H)									
11. FIDELITY GOVT MONEY MKT CAP. RESERVES	A	Int./Div.	K	T					
12. FPA CRESCENT FUND		None			Sold	07/11/16	K	A	
13. LORD ABBETT FLOATING RATE INC FD	A	Dividend	K	T	Buy	07/28/16	K		
14. LORD ABBETT GROWTH LEADERS FUND F		None	K	T					
15. VANGUARD BALANCED INDEX INVESTOR	B	Dividend	L	T					
16. VANGUARD HEALTH CARE INVESTOR (X)	B	Dividend	K	T					
17. AMFUNDS AMERICAN BALANCED F1	B	Dividend	L	T	Sold (part)	07/13/16	J		

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 (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000	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	P3 = \$25,000,001 - \$50,000,000 (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market

FINANCIAL DISCLOSURE REPORT

Page 5 of 13

Name of Person Reporting

Papalia , Vincent F.

Date of Report

08/03/2017

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. PIMCO INCOME FUND CL A (X)	B	Dividend	K	T					
19. LEVEL 3 COMM (Y)									
20. NEONODE		None			Sold	07/13/16	J		
21. BROKERAGE ACCT #2 (H)									
22. FIDELITY GOVT. MONEY MKT CAP. RESERVES	A	Int./Div.	K	T					
23. FPA CRESCENT FUND	B	Int./Div.	K	T	Sold (part)	10/26/16	J		
24. BLACKROCK MULTI ASSET INCOME PORT A	B	Int./Div.	K	T					
25. PIMCO INCOME FUND A	B	Int./Div.	K	T					
26. LORD ABBETT HIGH YIELD FD CL F	A	Dividend	K	T	Buy	03/29/16	J		
27.					Buy (add'l)	05/16/16	J		
28.					Sold (part)	10/27/16	J		
29. IRA #2 (H)									
30. WELLS FARGO BANK DEPOSIT SWEEP	A	Interest	J	T					
31. AT&T (T)	A	Dividend	J	T					
32. ALTRIA GROUP (MO)	A	Dividend	J	T					
33. AXA-ADR (AXAHY)	A	Dividend	J	T	Buy	08/03/16	J		
34. BANK OF AMERICA CORP (BAC)	A	Dividend	J	T	Buy	09/26/16	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 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 13

Name of Person Reporting

Papalia , Vincent F.

Date of Report

08/03/2017

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. BRISTOL MYERS SQUIBB (BMY)	A	Dividend	J	T					
36. CATERPILLAR (CAT)	A	Dividend	J	T					
37. CHEMOURS CO. (CC)		None			Sold	09/26/16	J	A	
38. DU PONT (DD)		None			Sold	02/17/16	J	A	
39. EXXON MOBIL (XOM)		None			Sold	08/03/16	J	B	
40. FORD MOTOR COMPANY (F)	A	Dividend	J	T	Buy	02/17/16	J		
41. GILEAD SCIENCES INC NEW (GILD)	A	Dividend	J	T	Buy	08/03/16	J		
42. HOME DEPOT (HD)	A	Dividend	J	T					
43. INTEL CORP (INTC)	A	Dividend	J	T	Sold (part)	08/03/16	J	A	
44. MERCK & CO (MRK)	A	Dividend	J	T					
45. PHILIP MORRIS (PM)	A	Dividend	J	T					
46. PROCTOR & GAMBLE (PG)	A	Dividend	J	T					
47. SUBRUBAN PROPAN (SPH)	A	Dividend	J	T					
48. TRANSOCEAN LTD (RIG)		None	J	T					
49. VALLEY NATIONAL (VLY)	A	Dividend	J	T					
50. IRA #3 (H)									
51. AMERICAN BALANCED A	A	Int./Div.	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 = \$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 13

Name of Person Reporting

Papalia , Vincent F.

Date of Report

08/03/2017

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)
52. VICAL INC (Y)									
53. 529 PLAN (H)									
54. FRANKLIN TEMPLETON GROWTH ALLOCATION C	A	Int./Div.			Buy (add'l)	01/05/16	J		
55.					Sold (part)	01/26/16	J		
56.					Buy (add'l)	02/05/16	J		
57.					Sold (part)	02/29/16	J		
58.					Buy (add'l)	03/07/16	J		
59.					Sold (part)	03/16/16	J		
60.					Sold	11/10/16	J		
61. NJ ALTER BENE PROGRAM 401(A) #1 (H)									
62. TIAA CREF MONEY MARKET R3	A	Int./Div.	K	T					
63. NJ ALTER BENE PROGRAM 401(A) #2 (H)									
64. TIAA CREF MONEY MARKET R3	A	Int./Div.	J	T					
65. TIAA STABLE VALUE FUND	A	Int./Div.	J	T	Buy	09/23/16	J		
66. IRA #4 (H)									
67. REGAL PRIME MONEY MKT FUND RESERVE (Y)									
68. IRA #5 (H)									

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 8 of 13

Name of Person Reporting

Papalia , Vincent F.

Date of Report

08/03/2017

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)
69. REGAL PRIME MONEY MKT FUND RESERVE (Y)									
70. IRA #6 (H)									
71. Deutsche X Trackers MSCI (Common) (DBEU)	A	Dividend	J	T	Sold (part)	03/15/16	J		
72.					Sold (part)	03/21/16	J		
73.					Sold (part)	07/05/16	J		
74. Deutsche X Trackers MSCI EAFE (Common) (DBEF)	A	Dividend	J	T	Sold (part)	07/05/16	J		
75. Federated Strategic Value (SVALX)	A	Distribution	K	T	Buy	07/06/16	J		
76. Fidelity Advisor Strategic (FSILX)	A	Dividend	K	T	Buy	07/06/16	K		
77. First Trust Dorsey Wright (Common) (FV)	A	Dividend	J	T	Sold (part)	07/05/16	J		
78. First Trust Exchange Traded (Common) (HYLS)	A	Dividend	J	T	Sold (part)	07/05/16	J		
79. First Trust Preferred (Common) (FPE)	A	Dividend	J	T	Sold (part)	07/05/16	J		
80. Invesco Income Allocation Fund (ALAYX)	A	Dividend	K	T	Buy	07/06/16	K		
81. iShares 1 to 3 Treasury (Common) (SHY)		None			Sold	01/04/16	J		
82. iShares 3 to 7 Treasury (Common) (IEI)	A	Dividend	J	T	Sold (part)	07/05/16	J		
83. iShares Core S&P 500 ETF (Common) (IVV)	A	Dividend	J	T	Buy (add'l)	01/04/16	J		
84.					Sold (part)	01/12/16	J		
85.					Sold (part)	03/15/16	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 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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 13

Name of Person Reporting

Papalia , Vincent F.

Date of Report

08/03/2017

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)
86.					Buy (add'l)	03/31/16	J		
87.					Buy (add'l)	04/19/16	J		
88.					Sold (part)	07/05/16	J		
89. iShares Core S&P MidCap (Common) (IJH)	A	Dividend	J	T	Buy (add'l)	03/15/16	J		
90.					Sold (part)	04/15/16	J		
91. iShares iBoxx \$ Investment (Common) (Symbol LQD)	A	Dividend	J	T	Buy (add'l)	03/31/16	J		
92.					Sold (part)	07/05/16	J		
93. iShares US Financial Svcs (Common) (IYG)	A	Dividend	J	T	Sold (part)	03/31/16	J		
94. iShares Core S&P (IJR)	A	Dividend	J	T	Buy (add'l)	03/15/16	J		
95.					Sold (part)	07/05/16	J		
96. iShares Core (GOVT)	A	Dividend	J	T					
97. iShares JP Morgan USD (EMB)	A	Distribution	J	T	Buy	03/31/16	J		
98.					Sold (part)	07/05/16	J		
99. Select Sector SPDR Fund (Common) (XLY) (Y)									
100. Select Sector SPDR Fund (Common) (XLK)	A	Dividend	J	T	Sold (part)	07/05/16	J		
101. Vanguard FTSE Developed (Common) (VEA)	A	Dividend	K	T	Sold (part)	03/15/16	J		
102.					Sold (part)	03/31/16	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 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 10 of 13

Name of Person Reporting

Papalia, Vincent F.

Date of Report

08/03/2017

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)
103.					Sold (part)	07/05/16	J		
104. Vanguard FTSE Emerging (VWO)	A	Dividend	J	T	Buy (add'l)	03/31/16	J		
105.					Sold (part)	07/05/16	J		
106. Vanguard Short Term (VCSH)	A	Dividend	J	T	Sold (part)	03/31/16	J		
107.					Sold (part)	07/05/16	J		
108. Vanguard Total International ETF (BNDX)	A	Dividend	J	T	Sold (part)	07/05/16	J		
109. Washington Mutual INV Fund (WMFFX)	A	Dividend	K	T	Buy	07/06/16	K		
110. RBC Branch Sweep Program - Money Market	A	Dividend	J	T					
111. SPDR (JNK)	A	Dividend	J	T	Buy (add'l)	03/31/16	J		
112. Ventas Inc. (Common) (VTR) (Y)									
113. ESTATE #1 (H)									
114. TD Bank Checking Account	A	Int./Div.			Distributed	09/30/16	L		
115. Morgan Stanley Money Market Fund	A	Interest			Distributed	09/30/16	J		
116. Five Star Quality Care	A	Dividend			Distributed	09/30/16	J		
117. Penn West Pete Ltd.	A	Dividend			Distributed	09/30/16	J		
118. Senior Housing Property Trust	A	Dividend			Distributed	09/30/16	J		
119. Apollo Investment Corp.	A	Dividend			Distributed	09/30/16	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 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 ~\$250,000,001 - \$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 11 of 13

Name of Person Reporting

Papalia, Vincent F.

Date of Report

08/03/2017

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)
120. Ares Capital Corp.	A	Dividend			Distributed	09/30/16	J		
121. Royal Globe Trust, Inc.	A	Dividend			Distributed	09/30/16	J		
122. Royal Value Trust, Inc.	A	Dividend			Distributed	09/30/16	J		
123. Dreyfus GNMA Fund	A	Dividend			Distributed	09/30/16	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 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 12 of 13

Name of Person Reporting

Papalia , Vincent F.

Date of Report

08/03/2017

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

Part VII, line 2: Purchased March 2005 for \$590,000 (1/2 interest)

Part VII, lines 8 and 9: Transferred between accounts; see 2015, lines 400 and 401.

Part VII, line 19: Transferred between accounts; see 2015, line 79.

Part VII, line 20: Transferred between accounts; see 2015, line 80.

Part VII, lines 50 and 51: Combined accounts; see 2015, lines 49-52.

Part VII, line 52: Transferred between accounts; see 2015, line 83.

Part VII, line 54: Fund family added to description.

Part VII, lines 61 and 63: Separation into separate accounts; see 2015, line 72.

Part VII, lines 62 and 64: Name correction and separation into separate accounts; see 2015, line 73.

FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

Papalia , Vincent F.

Date of Report

08/03/2017

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/ **Vincent F. Papalia**

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