

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) Sherwood, John K.	2. Court or Organization United States Bankruptcy Court, New Jersey	3. Date of Report 12/05/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Bankruptcy Judge - Active Status	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 Martin Luther King, Jr. Federal Building and U.S. Courthouse 50 Walnut Street Newark, New Jersey 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.	Executor	Estate
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.	2006	Lowenstein Sandler (former law firm) Retirement Shares Plan -- no control
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. 2016	Lowenstein Sandler -- partnership income	\$152,320.00
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	Madison Public Library -- 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.				
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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. Bank of America - CDs and interest bearing accounts	A	Interest	O	T					
2. TD Bank	A	Interest	M	T					
3. The Investment Company of America - A	C	Dividend	L	T					
4. Deutsche High Income Fund - A	C	Dividend	L	T					
5. Alpine Municipal Income Fund CL A	A	Dividend	J	T					
6. AT&T Inc.	A	Dividend	J	T					
7. Comcast Corp. New CL A	A	Dividend	J	T					
8. Ishares Russell 1000 Value	A	Dividend	J	T					
9. Ishares MSCI EAFE	A	Dividend	J	T					
10. Pfizer Inc.	A	Dividend	J	T					
11. Procter & Gamble Co.	A	Dividend	J	T					
12. Hotchkis and Wiley Large Cap Value Fund A	A	Dividend	J	T					
13. First Eagle Global Class C	A	Distribution	J	T					
14. Clearbridge Aggressive Growth Fund A	A	Distribution	J	T					
15. Invesco Charter Fund Class A	A	Dividend	J	T					
16. Bond fund of America A	A	Dividend	J	T					
17. Prudential Jenn SELECT GTH A	A	Distribution	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 \$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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	(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. Pimco Commodity Real (PCRCX)	A	Dividend	J	T					
19. Mass Mutual Financial Group whole life insurance policy	A	Dividend	K	T					
20. Estate (H)									
21. Estate - Bank of America account		None	L	T					
22. Estate - Brielle NJ real estate		None	N	W					
23. CBF Stable Value Portfolio - A (X)	D	Dividend	L	T					
24. Lowenstein Sandler 1992 401k Plan - Vanguard									
25. - Vanguard Total Bond Market Index Fund	B	Dividend	K	T					
26. - Vanguard Wellington Fund	D	Dividend	L	T					
27. - Vanguard 500 Index Fund	D	Dividend	L	T					
28. - Columbia Acorn Fund	B	Dividend	K	T					
29. - American Funds Growth Fund of America	D	Dividend	L	T					
30. - American Century Equity Income Fund	D	Dividend	L	T					
31. - American Funds Euro Pacific Fund	A	Dividend	K	T					
32. Lowenstein Sandler Profit Sharing Plan									
33. - Vanguard Institutional Target Retirement 2025 Fund	E	Dividend	N	T					
34. CBF Principal Protect Inc. Port Alt. A (Y)									

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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. CBF Principal Protect Inc. Port. Alt. B (Y)									
36. Allianzgi NPJ Mid Cap Value Fund (PQNAX)	B	Dividend	J	T					
37. Ishares China Large Cap (FXI)	A	Dividend	J	T					
38. Ishares RS 2000 Growth (IWO)	B	Dividend	J	T					
39. Victory Integrity Small (MCV SX)	B	Dividend	J	T					
40. Virtus Real Estate (PHRCX)	A	Dividend	J	T					
41.									
42.									
43.									
44.									
45.									
46.									
47.									
48.									
49.									
50.									
51.									

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52.									
53.									
54.									
55.									
56.									

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

In response to the letter of inquiry dated 11/9/17, I spoke to the Committee's staff and was advised that my future interest in the Lowenstein Sandler Retirement Shares Plan did not have to be reported in Part VII because it is not an asset of mine at this time. My right to receive distributions from this plan at retirement age is listed as an agreement in Part II.

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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/ John K. Sherwood**

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