

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) Martini, William J.	2. Court or Organization District Court - New Jersey	3. Date of Report 09/07/2016
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 50 Walnut Street PO Box 29 Newark, NJ 07101-0419		
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.	Trustee	Nicholas Martini Foundation
2.	Trustee	John Cabot University
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Martini, William J.

Date of Report

09/07/2016

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. 2015	Nicholas Martini Foundation, Trustee	\$22,000.00
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.)*

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.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Martini, William J.

Date of Report

09/07/2016

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.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Martini, William J.

Date of Report

09/07/2016

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. BROKERAGE ACCOUNT #2									
2. FEDERATED KAUFMANN FUND-R (FORMALLY FUND-K)	D	None	K	T					
3.									
4. BROKERAGE ACCOUNT #6									
5. POWERSHARES EXCH TRAD FD PRFZ	B	Dividend	M	T					
6. ISHARES TR MCSI EAFE FD	B	Dividend	L	T	Sold (part)	02/06/15	K	A	
7.					Sold (part)	04/14/15	J		
8. POWERSHARES FTSE RAFI US PRF	D	Dividend	N	T	Buy (add'l)	02/06/15	L		
9.					Sold (part)	04/04/15	K	D	
10. CHARLES SCHWAB ADV CASH RESERVE PREM		None	J	T	Buy (add'l)	07/01/15	J		
11.					Sold (part)	07/14/15	J		
12.									
13. IRA #7									
14. CHARLES SCHWAB ADV CASH RESERVE PREM	A	Dividend	K	T	Buy (add'l)	07/01/15	J		
15.					Sold (part)	07/14/15	J		
16. AQR STYLE PREMIA FD CL 1	C	Dividend	K	T	Buy (add'l)	02/06/15	K		
17.					Sold (part)	12/28/15	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 = \$250,000.01 - \$500,000.00	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 5 of 9

Name of Person Reporting

Martini, William J.

Date of Report

09/07/2016

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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				
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18. CAUSEWAY EMRG MKTS FD INSTL SHR	B	Dividend	K	T	Sold (part)	02/06/15	K		
19.					Buy (add'l)	12/28/15	J		
20. IVY ASSET STRATEGY FUND CL 1		None			Buy (add'l)	02/06/15	K		
21.					Sold	07/31/15	L		
22. JANUS GLOBAL RESEARCH FD CL 1	A	Dividend	K	T	Sold (part)	02/06/15	K	C	
23.					Buy (add'l)	12/17/15	J		
24. NORTHERN MULTI MGR GLBL A	A	Dividend	K	T	Sold (part)	02/06/15	J		
25. PIMCO ALL ASSET ALL AUTHORITY CL INST		None			Sold	02/06/15	K		
26. WINTERGREEN FUND		None			Sold	02/06/15	L	A	
27. BARCLAYS BANK PLC ETN		None			Buy (add'l)	02/06/15	J		
28.					Sold	12/28/15	K		
29. ISHARES CORE S&P ETF	D	Dividend	N	T	Buy (add'l)	02/06/15	M		
30. ISHARES TR MCSI EAFE FD		None			Sold	02/06/15	L		
31. POWERSHARES FTSE RAFI US PRF	C	Dividend	L	T	Buy (add'l)	04/07/15	L		
32.					Sold (part)	07/31/15	M	E	
33. POWERSHARES EXCH TRAD FD PRFZ	A	Dividend			Sold (part)	02/06/15	K	D	
34.					Sold	04/07/15	L	E	

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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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FINANCIAL DISCLOSURE REPORT

Page 6 of 9

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35. POWERSHARES EXCH TRAD FD PDN		None			Sold	02/06/15	K		
36. SPDR S&P MIDCAP 400 ETF	B	Dividend	M	T	Buy	02/06/15	M		
37.					Buy (add'l)	12/28/15	J		
38. VANGUARD BOND INDEX FUND	A	Dividend	L	T	Buy (add'l)	02/06/15	J		
39. CATALYST HEDGED FUTURES	A	Dividend	L	T	Buy	07/31/15	L		
40. GUGGENHEIM S&P 500 PURE GROWTH ETF	A	Dividend	M	T	Buy	07/31/15	M		
41. THIRD AVENUE REAL ESTATE VALUE FD INSTL	C	Dividend	K	T	Buy (add'l)	12/08/15	J		
42. FIDELITY CAPITAL & INCM FD	A	Dividend	K	T	Buy	12/28/15	K		
43. TCW CORE FIXED INCOME CL	B	Dividend	L	T					
44. VALLEY NATIONAL BANK		None	K	T	Distributed (part)	07/16/15	K		
45. THE AXA EQUITABLE VARIABLE LIFE INSURANCE POLICY									
46. Guaranteed Interest Account	A	Dividend	J	T					
47. EQ/Equity 500 Index	A	Dividend	J	T					
48. AXA Moderate - Plus Allocation	A	Dividend	J	T					
49. AXA Large Cap Growth Managed Volatility	A	Dividend	J	T					
50. EQ/Mid Cap Index	A	Dividend	J	T					
51. AXA International Value Managed Volatility	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 7 of 9

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52. AXA Large Cap Value Managed Volatility	A	Dividend	J	T					
53. Charter Small Cap Value	A	Dividend	J	T					
54. EQ/Capital Guardian Research	A	Dividend	J	T					
55. EQUITABLE - SEP		None	M	T	Buy (add'l)	04/15/15	J		
56. MDClick Holdings LLC		None	J	U					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting	Date of Report
Martini, William J.	09/07/2016

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

THE NICHOLAS MARTINI FOUNDATION IS A 501(C)(3) CHARITABLE FAMILY FOUNDATION. ITS MISSION IS TO SUPPORT YOUTH HEALTH, ENVIRONMENTAL, AND EDUCATION PROGRAMS.

AS A MEMBER OF THE BOARD OF TRUSTEES, I PARTICIPATE IN THE DECISIONS TO DISTRIBUTE THOSE FUNDS. THE TRUSTEES ANNUALLY EVALUATE THE INVESTMENT POLICY FOR THE FOUNDATION. THAT POLICY IS IMPLEMENTED BY AN INDEPENDENT MANAGER WHO HAS FULL DISCRETION WITH REGARD TO INVESTMENT DECISIONS. TRUSTEES DO NOT MAKE INVESTMENT DECISIONS.

CERTAIN FUNDS HELD IN JUDGE MARTINI'S AXA EQUITABLE VARIABLE LIFE INSURANCE POLICY CHANGED NAMES DURING 2015:

"EQ/LARGE CAP GROWTH PLUS" CHANGED TO "AXA LARGE CAP GROWTH MANAGED VOLATILITY"

"MULTIMANAGER SMALL CAP VALUE" CHANGED TO "CHARTER SMALL CAP VALUE"

"EQ/LARGE CAP VALUE PLUS" CHANGED TO "AXA LARGE CAP VALUE MANAGED VOLATILITY"

THERE WERE NO SALES OR PURCHASES OF FUNDS IN THE AXA EQUITABLE VARIABLE LIFE INSURANCE POLICY DURING 2015.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Martini, William J.

Date of Report

09/07/2016

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/ William J. Martini**

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
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Washington, D.C. 20544