

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) Sherwood, John K.	2. Court or Organization United States Bankruptcy Court, New Jersey	3. Date of Report 01/17/2019
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 01/01/2017 to 12/31/2017
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.)*

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. 2017	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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. The M&A Advisor	03/22/17 - 03/24/17	Palm Beach, Florida	Speaking engagement	Transportation
2. Court	04/19/17 - 04/21/17	Lancaster, Pennsylvania	Third Circuit Judicial Conference	Transportation, lodging, food
3. Turnaround Management Association	06/07/17 - 06/08/17	Atlantic City, New Jersey	Educational program	Transportation, lodging
4. Turnaround Management Association	08/30/17 - 08/31/17	Saratoga Springs, New York	Educational program	Lodging, food, and conference expenses
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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE 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	B	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. Invesco Charter Fund Class A	A	Dividend	J	T					
7. Bond fund of America A	A	Dividend	J	T					
8. Prudential Jenn SELCT GTH A	A	Distribution	J	T					
9. Mass Mutual Financial Group whole life insurance policy	A	Dividend	K	T					
10. Estate (H)									
11. Estate - Bank of America account		None	L	T					
12. CBF Stable Value Portfolio - A	B	Dividend	L	T					
13. Lowenstein Sandler 1992 401k Plan - Vanguard									
14. - Vanguard Total Bond Market Index Fund	B	Dividend	K	T					
15. - Vanguard Wellington Fund	D	Dividend	L	T					
16. - Vanguard 500 Index Fund	D	Dividend	L	T					
17. - Columbia Acorn Fund	C	Dividend	K	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. - American Funds Growth Fund of America	E	Dividend	L	T					
19. - American Century Equity Income Fund	D	Dividend	M	T					
20. - American Funds Euro Pacific Fund	E	Dividend	L	T					
21. Lowenstein Sandler Profit Sharing Plan									
22. - Vanguard Institutional Target Retirement 2025 Fund	F	Dividend	N	T					
23. AT&T Inc.	A	Dividend			Sold	12/26/17	J	A	
24. Comcast Corp. New CL A	A	Dividend			Sold	12/26/17	J	A	
25. Ishares Russell 1000 Value	A	Dividend			Sold	12/26/17	J	A	
26. Ishares MSCI EAFE	A	Dividend			Sold	12/26/17	J	A	
27. Pfizer Inc.	A	Dividend			Sold	12/21/17	J	A	
28. Procter & Gamble Co.	A	Dividend	J	T					
29. Hotchkis and Wiley Large Cap Value Fund A	A	Dividend	J	T	Sold (part)	12/22/17	K	D	
30. First Eagle Global Class C	B	Distribution	J	T	Sold (part)	12/22/17	K	D	
31. Clearbridge Aggressive Growth Fund A	A	Distribution	J	T	Sold (part)	12/22/17	K	E	
32. Pimco Commodity Real (PCRCX)	A	Dividend	J	T	Sold (part)	12/22/17	J	A	
33. Allianzgi NFJ Mid Cap Value Fund (PQNAX)	A	Dividend			Sold	12/22/17	K	D	
34. Ishares China Large Cap (FXI)	A	Dividend			Sold	12/22/17	J	B	

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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 RS 2000 Growth (IWO)	A	Dividend			Sold	12/22/17	J	D	
36. Victory Integrity Small (MCVSX)	A	Dividend			Sold	12/21/17	J	C	
37. Virtus Duff & Phelps Real Estate (PHRCX)	B	Dividend			Sold	12/22/17	J	A	
38. Blackrock Eq. Dividend I		None	J	T	Buy	12/21/17	J		
39. Clearbr Lrg Cap Growth I	A	Dividend	J	T	Buy	12/21/17	J		
40. Edgewood Growth Fd Inst.		None	J	T	Buy	12/21/17	J		
41. Glenmede Sm. Cap. Eq. Inst.		None	J	T	Buy	12/21/17	J		
42. Ishares Russell 1000 Growth	A	Dividend	K	T	Buy	12/22/17	K		
43. Ishares TR Core MSCI EAF	A	Dividend	J	T	Buy	12/20/17	J		
44. Ishares US Treasury Bond	A	Dividend	J	T	Buy	12/20/17	J		
45. Oakmark Intl. Fd. Cl. Int.		None	J	T	Buy	12/21/17	J		
46. Oppen. Intl. Growth Fd. Y		None	K	T	Buy	12/20/17	K		
47. Spdr Blmbrg Brcl		None	J	T	Buy	12/22/17	J		
48. TCW Total Return Bond I	A	Dividend	J	T	Buy	12/20/17	J		
49. TRP Em Mkt Stock Inv		None	J	T	Buy	12/21/17	J		
50. Vanguard Intermediate - Term	A	Dividend	K	T	Buy	12/20/17	K		
51. Delaware Emerging Markets Fund	A	Dividend	J	T	Buy	12/21/17	J		

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52. Ishares Russell 1000 Value	A	Dividend	K	T	Buy	12/22/17	K		
53. MFS Value FD CL I	A	Dividend	J	T	Buy	12/21/17	J		
54. Vanguard Mortgage-Backed	A	Dividend	J	T	Buy	12/26/17	J		

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

In response to the letter of inquiry dated December 6, 2017, the Brielle, New Jersey real estate listed in my 2016 amended report was sold on March 20, 2016 for \$295,000 in a private transaction. There was no gain.

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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
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