

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Kaplan, Michael B.	2. Court or Organization U.S. Bankruptcy Court	3. Date of Report 07/07/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address 241 Clarkson S Fisher Building 402 East State Street Trenton, NJ 08608-1507		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Adjunct Professor	Rutgers University School of Law
2.	
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1. Open ended	Thomson Reuters Publishing Agreement, 5% royalty on sales of Consumer Bankruptcy Manual
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. 2013	Rutgers-Salary	\$16,469.00
2. 2013	██████████ Norwood, NJ -Rental Income	\$9,200.00
3. 2013	West Services - Royalty	\$3,511.00
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. 2013	Oveh Shalom of Bucks County - 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. American Conference Inst	01/16/13 to 01/17/13	San Francisco, CA	Educational	hotel, travel
2. American Conference Inst	02/01/13	NYC	Educational	hotel, travel
3. American Conference Inst	07/29/13 to 07/30/13	Chicago, IL	Educational	hotel, travel
4. American Conference Inst	09/26/13 to 09/27/13	Dallas, TX	Educational	hotel, travel
5. George Mason University	11/17/13 to 11/19/13	Arlington, VA	Educational	hotel, travel, meals

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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.	University of Pennsylvania (Y)	Tuition	None
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. IRA # 1	D	Int./Div.	N	T					
2. -Pershing Government Account money market					Redeemed (part)	08/23/13	K		
3. -Citigroup Inc common									
4. -Freeport McMoran Copper & Gold Cl B mutual fund					Buy	08/23/13	J		
5. -Frontier Communications Corp common									
6. -Pfizer Inc common									
7. -Potash Corp common					Buy	08/23/13	J		
8. -Verizon Communications common									
9. -Franklin Income Fund Cl C mutual fund									
10. -Franklin Gold and Precious Metals Fund					Buy	08/23/13	K		
11. -Franklin High Income Fund Cl C mutual fund									
12. -Mainstay Epoch Global Equity Yield Fund Cl C mutual fund									
13. -Sunamerica Senior Floating Rate Fund Cl C mutual fund									
14. -Templeton Global Balanced Fund Cl C mutual fund									
15. -Ishares Silver Trust					Buy	08/23/13	J		
16. -Spdr Gold Trust					Buy	08/23/13	J		
17. IRA # 2	C	Int./Div.	L	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 H = \$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	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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18. -Pershing Government Account money market									
19. -Frontier Communications common									
20. -Verizon Communications common									
21. -Franklin Income Fund C1 C mutual fund									
22. -Franklin Dynatech C1 C mutual fund									
23. -Franklin High Income Fund C1 C mutual fund									
24. -Icon Energy Fund C1 C mutual fund									
25. -Mainstay Epoch Global Equity Yield C1 C mutual fund									
26. IRA # 3 (Y)									
27. IRA # 4	A	Int./Div.	J	T					
28. -Pershing Prime Reserves Money Market									
29. -Mainstay High Yield Opportunity Fund C1 C mutual fund									
30. -Mainstay Epoch Global Equity Yield C1 C mutual fund									
31. Federated Capital Reserves money market	A	Dividend	K	T	Buy (add'l)	05/15/13	L		
32.					Redeemed (part)	08/20/13	K		
33. NJ Economic Dev Auth St Pension 2/15/21 Zero Coupon Bond	A	Interest	J	T					
34. Freeport McMoran Copper & Gold C1 B mutual fund	A	Dividend	J	T	Buy	08/23/13	J		

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
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35. Potash Corp common	A	Dividend	J	T	Buy	08/23/13	J		
36. Best of America IV Variable Rate Annuity	D	Int./Div.	K	T					
37. -NW NVIT Mny Mkt 1									
38. -NW NVIT Muti Mgr Mdcap GR 1									
39. -NW NVIT Mult Mgr Intl GR III									
40. -NW NVIT Real Est 1									
41. Citigroup Inc common	A	Dividend	J	T					
42. Citigroup Inc common (Y)									
43. TIAA CREF money market	A	Int./Div.	J	T					
44. Rental Property #1, Norwood, NJ	D	Rent			Sold	04/30/13	N	A	
45. Mass Mutual Whole Life Insurance	A	Dividend	K	T					

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

(Y) Certain assest and liabilities of dependent reported on 2012 FDR are not required to be reported on 2013 FDR since no longer a dependent of filer.

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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/ Michael B. Kaplan**

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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