

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) Papalia, Vincent F.	2. Court or Organization United States Bankruptcy Court For District of New Jersey	3. Date of Report 09/27/2016
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 01/01/2015 to 12/31/2015
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. Equity Partner (Withdrew 12/28/14)	Saiber LLC
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.	

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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. 12/31/2015	Saiber L.L.C. - Payment of Retirement Benefit (Pursuant to Membership Agreement)	\$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.)*

DATE	SOURCE AND TYPE
1. 2015	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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. New York Intellectual Property Law Association (NYIPLA)	3/27/2015	New York, NY	93rd Annual Dinner in Honor of Federal Judiciary	Transportation, Meals, Hotel
2. Turnaround Management Association (TMA)	6/10-11/2015	Atlantic City, NJ	2015 TMA Mid-Atlantic Regional Symposium	Transportation, Meals, Hotel, Conference Registration
3. American Bankruptcy Institute (ABI)	8/6-8/2015	Hershey, PA	11th Annual Mid-Atlantic Bankruptcy Workshop	Transportation, Meals, Hotel, Conference Registration
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.)*

	<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	Summer House Mortgage (1/2 ownership and liability)	N
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. BROKERAGE ACCT SSN - J (H)									
2. - FIDELITY GOVT MONEY MKT CAP. RESERVES	A	Int./Div.	J	T					
3. - FPA CRESCENT FUND	B	Int./Div.	K	T	Buy (add'l)	01/28/15	J		
4. - LORD ABBETT MULTI ASSET INCOME FUND F	B	Int./Div.	K	T	Buy (add'l)	01/20/15	J		
5.					Buy (add'l)	02/18/15	J		
6. - BLACKROCK MULTI ASSET INCOME PORT A	B	Int./Div.	K	T	Buy (add'l)	01/08/15	J		
7.					Buy (add'l)	02/09/15	J		
8. IRA ROLLOVER BROKERAGE ACCT SSN (H)									
9. - FIDELITY GOVT MONEY MKT CAP. RESERVES	A	Int./Div.	J	T					
10. - FPA CRESCENT FUND	C	Int./Div.	K	T	Buy	04/06/15	K		
11.					Buy (add'l)	10/20/15	K		
12. - LORD ABBETT CALIBRAT MID CAP VALUE F		None			Buy	04/01/15	K		
13.					Buy (add'l)	07/15/15	K		
14.					Sold	11/04/15	K		
15. - LORD ABBETT GROWTH LEADERS FUND F	B	Int./Div.	K	T	Buy	04/01/15	K		
16.					Buy (add'l)	04/27/15	K		
17. - VANGUARD BALANCED INDEX INVESTOR	A	Dividend	K	T	Buy	04/10/15	K		

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 - \$500,000.000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$5,000,000.000	L ~\$50,001 - \$100,000 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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☐ 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 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.					Buy (add'l)	11/4/15	K		
19. - BLACKROCK HIGH YIELD BOND A	A	Dividend			Buy	04/06/15	K		
20.					Buy (add'l)	04/21/15	K		
21.					Sold	07/15/15	K		
22. -AMFUNDS AMERICAN BALANCED F1	B	Dividend	K	T	Buy	05/19/15	K		
23.					Buy (add'l)	07/15/15	K		
24. INDIV TOD BROKERAGE ACCT SSN - S (H)									
25. - FIDELITY GOVT. MONEY MKT CAP. RESERVES	A	Int./Div.	K	T					
26. - DEUTSCHE GLOBAL INFRASTRUCTURE A	A	Int./Div.			Sold	11/20/15	K		
27. - FPA CRESCENT FUND	B	Int./Div.	K	T					
28. - BLACKROCK MULTI ASSET INCOME PORT A	B	Int./Div.	K	T					
29. - PIMCO INOCME FUND A	C	Int./Div.	K	T					
30. IRA BROKERAGE ACCT WELLS FARGO (H)									
31. -WELLS FARGO BANK DEPOSIT SWEEP	A	Interest	J	T					
32. -AT&T	A	Dividend	J	T	Buy	01/23/15	J		
33. -ALTRIA GROUP	A	Dividend	J	T	Sold (part)	01/23/15	J	C	
34. -BRISTOL MYERS SQUIBB	A	Dividend	J	T					

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000	R = Cost (Real Estate Only)	P4 = More than \$50,000,000	S = Assessment	T = Cash Market
(See Column C2)	Q = Appraisal	V = Other	W = Estimated		
	U = Book Value				

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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)

35. -CATERPILLAR	A	Dividend	J	T	Buy	12/10/15	J		
36. -CHEMOURS CO.	A	Dividend	J	T	Sold (part)	07/01/15	J		
37.					Buy	07/17/15	J		
38. -DOW CHEMICAL CO	A	Dividend			Sold	12/10/15	J	C	
39. -DU PONT	A	Dividend	J	T					
40. -EXXON MOBIL	A	Dividend	J	T					
41. -HOME DEPOT	A	Dividend	J	T					
42. -INTEL CORP	A	Dividend	J	T					
43. -MERCK & CO	A	Dividend	J	T					
44. -PHILIP MORRIS	A	Dividend	J	T					
45. -PROCTOR & GAMBLE	A	Dividend	J	T					
46. -SUBRUBAN PROPAN	A	Dividend	J	T					
47. -TRANSOCEAN LTD	A	Dividend	J	T					
48. -VALLEY NATIONAL	A	Dividend	J	T					
49. IRA - PNC (H)									
50. -AMERICAN BALANCED A	A	Int./Div.	J	T	Buy	01/29/15	J		
51. IRA - PNC -S (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	
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52. -AMERICAN BALANCED A	A	Int./Div.	J	T	Buy	01/29/15	J		
53. 529 PLAN - FRANKLIN TEMPLETON (H)									
54. -GROWTH ALLOCATION C	A	Int./Div.	J	T	Buy (add'l)	01/05/15	J		
55.					Redeemed (part)	01/21/15	J	A	
56.					Buy (add'l)	02/05/15	J		
57.					Buy (add'l)	03/05/15	J		
58.					Redeemed (part)	03/16/15	J	A	
59.					Buy (add'l)	04/06/15	J		
60.					Buy (add'l)	05/05/15	J		
61.					Buy (add'l)	06/05/15	J		
62.					Buy (add'l)	07/06/15	J		
63.					Redeemed (part)	07/23/15	J	A	
64.					Buy (add'l)	08/05/15	J		
65.					Buy (add'l)	09/08/15	J		
66.					Redeemed (part)	09/18/15	J	A	
67.					Buy (add'l)	10/05/15	J		
68.					Redeemed (part)	10/15/15	J	A	

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69.					Buy (add'l)	11/05/15	J		
70.					Buy (add'l)	12/07/15	J		
71.					Redeemed (part)	12/17/15	J	A	
72. TIAA CREF -S (H)									
73. -TIAA CREF MONEY MARKET FUND	A	Int./Div.	K	T	Buy (add'l)	03/31/15	J		
74.					Buy (add'l)	06/30/15	J		
75.					Buy (add'l)	09/30/15	J		
76.					Buy (add'l)	12/31/15	J		
77. IRA - REGAL (H)									
78. -REGAL PRIME MONEY MKT FUND RESERVE	A	Int./Div.	J	T					
79. -LEVEL 3 COMM	A	Dividend	J	T					
80. -NEONODE	A	Dividend	J	T					
81. IRA - REGAL -S (H)									
82. -REGAL PRIME MONEY MKT FUND RESERVE	A	Int./Div.	J	T					
83. -VICAL INC	A	Dividend	J	T					
84. 401(K) SAIBER (H)									
85. -BLACKROCK GLOBAL SMALLCAP A	A	Int./Div.			Distributed	02/24/15	K		

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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86. -HARBOR BOND INST	A	Int./Div.			Distributed	02/24/15	K		
87. -HARBOR CAP APPRECIATION INV	A	Int./Div.			Distributed	02/24/15	J		
88. -MORLEY STABLE VALUE	A	Int./Div.			Distributed	02/24/15	L		
89. -PIMCO REAL RETURN D	A	Int./Div.			Distributed	02/24/15	K		
90. -T. ROWE PRICE RTMT 2020	A	Int./Div.			Distributed	02/24/15	N		
91. -VANGUARD INT-TERM TREASURY ADM	A	Int./Div.			Distributed	02/24/15	J		
92. PNC BANK ACCOUNT -J	A	Interest	K	T					
93. IRA - RBC (H)									
94. -Deutsche X Trackers MSCI (Common) (Symbol - DBEU)	A	Dividend	J	T	Buy	03/05/15	J		
95.					Buy (add'l)	06/30/15	J		
96. -Deutsche X Trackers MSCI EAFE (Common) (Symbol - DBEF)	A	Dividend	J	T	Buy	03/05/15	J		
97.					Buy (add'l)	06/30/15	J		
98. -First Trust Dorsey Wright (Common) (Symbol FV)	A	Dividend	J	T	Buy	12/18/15	J		
99. -First Trust Exchange Traded (Common) (Symbol HYLS)	A	Dividend	J	T	Buy	10/21/15	J		
100. -First Trust Preferred (Common) (Symbol FPE)	A	Dividend	J	T	Buy	03/05/15	J		
101.					Sold (part)	06/30/15	J		
102. -Guggenheim S&P 500 (Common) (Symbol RYT)	A	Dividend			Buy	03/05/15	J		

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103.					Buy (add'l)	06/30/15	J		
104.					Sold	12/18/15	J	A	
105. -iShares (Common) (Symbol EEMA)	A	Dividend			Buy	03/05/15	J		
106.					Sold (part)	06/30/15	J		
107.					Sold	12/18/15	J		
108. -iShares 1 to 3 Treasury (Common) (Symbol SHY)	A	Dividend	J	T	Buy	03/05/15	J		
109.					Sold (part)	06/30/15	J	A	
110.					Sold (part)	10/21/15	J	A	
111. -iShares 3 to 7 Treasury (Common) (Symbol IEI)	A	Dividend	J	T	Buy	03/05/15	J		
112.					Sold (part)	06/30/15	J	A	
113. -iShares Core S&P 500 ETF (Common) (Symbol IVV)	A	Dividend	K	T	Buy	03/05/15	K		
114.					Buy (add'l)	07/13/15	K		
115.					Sold (part)	10/21/15	J		
116.					Sold (part)	12/08/15	J		
117. -iShares Core S&P MidCap (Common) (Symbol IJH)	A	Dividend	J	T	Buy	03/05/15	J		
118.					Buy (add'l)	07/13/15	J		
119.					Sold (part)	10/21/15	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 ~\$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	

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Name of Person Reporting

Papalia, Vincent F.

Date of Report

09/27/2016

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)
120. -iShares iBoxx \$ High Yield (Common) (Symbol HYG)	A	Dividend			Buy	03/05/15	J		
121.					Buy (add'l)	06/30/15	J		
122.					Sold	10/21/15	J		
123. -iShares iBoxx \$ Investment (Common) (Symbol LQD)	A	Dividend	K	T	Buy	03/05/15	K		
124.					Sold (part)	06/30/15	J		
125.					Buy (add'l)	07/13/15	J		
126. -iShares International (Common) (Symbol IDV)	A	Dividend			Buy	03/05/15	J		
127.					Sold	06/30/15	J		
128. -iShares JP Morgan USD (Common) (Symbol EMB)	A	Dividend	J	T	Buy	03/05/15	J		
129.					Sold	06/30/15	J		
130.					Buy	07/13/15	J		
131. -iShares US Financial Svcs (Common) (Symbol IYF)	A	Dividend	J	T	Buy	03/05/15	J		
132.					Sold (part)	06/30/15	J	A	
133. -iShares Core S&P (Symbol IJR)		None	J	T	Buy	07/13/15	J		
134. -iShares Core (Symbol GOVT)	A	Dividend	J	T	Buy	07/13/15	J		
135. -Power Shares Exchange Symbol PBS	A	Dividend			Buy	06/30/15	J		
136.					Sold	12/08/15	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		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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Name of Person Reporting

Papalia, Vincent F.

Date of Report

09/27/2016

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)
137. -Select Sector SPDR Fund (Common) (Symbol XLY)	A	Dividend	J	T	Buy	12/08/15	J		
138. -Select Sector SPDR Fund (Common) (Symbol XLK)	A	Dividend	J	T	Buy	12/08/15	J		
139. -Vanguard Sector SPDR FD (Common) (Symbol XLG)	A	Dividend			Buy	03/05/15	J		
140.					Sold	06/30/15	J		
141. -Vanguard FTSE Developed (Common) (Symbol VEA)	A	Dividend	K	T	Buy	03/05/15	J		
142.					Buy	06/30/15	J		
143.					Buy	07/13/15	K		
144. -Vanguard FTSE Emerging (Symbol VWO)	A	Dividend	J	T	Buy	07/13/15	J		
145.					Buy (add'l)	12/08/15	J		
146. -Vanguard Short Term Symbol VCSH	A	Dividend	J	T	Buy	06/30/15	J		
147. -Vanguard Total International ETF (Symbol BNDX)	A	Dividend	J	T	Buy	03/05/15	J		
148.					Buy	06/30/15	J		
149.					Buy	07/13/15	J		
150. -RBC Branch Sweep Program - Money Market - Please see Part VIII note.	A	Dividend	J	T					
151. -Bank of Montreal (Common) (Symbol - BMO)	A	Dividend			Buy	03/05/15	J		
152.					Buy (add'l)	03/13/15	J		
153.					Buy (add'l)	04/17/15	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 = \$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	

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Name of Person Reporting

Papalia, Vincent F.

Date of Report

09/27/2016

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)
154.					Buy (add'l)	05/26/15	J		
155.					Sold	07/09/15	J		
156. -Bank of Nova Scotia (Common) (Symbol - BNS)	A	Dividend			Buy	03/05/15	J		
157.					Buy (add'l)	03/13/15	J		
158.					Buy (add'l)	04/17/15	J		
159.					Buy (add'l)	05/26/15	J		
160.					Sold	07/09/15	J		
161. -Baytex Energy (Common) (Symbol BTE)		None			Buy	03/05/15	J		
162.					Sold	03/10/15	J		
163. -BCE Inc. (Common) (Symbol BCE)	A	Dividend			Buy	03/05/15	J		
164.					Buy (add'l)	03/13/15	J		
165.					Buy (add'l)	04/17/15	J		
166.					Buy (add'l)	05/26/15	J		
167.					Sold	07/09/15	J		
168. -GlaxoSmithKline PLC (Common) (Symbol GSK)	A	Dividend			Buy	03/10/15	J		
169.					Buy (add'l)	03/13/15	J		
170.					Buy (add'l)	04/17/15	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 = \$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	

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Name of Person Reporting

Papalia, Vincent F.

Date of Report

09/27/2016

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)
171.					Buy (add'l)	05/26/15	J		
172.					Sold	07/09/15	J		
173. -HSBC Holdings PLC (Common) (Symbol HSBC)	A	Dividend			Buy	03/05/15	J		
174.					Buy (add'l)	03/13/15	J		
175.					Buy (add'l)	04/17/15	J		
176.					Buy (add'l)	05/26/15	J		
177.					Sold	07/09/15	J		
178. -Royal Dutch Shell PLC (Common) (Symbol RDSB)	A	Dividend			Buy	03/05/15	J		
179.					Buy (add'l)	03/13/15	J		
180.					Buy (add'l)	04/17/15	J		
181.					Buy (add'l)	05/26/15	J		
182.					Sold	07/09/15	J		
183. -Toronto Dominion Bank (Common) (Symbol TD)	A	Dividend			Buy	03/05/15	J		
184.					Buy (add'l)	03/13/15	J		
185.					Buy (add'l)	04/17/15	J		
186.					Buy (add'l)	05/26/15	J		
187.					Sold	07/09/15	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 - \$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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Name of Person Reporting

Papalia, Vincent F.

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09/27/2016

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)
188. -Delaware Pooled Trust Diversified Income FD CIA (Symbol DPDFX)	A	Dividend			Buy	03/05/15	J		
189.					Buy (add'l)	03/13/15	J		
190.					Buy (add'l)	04/17/15	J		
191.					Buy	05/26/15	J		
192.					Sold	03/11/15	J		
193.					Sold	07/09/15	J		
194. -Fidelity Advisor Strategic Income Fund CL I (Symbol - FSRIX)	A	Dividend			Buy	03/05/15	J		
195.					Buy (add'l)	03/13/15	J		
196.					Buy (add'l)	04/17/15	J		
197.					Buy (add'l)	05/26/15	J		
198.					Sold	03/10/15	J		
199.					Sold	07/09/15	J		
200. -Invesco Balanced Risk Alloc Y (Symbol ABRYX)	A	Dividend			Buy	03/05/15	J		
201.					Buy (add'l)	03/13/15	J		
202.					Buy (add'l)	04/17/15	J		
203.					Buy (add'l)	05/26/15	J		
204.					Sold	03/10/15	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		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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Name of Person Reporting

Papalia, Vincent F.

Date of Report

09/27/2016

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)
205.					Sold	07/09/15	J		
206. -Oppenheimer Intl BD FD Class Y (Symbol OIBYX)	A	Dividend			Buy	03/05/15	J		
207.					Buy (add'l)	03/13/15	J		
208.					Buy (add'l)	04/17/15	J		
209.					Buy (add'l)	05/26/15	J		
210.					Sold	03/10/15	J		
211.					Sold	07/09/15	J		
212. -Thornburc Strategic Income FD CL I SHS (Symbol - TS11X)	A	Dividend			Buy	03/05/15	J		
213.					Buy (add'l)	04/01/15	J		
214.					Buy (add'l)	04/17/15	J		
215.					Buy (add'l)	05/26/15	J		
216.					Sold	03/10/15	J		
217.					Sold	07/09/15	J		
218. -3M Company (Common) (Symbol MMM)	A	Dividend			Buy	03/05/15	J		
219.					Buy (add'l)	03/13/15	J		
220.					Buy (add'l)	04/17/15	J		
221.					Buy (add'l)	06/12/15	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 = \$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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Name of Person Reporting

Papalia, Vincent F.

Date of Report

09/27/2016

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)
222.					Sold	07/09/15	J		
223. -Altria Group Inc. (Common) (Symbol MO)	A	Dividend			Buy	03/05/15	J		
224.					Buy (add'l)	03/13/15	J		
225.					Buy (add'l)	04/17/15	J		
226.					Buy (add'l)	05/26/15	J		
227.					Sold	07/09/15	J		
228. -American Electric Power Co. (Common) (Symbol AEP)	A	Dividend			Buy	03/05/15	J		
229.					Buy (add'l)	03/13/15	J		
230.					Buy (add'l)	04/17/15	J		
231.					Buy (add'l)	05/26/15	J		
232.					Sold	07/09/15	J		
233. -AT&T Inc. (Common) (Symbol T)	A	Dividend			Buy (add'l)	03/05/15	J		
234.					Buy (add'l)	03/13/15	J		
235.					Buy (add'l)	04/17/15	J		
236.					Buy (add'l)	05/26/15	J		
237.					Sold	07/09/15	J	A	
238. -Automatic Data Processing (Common) (Symbol ADP)	A	Dividend			Buy	03/05/15	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		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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Name of Person Reporting

Papalia, Vincent F.

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09/27/2016

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)

239.					Buy (add'l)	03/13/15	J		
240.					Buy (add'l)	04/17/15	J		
241.					Buy (add'l)	05/26/15	J		
242.					Sold	03/10/15	J		
243.					Sold	07/09/15	J		
244. -Chevron Corporation (Common) (Symbol CVX)	A	Dividend			Buy	03/05/15	J		
245.					Buy (add'l)	03/13/15	J		
246.					Buy (add'l)	04/17/15	J		
247.					Buy (add'l)	05/26/15	J		
248.					Sold	07/09/15	J		
249. -Coca Cola Company (Common)(Symbol KO)	A	Dividend			Buy	03/05/15	J		
250.					Buy (add'l)	03/13/15	J		
251.					Buy (add'l)	04/17/15	J		
252.					Buy (add'l)	05/26/15	J		
253.					Sold	07/09/15	J		
254. -Dow Chemical Co. (Common) (Symbol DOW.N)	A	Dividend			Buy	03/05/15	J		
255.					Buy (add'l)	03/13/15	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 = \$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	

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Name of Person Reporting

Papalia, Vincent F.

Date of Report

09/27/2016

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)

256.					Buy (add'l)	04/17/15	J		
257.					Buy (add'l)	05/26/15	J		
258.					Sold	07/09/15	J	A	
259. -Eli Lilly & Co. (Common) (Symbol LLY)	A	Dividend			Buy	03/05/15	J		
260.					Buy (add'l)	03/13/15	J		
261.					Buy (add'l)	04/17/15	J		
262.					Buy (add'l)	05/26/15	J		
263.					Sold	07/09/15	J	A	
264. -Energy Transfer Partners LP (Common) Symbol ETP)	A	Int./Div.			Buy	03/05/15	J		
265.					Buy (add'l)	03/10/15	J		
266.					Buy (add'l)	03/13/15	J		
267.					Buy (add'l)	04/17/15	J		
268.					Buy (add'l)	05/26/15	J		
269.					Sold	07/09/15	J		
270. -Enbridge Energy Partners LP (Common) (Symbol EEP)		None			Buy	03/05/15	J		
271.					Buy (add'l)	03/13/15	J		
272.					Buy (add'l)	04/17/15	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 = \$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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Name of Person Reporting

Papalia, Vincent F.

Date of Report

09/27/2016

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)
273.					Buy (add'l)	05/26/15	J		
274.					Sold	07/9/15	J		
275. -Enterprise Products Partners (Common) (Symbol EPD)		None			Buy	03/05/15	J		
276.					Buy (add'l)	03/13/15	J		
277.					Buy (add'l)	04/17/15	J		
278.					Buy (add'l)	05/26/15	J		
279.					Sold	07/09/15	J		
280. -Exxon Mobil Corp. (Common) (Symbol XOM)	A	Dividend			Buy	03/05/15	J		
281.					Buy (add'l)	03/13/15	J		
282.					Buy (add'l)	04/17/15	J		
283.					Buy (add'l)	05/26/15	J		
284.					Sold	07/09/15	J		
285. -General Electric Co. (Common) (Symbol GE)	A	Dividend			Buy	03/05/15	J		
286.					Buy (add'l)	03/13/15	J		
287.					Buy (add'l)	04/17/15	J		
288.					Buy (add'l)	05/26/15	J		
289.					Sold	03/10/15	J	A	

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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Name of Person Reporting

Papalia, Vincent F.

Date of Report

09/27/2016

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)
290.					Sold	07/09/15	J	A	
291. -Health Care Reit Inc. (Common) (Symbol HCN)	A	Dividend			Buy	03/05/15	J		
292.					Buy (add'l)	03/13/15	J		
293.					Buy (add'l)	04/17/15	J		
294.					Buy (add'l)	05/26/15	J		
295.					Sold	07/09/15	J		
296. -Johnson & Johnson (Symbol JNJ)	A	Dividend			Buy	03/05/15	J		
297.					Buy (add'l)	04/17/15	J		
298.					Buy (add'l)	05/26/15	J		
299.					Sold	07/09/15	J		
300. -Kinder Morgan Inc. (Common) (Symbol KMI)	A	Dividend			Buy	03/05/15	J		
301.					Buy (add'l)	03/13/15	J		
302.					Buy (add'l)	04/17/15	J		
303.					Buy (add'l)	05/26/15	J		
304.					Sold	07/09/15	J		
305. -Lockheed Martin Corp. (Common) (Symbol LMT)	A	Dividend			Buy	03/05/15	J		
306.					Buy (add'l)	03/13/15	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 = \$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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Name of Person Reporting

Papalia, Vincent F.

Date of Report

09/27/2016

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)
307.					Buy (add'l)	04/17/15	J		
308.					Buy (add'l)	05/26/15	J		
309.					Sold	07/09/15	J		
310. -Lorillard Inc. (Common) (Symbol LO)	A	Dividend			Buy	03/05/15	J		
311.					Sold	03/10/15	J		
312. -McDonalds Corp. (Common) (Symbol MCD)	A	Dividend			Buy	03/05/15	J		
313.					Buy (add'l)	04/17/15	J		
314.					Buy (add'l)	05/26/15	J		
315.					Buy (add'l)	06/15/15	J		
316.					Sold	07/09/15	J		
317. -Merck & Co. Inc. (Common) (Symbol MRK)	A	Dividend			Buy	03/05/15	J		
318.					Buy (add'l)	03/13/15	J		
319.					Buy (add'l)	04/17/15	J		
320.					Buy (add'l)	05/26/15	J		
321.					Sold	03/10/15	J		
322.					Sold	07/09/15	J	A	
323. -Microchip Technology Inc. (Common) (Symbol MCHP)	A	Dividend			Buy	03/05/15	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 = \$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	

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Name of Person Reporting

Papalia, Vincent F.

Date of Report

09/27/2016

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)
324.					Buy (add'l)	03/13/15	J		
325.					Buy (add'l)	04/17/15	J		
326.					Buy (add'l)	05/26/15	J		
327.					Sold	07/09/15	J		
328. -Natl Retail Prop. Inc. (Common) Symbol NNN)	A	Dividend			Buy	03/05/15	J		
329.					Buy (add'l)	03/13/15	J		
330.					Buy (add'l)	04/17/15	J		
331.					Buy (add'l)	05/26/15	J		
332.					Sold	07/09/15	J		
333. -Nextera Energy Inc. (Common) (Symbol NEE)	A	Dividend			Buy	03/05/15	J		
334.					Buy (add'l)	03/13/15	J		
335.					Buy (add'l)	04/17/15	J		
336.					Buy (add'l)	05/26/15	J		
337.					Sold	07/09/15	J	A	
338. -Philip Morris International (Common) (Symbol PM)	A	Dividend			Buy	03/05/15	J		
339.					Buy (add'l)	03/13/15	J		
340.					Buy (add'l)	04/17/15	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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Name of Person Reporting

Papalia, Vincent F.

Date of Report

09/27/2016

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)

341.					Buy (add'l)	05/26/15	J		
342.					Sold	07/09/15	J	A	
343. -Plains All American Pipeline (Common) (Symbol PAA)					Buy	03/05/15	J		
344.					Buy (add'l)	03/13/15	J		
345.					Buy (add'l)	04/17/15	J		
346.					Buy (add'l)	05/26/15	J		
347.					Sold	07/09/15	J		
348. -Plum Creek Timber Co. Inc. (Common) (Symbol PCL)	A	Dividend			Buy	03/05/15	J		
349.					Sold	03/10/15	J		
350.					Buy	03/13/15	J		
351.					Buy (add'l)	04/17/15	J		
352.					Buy (add'l)	05/26/15	J		
353.					Sold	07/09/15	J		
354. -Procter & Gamble Co. (Common) (Symbol PG)	A	Dividend			Buy	03/05/15	J		
355.					Buy (add'l)	03/13/15	J		
356.					Buy (add'l)	04/17/15	J		
357.					Buy (add'l)	05/26/15	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 = \$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	

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Name of Person Reporting

Papalia, Vincent F.

Date of Report

09/27/2016

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)
358.					Sold	07/09/15	J		
359. -Qualcomm Inc (Common) (Symbol QCom)	A	Dividend			Buy	03/05/15	J		
360.					Sold	03/10/15	J		
361.					Buy	03/13/15	J		
362.					Buy (add'l)	04/17/15	J		
363.					Buy (add'l)	05/26/15	J		
364.					Sold	07/09/15	J		
365. -Reynolds American Inc. (Common) (Symbol RAI)	A	Dividend			Buy	03/10/15	J		
366.					Buy (add'l)	03/13/15	J		
367.					Buy (add'l)	04/17/15	J		
368.					Buy (add'l)	05/26/15	J		
369.					Sold	07/09/15	J	A	
370. -Simon Property Group Inc. (Common) (Symbol SPG)	A	Dividend			Buy	03/10/15	J		
371.					Buy (add'l)	03/13/15	J		
372.					Buy (add'l)	04/17/15	J		
373.					Buy (add'l)	05/26/15	J		
374.					Sold	07/09/15	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 = \$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	

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)
375. -SPDR (Symbol JNK)	A	Distribution	J	T	Buy	07/13/15	J		
376. -United Parcel Svc. Inc. (Common) (Symbol UPS)	A	Dividend			Buy	03/05/15	J		
377.					Buy (add'l)	03/13/15	J		
378.					Buy (add'l)	04/17/15	J		
379.					Buy (add'l)	05/26/15	J		
380.					Sold	07/09/15	J		
381. -United Health Group Inc. (Common) (Symbol UNH)	A	Dividend			Buy	03/05/15	J		
382.					Buy (add'l)	03/13/15	J		
383.					Buy (add'l)	04/17/15	J		
384.					Buy (add'l)	05/26/15	J		
385.					Sold	07/09/15	J	A	
386. -Ventas Inc. (Common) (Symbol VTR)		None			Buy	03/05/15	J		
387.					Buy (add'l)	03/10/15	J		
388. -VF Corporation (Common) (Symbol VFC)	A	Dividend			Buy	03/05/15	J		
389.					Buy (add'l)	03/13/15	J		
390.					Buy (add'l)	04/17/15	J		
391.					Buy (add'l)	05/26/15	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		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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Name of Person Reporting

Papalia, Vincent F.

Date of Report

09/27/2016

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)
392.					Sold	07/09/15	J		
393. -Wells Fargo & Co. (Common) (Symbol WFC)	A	Dividend			Buy	03/05/15	J		
394.					Buy (add'l)	03/13/15	J		
395.					Buy (add'l)	04/17/15	J		
396.					Buy (add'l)	05/26/15	J		
397.					Sold	07/09/15	J	A	
398. CO-EXECUTOR OF ESTATE NO. 1 (H)									
399. MORGAN STANLEY ACCOUNT (H)									
400. -Public Service Enterprise Group	B	Dividend	K	T					
401. -Eversource Energy Com	A	Dividend	K	T					
402. -Five Star Quality Care		None	J	T					
403. -Penn West Pete Ltd.	A	Dividend	J	T					
404. -Senior Housing Property Trust	A	Dividend	J	T					
405. -Apollo Investment Corp.	A	Dividend	J	T					
406. -Ares Capital Corp.	A	Dividend	J	T					
407. -Royal Globe Trust, Inc.	A	Dividend	J	T					
408. -Royal Value Trust, Inc.	A	Dividend	J	T					

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		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Papalia, Vincent F.

Date of Report

09/27/2016

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)
409. -MORGAN STANLEY MONEY MKT FUND	A	Interest	J	T					
410. DREYFUS GNMA FUND - ESTATE	A	Dividend	J	T					
411. TD BANK ESTATE CHECKING ACCOUNT (H)									
412. -Cash	A	Int./Div.	L	T					
413. Vac/Rent. Prpt., Seaside Park, NJ (Purchase dd. 3/05; price-\$590,000)	E	Rent	N	R					

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

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Name of Person Reporting

Papalia, Vincent F.

Date of Report

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

I. Positions:

Line 1. I am also co-executor of Estate No. 1. The assets in the estate are reported in Section VII.

VI. Liabilities and VII. Investments and Trusts: Vacation/rental property in Seaside Park is jointly and equally owned (50-50) by my family and a related family. This property was purchased in March 2005 for \$590,000, of which we contributed one-half. We rent the property about 4-6 weeks a year. Also, property-related expenses (including mortgage, insurance, taxes, etc.) are shared equally.

VII. Investments and Trusts.

Bank Account - Santander (S) (Line 68 on Initial Amended Report) was omitted on this report because it was closed and the proceeds distributed on August 28, 2014. That closure was inadvertently not stated on the Initial Amended Report.

Line 150. RBC Branch Sweep Program (Line 352 on Initial Amended Report) was incorrectly listed twice on Initial Amended Report on Lines 174 and 352. It is properly listed only once on this report at Line 150.

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
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