

Amended
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) Kaplan, Michael B.	2. Court or Organization U.S. Bankruptcy Court	3. Date of Report 12/19/2017
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 ☐ Initial ☒ Annual ☒ Amended Report ☐ Date ☐ Final	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 241 Clarkson S Fisher Building 402 East State Street Trenton, NJ 08608-1507		
IMPORTANT NOTES: <i>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>		

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. 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.)*

<u>DATE</u>	<u>PARTIES AND TERMS</u>
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2016	Rutgers-Salary	\$4,680.00
2. 2016	West Services-Royalty	\$2,785.00
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	Oveh Shalom of Bucks County - Salary
2. 2016	Federation Day Care Services
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. ABA Winter Meeting (CFSC)	04/07/2016	Montreal, Canada	Educational	hotel, travel
2. George Mason JEP	05/22/16 to 05/24/2016	Arlington, VA	Educational	hotel, travel
3. ABI	10/6/2016 to 10/7/2016	Washington, DC	Educational	hotel, travel
4. George Mason JEP	12/20/2016	Arlington, VA	Educational	hotel, travel
5. NACTT	7/21/16 to 7/23/16	Philadelphia, PA	Educational	hotel, travel, meals
6. American Conference Inst	9/26/16 to 9/27/16	Dallas, TX	Educational	hotel, travel

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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.			
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									
2. -Pershing Government Account money market	A	Int./Div.			Redeemed (part)	02/08/16	K		
3.					Redeemed (part)	02/17/16	J		
4.					Redeemed	04/11/16	K		
5. -Flexinsured Account money market	A	Int./Div.			Open	04/11/16	K		
6.					Redeemed	08/10/16	K		
7. -Ameriprise Insured money market	A	Int./Div.	K	T	Open	08/10/16	K		
8. -Citigroup Inc common	A	Dividend			Buy (add'l)	02/11/16	J		
9.					Sold	08/16/16	L		
10. -Dominion Res Inc VA common	A	Dividend	K	T					
11. -Duke Energy Corp common	A	Dividend	K	T					
12. -Freeport McMoran Copper & Gold C1 B mutual fund	A	Dividend	J	T					
13. -Frontier Communications Corp common	A	Dividend	J	T					
14. -Pfizer Inc common	A	Dividend	J	T					
15. -Potash Corp common	A	Dividend	J	T					
16. -Southern Company common	A	Dividend	K	T					
17. -SPDR S&P Bank ETF	A	Dividend	J	T	Buy	11/15/16	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 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
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	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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☐ 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. -Verizon Communications common	A	Dividend	K	T					
19. -Weyerhaeuser Company common	A	Dividend	J	T	Buy	11/15/16	J		
20. -Allianz GI NFJ Divid Int & Prem Strategy mutual fund	C	Dividend	K	T	Buy	02/03/16	K		
21.					Buy (add'l)	11/15/16	K		
22. -Blackrock Util & Infrastructure mutual fund	B	Dividend	K	T					
23. -Franklin Income Fund Cl C mutual fund	A	Dividend	K	T					
24. -Franklin Gold and Precious Metals Fund		None	J	T					
25. -Franklin High Income Fund Cl C mutual fund	C	Dividend	L	T					
26. -Mainstay Epoch Global Equity Yield Fund Cl C mutual fund	A	Dividend	K	T					
27. -Sunamerica Senior Floating Rate Fund Cl C mutual fund	B	Dividend	L	T					
28. -Voya Infrastructure Industrials & Materials- mutual fund	B	Dividend	K	T	Buy	02/03/16	K		
29. -Ishares Silver Trust		None	J	T					
30. -Spdr Gold Trust		None	J	T					
31. IRA # 2	C	Int./Div.	L	T					
32. -Pershing Government Account money market	A	Int./Div.			Redeemed	08/10/16	J		
33. -Ameriprise Insured money market	A	Int./Div.	J	T	Open	08/10/16	J		
34. -Blackrock Enhanced Equity Div	A	Dividend	J	T	Buy	11/15/16	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	
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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. -Frontier Communications common	A	Dividend	J	T					
36. -Verizon Communications common	A	Dividend	J	T					
37. -Franklin Income Fund Cl C mutual fund	A	Dividend	K	T					
38. -Franklin Dynatech Cl C mutual fund	A	Dividend	J	T					
39. -Franklin High Income Fund Cl C mutual fund	A	Dividend	J	T					
40. -Icon Energy Fund Cl C mutual fund	A	Dividend	J	T					
41. -Mainstay Epoch Global Equity Yield Cl C mutual fund	A	Dividend	J	T					
42. Federated Capital Reserves money market	A	Dividend			Redeemed	08/10/16	J		
43. Ameriprise Insured Money Market	A	Dividend	K	T	Open	08/10/16	J		
44.					Buy (add'l)	09/28/16	K		
45.					Redeemed (part)	12/05/16	K		
46. NJ Economic Dev Auth St Pension 2/15/21 Zero Coupon Bond	A	Interest	K	T					
47. Freeport McMoran Copper & Gold Cl B mutual fund	A	Dividend	J	T					
48. Potash Corp common	A	Dividend	J	T					
49. Best of America IV Variable Rate Annuity									
50. -NW NVIT Mny Mkt 1	A	Int./Div.	J	T					
51. -NW NVIT Muti Mgr Mdcap GR 1	A	Int./Div.	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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. -NW NVIT Mult Mgr Intl GR III	A	Int./Div.	J	T					
53. -NW NVIT Real Est 1	A	Int./Div.	J	T					
54. TIAA 401a (X)									
55. -TIAA Traditional	A	Int./Div.	J	T					
56. -CREF Growth R3	A	Int./Div.	J	T					
57. -CREF Iquity Index R3	A	Int./Div.	J	T					
58. -CREF Int-Linked Bond R3	A	Int./Div.	J	T					
59. TD Bank	A	Interest	J	T					
60. Mass Mutual Whole Life Insurance	C	Dividend			Redeemed	08/30/16	L		

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

Y- 2015 FDR, Line 30,31,32,33,43 & 44- prior year assets of emancipated child no longer required to be reported.

X- 2015 FDR Line 45 was inadvertently mis-identified as TIAA CREF money market. It is amended and properly reflected in 2016 FDR lines 54,55,56,57 & 58 as TIAA 401a.

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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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Washington, D.C. 20544