

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) Kaplan, Michael B.	2. Court or Organization U.S. Bankruptcy Court	3. Date of Report 05/14/2018
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 01/01/2017 to 12/31/2017
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2017	Rutgers-Salary	\$4,799.00
2. 2017	West Services-Royalty	\$2,630.00
3. 2017	National Conference of Bankruptcy	\$6,000.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2017	Federation Day Care Services - 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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Turnaround Management Associates	6/7/2017 to 6/8/17	Atlantic City, NJ	Educational	hotel, travel
2. NCBT	10/7/17 to 10/11/17	Las Vegas, NV	Educational	hotel, travel
3. ABI	7/3/17 to 7/5/17	Hershey, PA	Educational	hotel, travel
4. American Conference Inst	9/25/17 to 9/26/17	Dallas, TX	Educational	hotel, travel
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.			
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. -Ameriprise Insured money market	A	Int./Div.	M	T					
3. -Dominion Res Inc VA common	A	Dividend			Sold	04/05/17	K	A	
4. -Duke Energy Corp common	A	Dividend			Sold	04/05/17	K	A	
5. -Freeport McMoran Copper & Gold C1 B mutual fund	A	Dividend			Sold	11/14/17	J	A	
6. -Frontier Communications Corp common	A	Dividend			Sold	04/05/17	J	A	
7. -Gamco Global Gold Natural Res & Inc Tr common bene int	A	Dividend			Buy	02/02/17	J		
8.					Sold	09/20/17	J	A	
9. -Pfizer Inc common	A	Dividend			Sold	02/02/17	J	A	
10. -Potash Corp common	A	Dividend			Sold	04/05/17	J	A	
11. -Southern Company common	A	Dividend			Sold	04/05/17	K	A	
12. -SPDR S&P Bank ETF	A	Dividend	K	T					
13. -Verizon Communications common	A	Dividend	J	T	Sold (part)	11/06/17	K	D	
14. -Weyerhaeuser Company common	A	Dividend	J	T	Buy (add'l)	02/02/17	J		
15. -Allianz GI NFJ Divid Int & Prem Strategy mutual fund	C	Dividend			Sold	04/05/17	K	B	
16. -Blackrock Util & Infrastructure mutual fund	B	Dividend			Sold	04/02/17	K	A	
17. -Franklin Income Fund C1 C mutual fund	A	Dividend			Sold	04/05/17	K	B	

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 = \$50,001 - \$100,000
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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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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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 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. -Franklin Gold and Precious Metals Fund		None			Sold	04/05/17	J	A	
19. -Franklin High Income Fund Cl C mutual fund	C	Dividend			Sold	04/05/17	L	A	
20. -Mainstay Epoch Global Equity Yield Fund Cl C mutual fund	A	Dividend			Sold	04/05/17	K	C	
21. -Sunamerica Senior Floating Rate Fund Cl C mutual fund	B	Dividend			Sold	04/05/17	L	D	
22. -Voya Infrastructure Industrials & Materials- mutual fund	B	Dividend			Sold	04/05/17	K	B	
23. -Ishares Silver Trust		None			Sold	04/05/17	J	A	
24. -Spdr Gold Trust		None			Sold	04/05/17	J	A	
25. -Cohen Steers Infrastructure Fund common	A	Dividend	J	T	Buy	05/23/17	J		
26. -Facebook common		None			Buy	05/23/17	J		
27.					Sold	09/25/17	J	A	
28. -Fireeye Inc common		None			Buy	05/23/17	J		
29.					Sold	11/02/17	J	A	
30. -First Trust Dow Jones Internet ETF		None	J	T	Buy	05/23/17	J		
31. -Hershey Company common	A	Dividend			Buy	05/23/17	J		
32.					Sold	10/26/17	J	A	
33. -Kroger Company common	A	Dividend			Buy	05/23/17	J		
34.					Sold	09/20/17	J	A	

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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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. -Lowes Company common	A	Dividend			Buy	05/23/17	J		
36.					Sold	11/02/17	J	A	
37. -Powershares DWA Basis Materials Momentum ETF	A	Int./Div.	J	T	Buy	05/23/17	J		
38. -Proctor & Gamble common	A	Dividend			Buy	05/23/17	J		
39.					Sold	10/23/17	J	A	
40. -Raytheon Company common	A	Dividend	J	T	Buy	05/23/17	J		
41. -Royal Caribbean Cruises LTD common	A	Dividend	J	T	Buy	05/23/17	J		
42. -SPDR Series Trust S&P Homebuilders ETF	A	Int./Div.	J	T	Buy	05/23/17	J		
43. -SPDR S&P Aerospace & Defense ETF	A	Int./Div.	J	T	Buy	05/23/17	J		
44. -T Mobile common		None			Buy	05/23/17	J		
45.					Sold	10/11/17	J	A	
46. -CSX common		None			Buy	09/25/17	J		
47.					Sold	11/13/17	J	A	
48. -Waste Management common	A	Dividend	J		Buy	09/25/17	J		
49. -US Concrete common		None			Buy	05/23/17	J		
50.					Sold	11/03/17	J	A	
51. -VISA Inc common	A	Dividend	J	T	Buy	05/23/17	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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52. -US Treasury Note w48	A	Interest	J	T	Buy	05/23/17	J		
53. -US Treasury Note v23	A	Interest	J	T	Buy	05/23/17	J		
54. -US Treasury Note k74	A	Interest	J	T	Buy	05/23/17	J		
55. -US Treasury Note un8	A	Interest	J	T	Buy	05/23/17	J		
56. -US Treasury Note v80	A	Interest	J	T	Buy	05/23/17	J		
57. -US Treasury Note u24	A	Interest	J	T	Buy	05/23/17	J		
58. -US Treasury Note m80	A	Interest	J	T	Buy	05/23/17	J		
59. -US Treasury Note v98	A	Interest	J	T	Buy	05/23/17	J		
60. -US Treasury Note u57	A	Interest	J	T	Buy	05/23/17	J		
61. -US Treasury Note w71	A	Interest	J	T	Buy	05/23/17	J		
62. -US Treasury Note n30	A	Interest	J	T	Buy	05/23/17	J		
63. -US Treasury Note m56	A	Interest	J	T	Buy	05/23/17	J		
64. IRA # 2									
65. -Ameriprise Insured money market	A	Int./Div.	K	T					
66. -Blackrock Enhanced Equity Div	A	Dividend			Sold	04/05/17	J	A	
67. -Frontier Communications common	A	Dividend			Sold	04/05/17	J	A	
68. -Verizon Communications common	A	Dividend	J	T	Sold (part)	11/06/17	J	C	

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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	L = \$50,001 - \$100,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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69. -Franklin Income Fund C1 C mutual fund	A	Dividend			Sold	04/05/17	K	A	
70. -Franklin Dynatech C1 C mutual fund	A	Dividend			Sold	04/05/17	J	D	
71. -Franklin High Income Fund C1 C mutual fund	A	Dividend			Sold	04/05/17	J	A	
72. -Icon Energy Fund C1 C mutual fund	A	Dividend			Sold	04/06/17	J	A	
73. -Mainstay Epoch Global Equity Yield C1 C mutual fund	A	Dividend			Sold	04/05/17	J	A	
74. -Amazon common		None	J	T	Buy	05/23/17	J		
75. -Applied Materials common	A	Dividend			Buy	05/23/17	J		
76.					Sold	12/05/17	J		
77. -CME Group common	A	Dividend	J	T	Buy	05/23/17	J		
78. -Eagle Materials common	A	Dividend	J	T	Buy	05/23/17	J		
79. -3M Company common	A	Dividend	J	T	Buy	05/23/17	J		
80. -US Treasury Note xb1	A	Interest	J	T	Buy	05/23/17	J		
81. -US Treasury Note j27	A	Interest	J	T	Buy	05/23/17	J		
82. -US Treasury Note x70	A	Interest	J	T	Buy	05/23/17	J		
83. Ameriprise Insured Money Market	A	Dividend	K	T					
84. NJ Economic Dev Auth St Pension 2/15/21 Zero Coupon Bond	A	Interest	K	T					
85. Freeport McMoran Copper & Gold C1 B mutual fund	A	Dividend			Sold	11/14/17	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	
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86. Potash Corp common	A	Dividend			Buy (add'l)	02/02/17	J		
87.					Sold	04/05/17	J	A	
88. Align Technology Inc common		None	J	T	Buy	09/25/17	J		
89. Energizer Holdings common		None			Buy	09/25/17	J		
90.					Sold	10/24/17	J	A	
91. Lemaitre Vascular common		None			Buy	09/25/17	J		
92.					Sold	10/24/17	J	A	
93. Shopify Inc		None			Buy	09/25/17	J		
94.					Sold	10/05/17	J	A	
95. Best of America IV Variable Rate Annuity									
96. -NW NVIT Mny Mkt 1	A	Int./Div.	J	T					
97. -NW NVIT Muti Mgr Mdcap GR 1	A	Int./Div.	J	T					
98. -NW NVIT Mult Mgr Intl GR III	A	Int./Div.	J	T					
99. -NW NVIT Real Est 1	A	Int./Div.	J	T					
100. TIAA 401a									
101. -TIAA Traditional	A	Int./Div.	J	T					
102. -CREF Growth R3	A	Int./Div.	J	T	Sold (part)	04/10/17	J	A	

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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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103. -CREF Equity Index R3	A	Int./Div.	J	T	Sold (part)	04/10/17	J	A	
104. -CREF Inf-Linked Bond R3	A	Int./Div.			Sold	04/10/17	J	A	
105. -CREF Bond Market R3	A	Int./Div.	J	T	Buy	04/10/17	J		
106. -CREF Stock R3	A	Int./Div.	J	T	Buy	04/28/17	J		
107. -CREF Stable Value	A	Int./Div.	J	T	Buy	04/10/17	J		
108. TD Bank	A	Interest	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 \$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	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Kaplan, Michael B.

Date of Report

05/14/2018

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Kaplan, Michael B.

Date of Report

05/14/2018

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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One Columbus Circle, N.E.
Washington, D.C. 20544