

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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) Martinotti, Brian R.	2. Court or Organization U.S. District Court for the District of New Jersey	3. Date of Report 03/12/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Court Judge (Active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address Clarkson S. Fisher Courthouse 402 East State Street Trenton, NJ 08608		
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. | Co-Chair | Emory University School of Law/Institute for Complex Litigation and Mass Claims Working Group |
| 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. | 2001 | NJ Defined Benefit Pension Plan |
| 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. 2019	NJ State Defined Benefit Pension	\$54,622.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2019	Board of Education, Cliffside Park - Salary
2. 2019	Borough of Cliffside Park - Salary
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. Emory University School of Law	Feb. 27-Mar. 2, 2019	Newport Beach, CA	State-Federal Conference	Transportation, meals, lodging
2. Emory University School of Law	May 8-10, 2019	Boston, MA	Educational Program	Transportation, meals, lodging
3.				
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.)

SOURCE	DESCRIPTION	VALUE
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. (Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)

☒ NONE (No reportable liabilities.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. Individual Assets (H)									
2. Chase Bank (cash)	A	Interest	K	T					
3. Connect One Bank (cash)	A	Interest	L	T					
4. IRA #1 (H)									
5. Bank of America, NA RASP (cash)	A	Interest	J	T					
6. ML PFD Capital Trust III (59025D207) (X)		None			Redeemed	06/06/19	J		
7. Apple Common Stock (AAPL)	A	Dividend	K	T					
8. Dunkin' Brands Stock (DNKN)	A	Dividend	J	T					
9. Facebook Stock (FB)		None	J	T					
10. General Electric Stock (GE)	A	Dividend	J	T					
11. American Funds Fundamental Investors Class A (ANCFX)	B	Dividend	K	T					
12. American Funds Income Fund of America Class A (AMECX)	A	Dividend	J	T					
13. Columbia Dividend Income Fund Class B (LBSAX)	A	Dividend	K	T					
14. Ivy Large Cap Growth Fund CL A (WLGA) (X)	A	Dividend	J	T					
15. Ivy Large Cap Growth Fund CL B (WLBX)	B	Dividend	J	T					
16. Lord Abbett Value Opportunities Fund Class A (LVOAX)	A	Dividend	J	T					
17. New York Community Bancorp (649445103)	A	Dividend	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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	(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)
18. SP500 CLIRNS Issuer BNS (MLVMG)		None	L	T	Redeemed	12/21/19	L	D	
19.					Buy	12/27/19	L		
20. IRA #2 (H)									
21. Air Products & Chem (APD) (Y)									
22. Amgen Inc Com (AMGN)	A	Dividend	J	T					
23. AMN Elec Power Co (AEP)	A	Dividend	J	T	Buy (add'l)	03/26/19	J		
24.					Sold (part)	11/13/19	J	A	
25. Astrazeneca PLC Sponsored ADR (AZN) (Y)									
26. AT&T Inc (T)	A	Dividend	J	T					
27. BB&T Corporation (BBT) (Y)									
28. Boeing Company (BA)	A	Dividend			Sold (part)	03/21/19	J	A	
29.					Sold	03/22/19	J	A	
30. Blackstone Group Inc Com (BX) (X)	A	Dividend	J	T					
31. Broadcom Ltd (AVGO)	A	Dividend	J	T	Buy (add'l)	01/17/19	J		
32. Carnival Corp Paired SHS (CCL) (Y)									
33. Caterpillar Inc Del (CAT) (X)		None	J	T					
34. Chevron Corp (CVX)	A	Dividend	J	T					

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35. Chubb Ltd (CB)	A	Dividend	J	T					
36. Cisco Systems Inc Com (CSCO)	A	Dividend	J	T	Sold (part)	07/09/19	J	A	
37. Citigroup Inc. Com NEW (C)	A	Dividend	J	T	Buy	01/15/19	J		
38. CME Group Inc (CME) (Y)									
39. Coca Cola Com (KO)	A	Dividend	J	T					
40. Crown Castle Reit Inc (CCI)	A	Dividend	J	T					
41. Digital Realty TR Inc (DLR)	A	Dividend	J	T					
42. Duke Energy Corp (DUK) (Y)									
43. Entergy Corp New (ETR) (X)	A	Dividend	J	T					
44. Exelon Corporation (EXC)	A	Dividend			Sold (part)	10/17/19	J	A	
45.					Sold	10/18/19	J	A	
46. Exxon Mobile Corp (XOM)	A	Dividend	J	T					
47. Kinder Morgan Inc. Del (KMI) (X)	A	Dividend	J	T					
48. Fifth Third Bancorp (FITB) (X)		None	J	T					
49. Home Depot Inc. (HD) (X)	A	Dividend	J	T					
50. JPMorgan Chase & Co (JPM)	A	Dividend	J	T	Buy (add'l)	01/15/19	J		
51.					Sold (part)	07/26/19	J	A	

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52. Lockheed Martin Corp (LMT)	A	Dividend	J	T					
53. McDonalds Corp Com (MCD)	A	Dividend	J	T	Sold (part)	03/19/19	J	A	
54. Medtronic PLC SHS (MDT)	A	Dividend	J	T	Buy	09/13/19	J		
55. Microsoft Corp (MSFT)	A	Dividend	J	T	Buy	01/09/19	J		
56.					Sold (part)	07/09/19	J	A	
57. Pepsico Inc (PEP)	A	Dividend	J	T					
58. Pfizer Inc (PFE)	A	Dividend	J	T	Buy (add'l)	05/06/19	J		
59. Procter & Gamble Co (PG) (X)	A	Dividend	J	T					
60. Prudential Financial Inc (PRU) (X)	A	Dividend	J	T					
61. Royal Bank Canada PV (RY) (X)	A	Dividend	J	T					
62. Royal Dutch Shell PLC (RDSB)	A	Dividend	J	T					
63. Simon Property Group Del (SPG) (Y)									
64. Sysco Corporation (SYY) (Y)									
65. Target Corp (TGT)	A	Dividend	J	T					
66. Toronto Dominion Bank (TD)	A	Dividend	J	T					
67. Truist Finl Corp (TFC) (X)		None	J	T					
68. United Techs Corp Com (UTX)	A	Dividend	J	T					

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69. V F Corporation (VFC) (X)		None	J	T					
70. Verizon Communications Com (VZ)	A	Dividend	J	T					
71. Walmart Inc (WMT)	A	Dividend	J	T					
72. Wells Fargo & Co New Del (WFC)		None			Sold	01/09/19	J		
73. BROKERAGE ACCOUNT #1 (H)									
74. Amazon Com Inc. Com. (AMZN)		None	K	T	Sold (part)	01/04/19	J	D	
75. JPMorgan Chase & Co. (JPM)	A	Dividend			Sold	01/04/19	J	C	
76. Splunk Inc (SPLK)		None			Sold	01/04/19	J	B	
77. BROKERAGE ACCOUNT #2 (H)									
78. Alphabet Inc Shs Cl C (GOOG)		None	K	T					
79. Nike Inc Cl B (NKE)	A	Dividend	J	T					
80. Tesla Mtrs Inc. (TSLA)		None	J	T					
81. United Techs Corp Com. (UTX)	A	Dividend	J	T					
82. Whirlpool Corp (WHR)	A	Dividend	J	T					
83. BROKERAGE ACCOUNT #3 (H)									
84. Coca-Cola Common Stock (KO)	A	Dividend	J	T	Sold (part)	12/09/19	J	A	
85. Disney Common Stock (DIS)	A	Dividend	K	T	Sold (part)	06/20/19	K		

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86.					Sold (part)	12/09/19	J	C	
87. Home Depot Inc. (HD)	A	Dividend	J	T	Sold (part)	01/04/19	J		
88.					Sold (part)	12/09/19	J	C	
89. Intel Stock (INTC)	A	Dividend	J	T	Sold (part)	12/09/19	J	C	
90. Splunk Inc (SPLK)		None	J	T	Sold (part)	12/09/19	J	B	
91. BROKERAGE ACCOUNT #4 (H)									
92. ConnectOne Bank Common Stock (CNOB)	A	Dividend	J	T					
93. Sirius Stock (SIRI)	A	Dividend	J	T					
94. MISC. (H)									
95. Bank of New Jersey Common Stock	A	Int./Div.	J	T					
96. Bank of New York Common Stock	A	Int./Div.	L	T					
97. Gillette Stock	A	Dividend	K	T					
98. Mattel Stock	A	Dividend	J	T					
99. Met Life Stock	A	Dividend	J	T					
100. Newell Rubbermaid Stock	A	Dividend	J	T					
101. Stanley Black and Decker Stock	A	Dividend	J	T					

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

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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/ **Brian R. Martinotti**

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544