

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) Clark, James B.	2. Court or Organization United States District Court - District of New Jersey	3. Date of Report 05/01/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Full Time Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address United States District Court Martin Luther King Jr Federal Courthouse 50 Walnut Street Newark, New Jersey 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. Trustee	Trust #1
2. Trustee	Trust #2
3. Executor	Estate #1
4. Adjunct Professor	Seton Hall Law School
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.	
2.	
3.	

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Name of Person Reporting

Clark, James B.

Date of Report

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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	Seton Hall Law School - teaching	\$2,000.00
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	Little Lambs Preschool (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.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Clark, James B.	05/01/2020

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.	American Express	Credit Card	J
2.	Citibank	Credit Card	J
3.	Chase	Credit Card	J
4.			
5.			

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Name of Person Reporting

Clark, James B.

Date of Report

05/01/2020

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. TRUST #1 (H)									
2. Advantage Bank (cash) (X)	A	Interest	M	T					
3. American Balanced Fund (ABALX)	B	Dividend	K	T					
4. TRUST #2 (H)									
5. Credit Suisse Float Rate High Inc. C (CHICX)	A	Dividend	K	T	Sold (part)	01/30/19	J		
6. Fidelity Bank (cash)	A	Interest			Closed	02/12/19	J		
7. IRA #1 (H)									
8. AMCAP Class A Fund (AMCPX)	A	Int./Div.	J	T					
9. American Mutual Class A Fund (AMRMX)	A	Int./Div.	J	T					
10. IRA #2 (H)									
11. AMCAP Class A Fund (AMCPX)	A	Int./Div.	J	T					
12. American Mutual Class A Fund (AMRMX)	A	Int./Div.	J	T					
13. IRA #3 (H)									
14. Morgan Stanley Bank NA (cash)	A	Interest	K	T					
15. American Electric Power Co (AEP)	A	Dividend			Sold	03/21/19	K	D	
16. Applied Materials Inc (AMAT)	A	Dividend	K	T					
17. AT&T Inc (T)	B	Dividend	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	

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Name of Person Reporting

Clark, James B.

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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.)

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	(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)
18. Bank Of America Corp (BAC)	A	Dividend	K	T					
19. BP PLC ADS (BP)	B	Dividend	K	T					
20. Cisco Sys Inc (CSCO)	A	Dividend	K	T					
21. CVS Health Corp Com (CVS)	A	Dividend	K	T	Buy	03/21/19	J		
22. Enbridge Inc (ENB)	A	Dividend	J	T					
23. Exxon Mobil Corp (XOM)	A	Dividend	K	T					
24. Ford Motor Co New (F)	A	Dividend	J	T					
25. General Motors Co (GM)	A	Dividend	J	T					
26. Honeywell International Inc (HON)	B	Dividend	L	T					
27. Intel Corp (INTC)	A	Dividend	K	T					
28. Johnson & Johnson (JNJ)		None			Sold	01/02/19	K	A	
29. Merck & Co Inc New Com (MRK)	A	Dividend	K	T					
30. Morgan Stanley (MS)	A	Dividend	K	T					
31. New York Community Bancorp Inc (NYCB)	A	Dividend	J	T					
32. Philip Morris Intl Inc (PM)	B	Dividend	K	T					
33. Resideo Technologies (REZI)		None	J	T					
34. Royal Dutch Shell PLC Cl B (RDS'B)	B	Int./Div.	K	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		

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)
35. Seagate Technology PLC (STX)	A	Dividend	K	T					
36. Southern Co (SO)	A	Dividend	K	T					
37. Texas Instruments (TXN)	A	Dividend			Sold	06/25/19	K	D	
38. Citigroup Inc 7.125%-J (CJ)	A	Interest	J	T					
39. Duke Energy Corp (DUK.A)	A	Dividend	J	T	Buy	06/27/19	J		
40. Public Storage 6%-Z (PSA.Z)	A	Interest			Redeemed	06/27/19	J		
41. Blackrock Tax Municipal Bd Tr (BBN)	A	Dividend	J	T					
42. Eaton Vance Tax Mgd Div Eq Fd (EXG)	A	Dividend	J	T					
43. First Tr MLP & Enrg Inc Fund (FEI)	A	Dividend	J	T					
44. Gamco Natural Res (GNT)	A	Dividend	J	T					
45. MS Emerging Mkts Domestic Debt (EDD)	A	Dividend	J	T					
46. Bank Of America Corp 6.25% Fxd To 09-05-2024 Floats (060505EH3)		None	J	T					
47. ConocoPhillips 5.9% 10/15/2032 (20825CAF1)	A	Interest	J	T					
48. GNR 2004-16 AE (38374FGZ1)	A	Interest	J	T					
49. MSILF Treasury Securities Inst (MSUXX)	A	Dividend	J	T	Buy	03/25/19	K		
50.					Sold (part)	06/25/19	K		
51. Nuveen NWQ Global Equity Inc A (NQGAX)	A	Dividend	J	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

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

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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)
52. ESTATE ACCOUNT #1 (H)									
53. Morgan Stanley Bank N.A. (cash) (Y)									
54. Citigroup Inc (C) (Y)									
55. Prudential Financial Inc (PRU)	A	Dividend			Sold	12/16/19	K	C	
56. Nuveen Enhanced Mun Cred Opp Fd (NZF)	A	Dividend			Sold	12/16/19	K		
57. Nuveen NJ Div Muni Fund (NXJ)	B	Dividend			Sold	12/16/19	K		
58. Nuveen Quality Muni Inc Fund (NAD)	A	Dividend			Sold	12/16/19	K		
59. Morris Cnty NJ Impt Auth Ref (618028CN2)	A	Interest			Redeemed	03/15/19	K		
60. New Jersey St Edl Facs Auth Rev-B Princeton Univ (646065E32)	B	Interest			Redeemed	07/01/19	K	A	
61. New Jersey Turnpike Authority Turnpike Revenue (6461393H6)	B	Interest			Sold	12/17/19	K		
62. NJ EDA Sch Facs Construction Ref Ser-GG (645918C35)	B	Interest			Sold	12/17/19	K	A	
63. Somerset Hills Sch Dist NJ Sch Bldg Ref (834735DZ2)	A	Interest			Sold	12/17/19	K		
64. Union Cnty N J Utils Auth Solid Waste Ref Rev (906365ET4)	B	Interest			Sold	12/17/19	K		
65. New Jersey Turnpike Authority Turnpike Revenue Ser F (6461394M4)	B	Interest			Sold	12/17/19	K	A	
66. East Brunswick Twp N J Brd Ed Ref (271299MA4)	A	Interest			Sold	12/17/19	K		
67. New Jersey St Genl Oblig (646039VP9)	B	Interest			Sold	12/17/19	L	A	
68. Port Auth NY & N J Cons 171st Series (73358WGC2)	A	Interest			Sold	12/17/19	K		

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

A =\$1,000 or less
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M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
T =Cash Market

E =\$15,001 - \$50,000

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69. New Jersey St Tpk Auth Tpk Rev-E (6461395W1)	B	Interest			Sold	12/17/19	L	A	
70. MSILF Treasury Securities Inst (MSUXX)	A	Dividend	M	T	Buy	07/02/19	M		
71.					Sold (part)	12/19/19	K		
72. ESTATE ACCOUNT #2 (H)									
73. Morgan Stanley Bank N.A. (cash) (Y)									
74. Abbott Laboratories (ABT)	A	Dividend			Sold	06/28/19	L	E	
75. Abbvie Inc Com (ABBV)	B	Dividend			Sold	06/28/19	L	D	
76. Exxon Mobil Corp (XOM)	A	Dividend			Sold	06/28/19	K		
77. General Electric Co (GE)	A	Dividend			Sold	06/28/19	J		
78. PPL Corporation (PPL)	B	Dividend			Sold	06/28/19	K		
79. Verizon Communications (VZ)	B	Dividend			Sold	06/28/19	L	C	
80. Wells Fargo & Co New (WFC)	B	Dividend			Sold	06/28/19	L		
81. Nuveen Amt-Free Quality Mun Inc (NEA)	A	Dividend			Sold	06/28/19	K		
82. Nuveen Enhanced Mun Cred Opp Fd (NZF)	A	Dividend			Sold	06/28/19	K		
83. Nuveen Quality Muni Inc Fund (NAD)	A	Dividend			Sold	06/28/19	K		
84. Passaic Cnty N J Impt Auth Pkg Fac Rev (702754CB6)	A	Interest			Sold	06/28/19	K		
85. New Jersey Turnpike Authority Turnpike Revenue Ser-A (6461393H6)	B	Interest			Sold	06/28/19	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 \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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86. West Orange Twp N J Gen Impt (954898CT7)	A	Interest			Sold	06/28/19	K		
87. New Jersey Econ Dev Auth School Facs Construction Rev (645918U35)	A	Interest			Sold	06/28/19	K		
88. Delaware River Joint Toll Bridge Commission Sys Rev (246343KPI)	A	Interest			Sold	06/28/19	K		
89. New Jersey St Rutgers Univ Econ Dev Auth Lease Rev (64577FCC7)	A	Interest			Sold	06/28/19	K		
90. New Jersey St Edl Facs Auth Rev-A (6460657Z9)	B	Interest			Sold	06/28/19	K		
91. New Jersey St Tpk Auth Tpk Rev-E (6461395W1)	A	Interest			Sold	06/28/19	K		
92. MSILF Treasury Securities Inst (MSUXX)	B	Dividend			Buy	02/15/19	M		
93.					Sold	11/06/19	M		
94. ESTATE ACCOUNT #3 (H)									
95. Escrow General Motors Corp 7/2% (370ESCBB0) (Y)									
96. Escrow General Motors 8/25% (370ESCBW4) (Y)									

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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/ **James B. Clark**

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