

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) Sherwood, John K.	2. Court or Organization United States Bankruptcy Court, New Jersey	3. Date of Report 08/12/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Bankruptcy Judge - Active Status	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 Martin Luther King, Jr. Federal Building and U.S. 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. Executor	Estate
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. 2006	Lowenstein Sandler (former law firm) Retirement Shares Plan -- no control
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.		
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	Madison Public Library -- 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 Managment Association	06/05/19 - 06/06/19	Atlantic City, New Jersey	Speaking engagement	Transportation, lodging, food
2.	American Bankruptcy Institute	09/19/19 - 09/22/19	Washington, D.C.	Speaking engagement	Transportation, lodging, food
3.	National Conference of Bankruptcy Judges	10/30/19 - 11/01/19	Washington, D.C.	Annual conference	Transportation, lodging, food
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.		

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. Bank of America - CDs and interest bearing accounts	A	Interest	N	T					
2. TD Bank	A	Interest	M	T					
3. The Investment Company of America - A	D	Dividend	L	T					
4. DWS High Income Fund - A	C	Dividend	L	T					
5. Invesco Charter Fund Class A	A	Dividend	J	T					
6. Bond fund of America A	A	Dividend	J	T					
7. PGIM Jennison Focused A f/k/a Prudential Jenn SELCT GTH A	A	Distribution	J	T					
8. Mass Mutual Financial Group whole life insurance policy	C	Dividend	K	T					
9. Estate (H)									
10. Estate - Bank of America account		None	J	T					
11. CBF Stable Value Portfolio - A	B	Dividend	L	T					
12. Lowenstein Sandler 1992 401k Plan - Vanguard									
13. - Vanguard Total Bond Market Index Fund Inv	C	Dividend			Sold	10/01/19	L	C	
14. - Vanguard Wellington Fund Inv	D	Dividend			Sold	10/01/19	L	D	
15. - Vanguard 500 Index Fund	E	Dividend			Sold	10/01/19	L	E	
16. - Columbia Acorn Fund	C	Dividend			Sold	10/01/19	K	C	
17. - American Funds Growth Fund of America	D	Dividend			Sold	10/01/19	L	D	

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

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Name of Person Reporting

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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)
18. - American Century Equity Income Fund	E	Dividend			Sold	10/01/19	M	E	
19. - American Funds Euro Pacific Fund R4	D	Dividend			Sold	10/01/19	L	D	
20. Vanguard Total Bond Market Index Fund Inst.	A	Dividend	L	T	Buy	10/01/19	L		
21. Vanguard Wellington Fund Admiral	C	Dividend	L	T	Buy	10/01/19	L		
22. Vanguard Institutional Index Fund Inst	D	Dividend	M	T	Buy	10/01/19	L		
23. Janus Henderson Enterprise N	B	Dividend	K	T	Buy	10/01/19	K		
24. Harbor Capital Appreciation Fund Ret	D	Dividend	M	T	Buy	10/01/19	L		
25. Columbia Dividend Income Fund Inst 3	D	Dividend	M	T	Buy	10/01/19	M		
26. American Funds Euro Pacific Fund R6	D	Dividend	L	T	Buy	10/01/19	L		
27. Lowenstein Sandler Profit Sharing Plan									
28. - Vanguard Institutional Target Retirement 2025 Fund	F	Dividend	N	T					
29. Procter & Gamble Co.	A	Dividend	J	T					
30. Hotchkis and Wiley Large Cap Value Fund A	A	Dividend	J	T					
31. First Eagle Global	A	Dividend	J	T					
32. Clearbridge Growth Fund	A	Dividend	J	T					
33. Pimco Commodity Real (PCRCX)	A	Dividend	J	T					
34. Blackrock Eq. Dividend	A	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

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35. Clearbr Lrg Cap Growth	C	Dividend	K	T					
36. Edgewood Growth Fd.	A	Dividend	J	T					
37. Glenmede Sm. Cap. Eq. Inst.	A	Dividend	J	T	Sold (part)	06/24/19	J	A	
38. Glenmede Sm. Cap. Eq. Inst.	A	Dividend	J	T	Sold (part)	06/25/19	J	A	
39. Glenmede Sm. Cap. Eq. Inst.	A	Dividend	J	T	Sold (part)	06/26/19	J	A	
40. Glenmede Sm. Cap. Eq. Inst.	A	Dividend	J	T	Sold (part)	06/27/19	J	A	
41. Ishares Russell 1000 Growth	A	Dividend	K	T					
42. Ishares TR Core MSCI EAF	A	Dividend	J	T	Sold (part)	01/24/19	J	A	
43. Ishares TR Core MSCI EAF	A	Dividend	J	T	Sold (part)	06/24/19	J	A	
44. Ishares US Treasury Bond	A	Dividend	K	T	Sold (part)	01/24/19	J	A	
45. Oakmark Intl. Fd. Cl.	A	Dividend	J	T	Sold (part)	06/24/19	J	A	
46. Invesco Oppen. Intl. Growth Fd. Y	A	Dividend			Sold	01/24/19	J	A	
47. Spdr Blmbrg Brcly	A	Dividend			Sold	03/21/19	J	A	
48. TCW Total Return Bond	A	Dividend	J	T	Sold (part)	01/24/19	J	A	
49. TCW Total Return Bond	A	Dividend	J	T	Sold (part)	06/24/19	J	A	
50. TRP Em Mkt Stock Inv	A	Dividend	K	T					
51. Vanguard Intermediate - Term	A	Dividend	K	T	Sold (part)	01/24/19	J	A	

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52. Vanguard Intermediate - Term	A	Dividend	K	T	Sold (part)	06/24/19	J	A	
53. Delaware Emerging Markets Fund	A	Dividend	J	T	Sold (part)	06/24/19	J	A	
54. Ishares Russell 1000 Value	A	Dividend	K	T					
55. MFS Value FD CL I	A	Dividend	K	T	Sold (part)	06/24/19	J	A	
56. Vanguard Mortgage-Backed	A	Dividend	J	T	Buy	06/24/19	J		
57. Fuller & Thaler	A	Dividend	K	T	Buy	06/24/19	K		
58. ISH HUD High Yield	A	Dividend	J	T	Buy	03/21/19	J		
59. PIMCO Investment Grade	A	Dividend	K	T	Buy	06/24/19	K		
60. Vanguard Tota International	A	Dividend	J	T	Buy	01/22/19	J		

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

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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/ **John K. Sherwood**

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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