

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) Kaplan, Michael B.	2. Court or Organization U.S. Bankruptcy Court	3. Date of Report 08/04/2021
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☒ Amended Report	
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. 2019	Rutgers-Salary	\$4,919.00
2. 2019	West Services-Royalty	\$2,313.00
3. 2019	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. 2019	YMCA of Bucks County - Salary
2. 2019	Ohev Shalom of Bucks County - 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.	ABI	04/12/19 to 4/13/19	Washington, DC	Educational	hotel, travel
2.	NCBJ	10/29/19 to 10/31/19	San Antonio, TX	Educational	hotel, travel
3.	NYIPLA	3/22/19	NY, NY	Educational	hotel, travel
4.	ACI	6/24/19	NY,NY	Edudational	hotel, travel
5.	George Mason Univerisity	6/26/19 to 6/30/19	Beaver Creek, CO	Educational	hotel,travel
6.	ABI	8/1/19 to 8/3/19	Hershey, PA	Educational	hotel, travel
7.	ABI	9/19/19 to 9/20/19	Washington, DC	Educational	hotel, travel

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8. Alleghaney Bar Association 12/5/19 to 12/6/19 Pittsburgh, PA 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.)

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) 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 (H)									
2. -Ameriprise Insured money market	A	Int./Div.	M	T					
3. -SPDR S&P Bank ETF	A	Dividend	K	T	Sold (part)	11/27/19	J		
4. -Weyerhaeuser Company common	A	Dividend			Sold	06/17/19	J		
5. -Cohen Steers Infrastructure Fund common	A	Dividend	J	T					
6. -First Trust Dow Jones Internet ETF	A	Dividend	J	T	Sold (part)	11/27/19	J		
7. -Invesco DB Basic Materials Fund EFT	A	Int./Div.	J	T					
8. -Raytheon Company common	A	Dividend	J	T	Sold (part)	11/27/19	J		
9. -Royal Caribbean Cruises LTD common	A	Dividend	J	T					
10. -SPDR Series Trust S&P Homebuilders ETF	A	Int./Div.	J	T	Sold (part)	11/27/19	J		
11. -SPDR S&P Aerospace & Defense ETF	A	Int./Div.	J	T	Sold (part)	11/27/19	J		
12. -Waste Management common	A	Dividend	J	T	Sold (part)	11/27/19	J		
13. -VISA Inc common	A	Dividend	J	T	Sold (part)	11/27/19	J		
14. -Anthem Inc common	A	Dividend	J	T	Sold (part)	11/27/19	J		
15. -Biotelemetry Inc common	A	Dividend	J	T	Sold (part)	11/27/19	J		
16. -Caterpillar Inc common	A	Dividend	J	T					
17. -Ishares Iboxx Invest Grade Corp Bond ETF	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	
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)	(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. -Nvidia Corp common	A	Dividend	J	T					
19. -US Commodity Index Fund ETF	A	Dividend	J	T					
20. -US Foods Holding Corp common	A	Dividend	J	T	Sold (part)	11/27/19	J		
21. -United Rentals Inc common	A	Dividend			Sold	06/17/19	J		
22. -CVS Health Corp common	A	Dividend			Sold	06/17/19	J		
23. -Burlington Stores Inc common	A	Dividend	J	T	Sold (part)	11/27/19	J		
24. -Citizens Financial Group Inc common	A	Dividend	J	T					
25. -Cummins Inc common	A	Dividend	J	T					
26. -Freeport McMoran Inc common	A	Dividend			Sold	06/17/19	J		
27. -Home Depot common	A	Dividend	J	T					
28. -Ishares S&P GSCI Commodity Index Trust ETF	A	Dividend	J	T					
29. -Ishares MSCI Eurozone ETF	A	Dividend	J	T					
30. -Ishares Floating Rate Bond ETF	A	Dividend	K	T					
31. -Ishares MSCI Japan ETF	A	Dividend	J	T					
32. -Invesco Powershares Senior Loan Port ETF	A	Dividend			Sold	06/17/19	K		
33. -Stamps.com Inc common	A	Dividend			Sold	06/17/19	J		
34. -US Treasury Note w48	A	Interest	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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35. -US Treasury Note v23	A	Interest	J	T					
36. -US Treasury Note k74	A	Interest			Sold	06/17/19	J		
37. -US Treasury Note un8	A	Interest			Sold	06/17/19	J		
38. -US Treasury Note v80	A	Interest	J	T					
39. -US Treasury Note u24	A	Interest			Sold	06/17/19	J		
40. -US Treasury Note m80	A	Interest			Sold	06/17/19	J		
41. -US Treasury Note v98	A	Interest	J	T					
42. -US Treasury Note u57	A	Interest			Sold	06/17/19	J		
43. -US Treasury Note w71	A	Interest	J	T					
44. -US Treasury Note n30	A	Interest			Sold	06/17/19	J		
45. -US Treasury Note m56	A	Interest	J	T					
46. -JPMorgan Chase Financial BUF ENH Note TG8	A	Interest	L	T	Buy	06/28/19	L		
47. -Amerigas Partners Limited Partnership	A	Distribution			Buy	04/11/19	J		
48.					Merged (with line 49)	08/28/19	J		
49. -UGI Corp common	A	Dividend	J	T	Open	08/28/19	J		
50. -Morgan Stanley common	A	Dividend	J	T	Buy	04/11/19	J		
51. -Schwab US TIPS ETF	A	Dividend	J	T	Buy	04/11/19	J		

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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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52. -Smucker JM Company New common	A	Dividend	J	T	Buy	04/11/19	J		
53. -Union Pacific Corp common	A	Dividend	J	T	Buy	04/11/19	J		
54. -Clorox Corp common	A	Dividend	J	T	Buy	11/27/19	J		
55. -Ishares IBOXX Hi Yld Corp Bond ETF	A	Dividend	J	T	Buy	11/27/19	J		
56. -Vanguard ST Bond ETF	A	Dividend	J	T	Buy	11/27/19	J		
57. IRA # 2 (H)									
58. -Ameriprise Insured money market	A	Int./Div.	J	T					
59. -Amazon common	A	Dividend	J	T	Sold (part)	06/17/19	J		
60. -Ishares Intermediate Term Corp Bond ETF	A	Int./Div.	J	T					
61. -Invesco Corp Bond CL Y mutual fund	A	Dividend	J	T	Buy	04/11/19	J		
62. -Coca Cola common	A	Dividend	J	T	Buy	04/11/19	J		
63. -Invesco Senior Loan ETF	A	Int./Div.	J	T					
64. -CME Group common	A	Dividend	J	T					
65. -3M Company common	A	Dividend			Sold	06/17/19	J		
66. -US Treasury Note xb1	A	Interest	J	T					
67. -US Treasury Note j27	A	Interest	J	T					
68. -US Treasury Note x70	A	Interest	J	T					

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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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69. Ameriprise Insured Money Market	A	Dividend	K	T	Sold (part)	10/19/19	J		
70. NJ Economic Dev Auth St Pension 2/15/21 Zero Coupon Bond	A	Interest	K	T					
71. Align Technology Inc common		None			Sold (part)	06/17/19	J	B	
72.					Sold	10/07/19	J	A	
73. Blackrock Inflation Protected Bond Instl Cl	A	Dividend			Buy	04/11/19	J		
74.					Sold	10/07/19	J	A	
75. Oracle Corp common	A	Dividend			Buy	04/11/19	J		
76.					Sold	10/07/19	J	A	
77. Best of America IV Variable Rate Annuity (H)									
78. -NW NVIT Mny Mkt 1	A	Int./Div.	J	T					
79. -NW NVIT Multi Mgr Mdcap GR 1	A	Int./Div.	J	T					
80. -NW NVIT Mult Mgr Intl GR III	A	Int./Div.	J	T					
81. -NW NVIT Real Est 1	A	Int./Div.	K	T					
82. TIAA 401a (H)									
83. -TIAA Traditional	A	Int./Div.	J	T					
84. -CREF Equity Index R3	A	Int./Div.	J	T					
85. -CREF Bond Market R3	A	Int./Div.	J	T					

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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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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)
86. -CREF Stock R3	A	Int./Div.	J	T					
87. -CREF Stable Value	A	Int./Div.	J	T					
88. -CREF Growth R3 (X)	A	Int./Div.	J	T					
89. TD Bank	A	Interest	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

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

Part VII, Line 88- CREF Growth R3 was omitted from prior year report.

Part VII, Line 7- Name changed from Invesco Powershares DWA Basic Materials Momentum Fund

Part VII, Line 60 - Name changed from Ishares Intermediate Credit Bond ETF to Ishares Intermediate Term Corp Bond ETF

Part IIIA, Line 3- editing law journal

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