

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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, District of New Jersey	3. Date of Report 05/11/2021
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2020 to 12/31/2020
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. 2020	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. 2020	Board of Education, Cliffside Park - Salary
2. 2020	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.				
2.				
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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. Bank of New Jersey Common Stock	A	Int./Div.			Sold	03/30/20	K		
5. Bank of New York Common Stock	A	Int./Div.	L	T					
6. Gillette Stock	A	Dividend	K	T					
7. Mattel Stock	A	Dividend	J	T					
8. Met Life Stock	A	Dividend	J	T					
9. Newell Rubbermaid Stock	A	Dividend	J	T					
10. Stanley Black and Decker Stock	A	Dividend	J	T					
11. Account #1 (H)									
12. Bank of America, NA RASP (cash)	A	Interest	K	T					
13. Apple Common Stock (AAPL)	A	Dividend	L	T					
14. Dis Steps Issuer RBC (MLXAP)		None	K	T	Buy	12/31/20	J		
15. Dunkin' Brands Stock (DNKN)	A	Dividend			Sold	12/18/20	K	E	
16. Facebook Stock (FB)		None	J	T					
17. General Electric Stock (GE)	A	Dividend			Sold	08/26/20	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	
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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18. New York Community Bancorp [REDACTED]	A	Dividend			Sold	08/26/20	J		
19. SP500 CLIRNS Issuer BNS (MLVMG)		None			Redeemed	12/31/20	L	E	
20. SP500 CLIRNS Issuer Barc (MLWFS)		None	K	T	Buy	12/31/20	J		
21. American Funds Fundamental Investors Class A (ANCFX)	A	Dividend	K	T					
22. American Funds Income Fund of America Class A (AMECX)	A	Dividend	J	T					
23. Columbia Dividend Income Fund Class B (LBSAX)	A	Dividend	K	T					
24. Invesco QQQ Tr Ser 1 (QQQ)	A	Dividend	K	T	Buy	08/26/20	K		
25.					Buy (add'l)	12/17/20	J		
26. Ivy Large Cap Growth Fund CL A (WLGAX)	B	Dividend	K	T	Buy (add'l)	03/11/20	J		
27. Ivy Large Cap Growth Fund CL B (WLGBX)		None			Sold	03/11/20	J		
28. Lord Abbett Value Opportunities Fund Class A (LVOAX)		None			Sold	08/26/20	J		
29. Account #2 (H)									
30. Abbott Labs (ABT)	A	Dividend	J	T	Buy	08/25/20	J		
31. Air Products & Chem (APD) (X)	A	Dividend			Sold	08/25/20	J	A	
32. Alphabet Inc Shs Cl A (GOOGL)		None	J	T	Buy	08/25/20	J		
33. Amazon Com Inc Com (AMZN)		None	J	T	Buy	08/25/20	J		
34. American Tower Reit Inc (AMT)	A	Dividend	J	T	Buy	08/25/20	J		

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35. Amgen Inc Com (AMGN)	A	Dividend			Sold	08/25/20	J	A	
36. AMN Elec Power Co (AEP)	A	Dividend			Sold	08/25/20	J		
37. Anthem Inc (ANTM)	A	Dividend	J	T	Buy	08/25/20	J		
38. Apple Inc (AAPL)	A	Dividend	J	T	Buy	08/25/20	J		
39. AT&T Inc (T)	A	Dividend			Sold	08/25/20	J		
40. Ball Corp Com (BLL)	A	Dividend	J	T	Buy	08/25/20	J		
41. Blackstone Group Inc Com (BX)	A	Dividend			Sold	03/17/20	J		
42. Blackrock Inc (BLK) (X)	A	Dividend	J	T	Sold (part)	08/25/20	J	A	
43. Broadcom Ltd (AVGO)	A	Dividend			Sold	08/25/20	J	B	
44. Capital One Financial (COF)	A	Dividend	J	T	Buy	08/25/20	J		
45. Caterpillar Inc Del (CAT) (Y)									
46. Chevron Corp (CVX)	A	Dividend	J	T	Sold	01/06/20	J	A	
47.					Buy	04/14/20	J		
48. Chubb Ltd (CB)		None			Sold	04/27/20	J		
49. Cisco Systems Inc Com (CSCO)	A	Dividend	J	T	Sold (part)	05/19/20	J	A	
50. Citigroup Inc. Com NEW (C)	A	Dividend	J	T	Sold (part)	08/25/20	J		
51. Clorox Co Del Com (CLX)	A	Dividend			Buy	03/20/20	J		

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52.					Sold	08/25/20	J	A	
53. Coca Cola Com (KO)	A	Dividend			Sold	08/25/20	J	A	
54. Constellation Brands Inc (STZ)	A	Dividend	J	T	Buy	08/25/20	J		
55. Costco Wholesale Crp Del (COST)	A	Dividend	J	T	Buy	08/25/20	J		
56. Crown Castle Reit Inc (CCI)	A	Dividend			Sold	08/25/20	J	A	
57. CSX Corp (CSX) (X)	A	Dividend			Sold	08/25/20	J	A	
58. Danaher Corp Del Com (DHR)	A	Dividend	J	T	Buy	08/25/20	J		
59. Digital Realty TR Inc (DLR)	A	Dividend			Sold	08/25/20	J	A	
60. Disney (Walt) Co Com Stk (DIS)		None	J	T	Buy	08/25/20	J		
61. Eli Lilly & Co (LLY) (X)	A	Dividend			Sold	08/25/20	J	A	
62. Entergy Corp New (ETR)	A	Dividend			Sold	08/25/20	J		
63. Emerson Elec Co (EMR) (X)	A	Dividend			Buy (add'l)	08/12/20	J		
64.					Sold	08/25/20	J	A	
65. Exxon Mobile Corp (XOM)	A	Dividend			Sold (part)	03/20/20	J		
66.					Sold	03/23/20	J		
67. Fifth Third Bancorp (FITB)	A	Dividend			Buy (add'l)	06/10/20	J		
68.					Sold	08/25/20	J		

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69. Fiserv Inc Wisc PV 1CT (FISV)		None	J	T	Buy	08/25/20	J		
70. Hilton Worldwide (HLT)		None	J	T	Buy	08/25/20	J		
71. Home Depot Inc. (HD)	A	Dividend	J	T					
72. Honeywell Intl Inc Del (HON)	A	Dividend	J	T	Buy	08/25/20	J		
73. Intel Corp (INTC)	A	Dividend			Buy	05/19/20	J		
74.					Buy (add'l)	05/20/20	J		
75.					Sold	08/11/20	J		
76. JPMorgan Chase & Co (JPM)	A	Dividend			Sold (part)	08/25/20	J		
77.					Sold	08/31/20	J		
78. Kinder Morgan Inc. Del (KMI)	A	Dividend			Buy (add'l)	06/11/20	J		
79.					Sold	08/25/20	J		
80. Lockheed Martin Corp (LMT)	A	Dividend	J	T	Buy (add'l)	08/25/20	J		
81. McDonalds Corp Com (MCD)	A	Dividend			Sold	08/25/20	J	A	
82. Medtronic PLC SHS (MDT)	A	Dividend			Sold	08/25/20	J		
83. Microchip Technology Inc (MCHP)	A	Dividend	J	T	Buy	08/25/20	J		
84. Microsoft Corp (MSFT)	A	Dividend	J	T	Sold (part)	06/08/20	J	B	
85.					Buy (add'l)	08/25/20	J		

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86. Nextera Energy Inc Shs (NEE)	A	Dividend	J	T	Buy	08/25/20	J		
87. Parker Hannifin Corp (PH)		None	J	T	Buy	11/12/20	J		
88. Pepsico Inc (PEP)	A	Dividend	J	T					
89. Pfizer Inc (PFE)	A	Dividend			Sold (part)	02/20/20	J	A	
90.					Sold	02/21/20	J		
91. Procter & Gamble Co (PG)	A	Dividend			Sold	08/25/20	J	A	
92. Prologis Inc (PLD)	A	Dividend	J	T	Buy	08/25/20	J		
93. Prudential Financial Inc (PRU)	A	Dividend			Sold	06/04/20	J		
94. Realty Incm Crp Md PV (REIT) (X)	A	Dividend			Sold	08/25/20	J		
95. Ross Stores Inc Com (ROST)		None	J	T	Buy	08/25/20	J		
96. Royal Bank Canada PV (RY)	A	Dividend			Sold	08/25/20	J		
97. Royal Dutch Shell PLC (RDSB) (Y)									
98. Target Corp (TGT)	A	Dividend			Sold (part)	08/12/20	J	A	
99.					Sold	08/25/20	J	B	
100. Thermo Fisher Scientific (TMO)	A	Dividend	J	T	Buy	08/25/20	J		
101. Toronto Dominion Bank (TD)	A	Dividend			Sold	08/25/20	J		
102. Truist Finl Corp (TFC)	A	Dividend	J	T	Buy (add'l)	08/12/20	J		

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103.					Sold (part)	08/25/20	J		
104. Union Pacific Corp (UNP)	A	Dividend	J	T	Buy	08/25/20	J		
105. United Parcel Svc Cl B (UPS) (X)	A	Dividend			Sold	08/25/20	J	B	
106. United Techs Corp Com (UTX) (Y)									
107. V F Corporation (VFC)	A	Dividend			Sold	08/25/20	J		
108. Verizon Communications Com (VZ)	A	Dividend			Sold	08/25/20	J	A	
109. Visa Inc Cl A Shrs (V)	A	Dividend	J	T	Buy	08/25/20	J		
110. Walmart Inc (WMT)	A	Dividend	J	T	Buy (add'l)	08/25/20	J		
111. Zoetis Inc (ZTS)	A	Dividend	J	T	Buy	08/25/20	J		
112. Account #3 (H)									
113. ML Bank Deposit Program (X)	A	Interest	J	T					
114. Bank New York Mellon (BK) (X)		None	L	T					
115. Coca-Cola Common Stock (KO)	A	Dividend			Sold	06/11/20	J	A	
116. Disney Common Stock (DIS)	A	Dividend	J	T	Sold (part)	06/11/20	J	A	
117. Home Depot Inc. (HD)	A	Dividend	J	T	Sold (part)	06/11/20	J	B	
118. Intel Stock (INTC)	A	Dividend			Sold	12/15/20	J		
119. Peloton Interactive Inc (PTON)		None	K	T	Buy	03/18/20	J		

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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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)
120.					Sold (part)	06/30/20	J	C	
121. Proctor & Gamble Co (PG) (X)	A	Dividend	K	T	Sold (part)	12/15/20	J	D	
122. Splunk Inc (SPLK)		None			Sold	06/11/20	J	C	
123. Stanley Black & Decker (SWK) (X)	A	Dividend	K	T					
124. Account #4 (H)									
125. ConnectOne Bank Common Stock (CNOB)	A	Dividend	J	T					
126. Sirius Stock (SIRI)	A	Dividend	J	T	Sold (part)	08/24/20	J	B	
127. Account #5 (H)									
128. Amazon Com Inc. Com. (AMZN)		None	K	T	Sold (part)	12/15/20	K	D	
129. Account #6 (H)									
130. Alphabet Inc Shs Cl C (GOOG)		None	K	T	Sold (part)	06/11/20	J	C	
131. Carrier Global Corp Reg (CARR) (X)		None			Sold	06/11/20	J	A	
132. Nike Inc Cl B (NKE)	A	Dividend	J	T					
133. Otis Worldwide Corp Reg (OTIS) (X)	A	Dividend			Sold	06/11/20	J	A	
134. Raytheon (RTN) (X)	A	Dividend			Sold	07/28/20	J		
135. Tesla Mtrs Inc. (TSLA)		None	K	T	Sold (part)	07/28/20	J	C	
136. iShares iBoxx (LQD)	A	Dividend	J	T	Buy	06/11/20	J		

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)
137. MFS Growth Fund Cl C (MFECCX)	A	Dividend	J	T	Buy	06/11/20	J		
138. United Techs Corp Com. (UTX)		None			Merged (with line 134)	04/07/20	J		
139. Whirlpool Corp (WHR)	A	Dividend			Sold	06/15/20	J		

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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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
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