

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) Kaplan, Michael B.	2. Court or Organization U.S. Bankruptcy Court	3. Date of Report 11/16/2021
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 01/01/2020 to 12/31/2020
	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. 2020	Rutgers-Salary	\$9,397.00
2. 2020	West Services-Royalty	\$2,291.00
3. 2020	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. 2020	YMCA of Bucks County - Salary
2. 2020	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.				
2.				
3.				
4.				
5.				

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Kaplan, Michael B.	11/16/2021

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. -RiverSource RAVA 5 Advantage Variable Annuity (H)									
4. -VP-US Flexible Mid Gr FD CL 2	E	Int./Div.	M	T	Buy	06/24/20	M		
5. -SPDR S&P Bank ETF	A	Dividend			Sold	01/22/20	K		
6. -SPDR Bloomberg Barlays 1-3 Month T Bill ETF	A	Dividend			Buy	01/22/20	K		
7.					Sold	06/22/20	K		
8. -Cohen Steers Infrastructure Fund common	A	Dividend			Sold	01/22/20	J		
9. -First Trust Dow Jones Internet ETF	A	Dividend			Sold	01/22/20	J		
10. -Invesco DB Basic Materials Fund EFT	A	Int./Div.			Sold	01/22/20	J		
11. -Raytheon Company common	A	Dividend			Sold	01/22/20	K		
12. -Royal Caribbean Cruises LTD common	A	Dividend			Sold	01/22/20	J		
13. -SPDR Series Trust S&P Homebuilders ETF	A	Int./Div.			Sold	10/21/20	J		
14. -SPDR S&P Aerospace & Defense ETF	A	Int./Div.			Sold	10/26/20	J		
15. -Waste Management common	A	Dividend			Sold	01/22/20	J		
16. -VISA Inc common	A	Dividend			Sold	01/22/20	J		
17. -Anthem Inc common	A	Dividend			Sold	01/22/20	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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	(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. -Biotelemetry Inc common	A	Dividend			Sold	01/22/20	J		
19. -Caterpillar Inc common	A	Dividend			Sold	01/22/20	J		
20. -Ishares Iboxx Invest Grade Corp Bond ETF	A	Dividend			Sold	06/22/20	J		
21. -Nvidia Corp common	A	Dividend			Sold	01/22/20	J		
22. -US Commodity Index Fund ETF	A	Dividend			Sold	01/22/20	J		
23. -US Foods Holding Corp common	A	Dividend			Sold	01/22/20	J		
24. -Burlington Stores Inc common	A	Dividend			Sold	01/22/20	J		
25. -Citizens Financial Group Inc common	A	Dividend			Sold	01/22/20	J		
26. -Cummins Inc common	A	Dividend			Sold	01/22/20	J		
27. -Home Depot common	A	Dividend			Sold	01/22/20	J		
28. -Ishares S&P GSCI Commodity Index Trust ETF	A	Dividend			Sold	01/22/20	J		
29. -Ishares MSCI Eurozone ETF	A	Dividend			Sold	01/22/20	J		
30. -Ishares Floating Rate Bond ETF	A	Dividend			Sold (part)	03/03/20	J		
31.					Sold	04/15/20	K		
32. -Ishares MSCI Japan ETF	A	Dividend			Sold	01/22/20	J		
33. -US Treasury Note w48	A	Interest			Sold	03/26/20	J		
34. -US Treasury Note v23	A	Interest			Sold	03/26/20	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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35. -US Treasury Note v80	A	Interest			Sold	03/26/20	J		
36. -US Treasury Note v98	A	Interest			Sold	03/26/20	J		
37. -US Treasury Note w71	A	Interest			Sold	03/26/20	J		
38. -US Treasury Note m56	A	Interest			Sold	03/26/20	J		
39. -JPMorgan Chase Financial BUF ENH Note TG8	A	Interest			Redeemed	12/31/20	L		
40. -UGI Corp common	A	Dividend			Sold	01/22/20	J		
41. -Morgan Stanley common	A	Dividend			Sold	01/22/20	J		
42. -Schwab US TIPS ETF	A	Dividend			Sold	06/22/20	J		
43. -Smucker JM Company New common	A	Dividend			Sold	01/22/20	J		
44. -Union Pacific Corp common	A	Dividend			Sold	01/22/20	J		
45. -Clorox Corp common	A	Dividend			Sold	01/22/20	J		
46. -Ishares IBOXX Hi Yld Corp Bond ETF	A	Dividend			Sold	06/22/20	J		
47. -Vanguard ST Bond ETF	A	Dividend			Buy (add'l)	01/22/20	K		
48.					Sold (part)	03/03/20	J		
49.					Sold	06/22/20	J		
50. -Vanguard LT Bond Index ETF	A	Dividend			Buy	01/22/20	K		
51.	A	Dividend			Sold (part)	03/03/20	J		

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52.	A	Dividend			Sold	06/22/20	K		
53. -Vanguard Total Corp Bond ETF	A	Dividend			Buy	01/22/20	K		
54.	A	Dividend			Sold (part)	03/03/20	J		
55.	A	Dividend			Sold	06/22/20	J		
56. -Vanguard S&P 500 Index ETF	A	Dividend			Buy	01/22/20	K		
57.	A	Dividend			Sold	10/28/20	J		
58. -Arbor Realty Trust common	A	Dividend			Buy	03/03/20	J		
59.	A	Dividend			Sold	10/21/20	J		
60. -RH common	A	Dividend			Buy	03/03/20	J		
61.	A	Dividend			Sold	10/19/20	J		
62. -Splunk Inc common	A	Dividend			Buy	03/03/20	J		
63.	A	Dividend			Sold	10/21/20	J		
64. -TJX COS Inc common	A	Dividend			Buy	03/03/20	J		
65.	A	Dividend			Sold	10/21/20	J		
66. -Trex Co Inc common	A	Dividend			Buy	03/03/20	J		
67.	A	Dividend			Sold	10/21/20	J		
68. -Dow Inc common	A	Dividend			Buy	03/26/20	J		

1 Income Gain Codes: (See Columns B1 and D4)	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	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
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69.	A	Dividend			Buy (add'l)	04/15/20	J		
70.	A	Dividend			Sold	10/21/20	K		
71. -Carnival Corp Paired CTF 1 common	A	Dividend			Buy	03/26/20	J		
72.	A	Dividend			Sold	10/26/20	J		
73. -Clorox common	A	Dividend			Buy	03/26/20	J		
74.	A	Dividend			Sold	10/22/20	J		
75. -Costco common	A	Dividend			Buy	03/26/20	J		
76.	A	Dividend			Sold	10/28/20	J		
77. -Walt Disney common	A	Dividend			Buy	03/26/20	J		
78.	A	Dividend			Buy (add'l)	04/15/20	J		
79.	A	Dividend			Sold	10/28/20	K		
80. -Dollar General common	A	Dividend			Buy	03/26/20	J		
81.	A	Dividend			Sold	10/23/20	J		
82. -Home Depot common	A	Dividend			Buy	03/26/20	J		
83.	A	Dividend			Sold	10/26/20	J		
84. -Microsoft common	A	Dividend			Buy	03/26/20	J		
85.	A	Dividend			Sold	10/26/20	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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86. -Pepsico Inc common	A	Dividend			Buy	03/26/20	J		
87.	A	Dividend			Sold	10/28/20	J		
88. -Proctor and Gamble common	A	Dividend			Buy	03/26/20	J		
89.	A	Dividend			Sold	10/28/20	J		
90. -Replegen Corp common	A	Dividend			Buy	03/26/20	J		
91.	A	Dividend			Sold	10/28/20	J		
92. -Walmart common	A	Dividend			Buy	03/26/20	J		
93.	A	Dividend			Sold	10/29/20	J		
94. -BP PLC SPON ADR	A	Dividend			Buy	04/20/20	J		
95.	A	Dividend			Sold	10/21/20	J		
96. -Exxon Mobil common	A	Dividend			Buy	04/20/20	J		
97.	A	Dividend			Sold	10/26/20	J		
98. IRA # 2 (H)									
99. -Ameriprise Insured money market	A	Int./Div.	J	T					
100. -Amazon common	A	Dividend			Sold	01/23/20	J		
101. -Ishares5-10 Year Inv Grade Corp Bond ETF	A	Int./Div.	J	T					
102. -Invesco Corp Bond CL Y mutual fund	A	Dividend	J	T					

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(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	
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103. -Ishares Short Treasury Bond ETF	A	Int./Div.	J	T	Buy	01/23/20	J		
104. -Vanguard Total Bond Market ETF	A	Int./Div.	J	T	Buy	01/23/20	J		
105. -Coca Cola common	A	Dividend			Sold	01/23/20	J		
106. -Vanguard Large Cap ETF	A	Int./Div.			Buy	01/23/20	J		
107.					Sold	10/28/20	K		
108. -Invesco Senior Loan ETF	A	Int./Div.	J	T					
109. -CME Group common	A	Dividend			Sold	01/23/20	J		
110. -US Treasury Note xb1	A	Interest	J	T					
111. -US Treasury Note j27	A	Interest	J	T					
112. -US Treasury Note x70	A	Interest	J	T					
113. Ameriprise Insured Money Market	A	Dividend	K	T	Sold (part)	09/24/20	J		
114.					Sold (part)	03/03/20	J		
115. NJ Economic Dev Auth St Pension 2/15/21 Zero Coupon Bond	A	Interest	K	T					
116. Best of America IV Variable Rate Annuity (H)					Sold	07/10/20	K		
117. -NW NVIT Mny Mkt 1	A	Int./Div.			Sold	07/10/20	J		
118. -NW NVIT Multi Mgr Mdcap GR 1	A	Int./Div.			Sold	07/10/20	J		
119. -NW NVIT Mult Mgr Intl GR III	A	Int./Div.			Sold	07/10/20	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	

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)
120. -NW NVIT Real Est 1	A	Int./Div.			Sold	07/10/20	J		
121. RiverSource Life Insurance RAVA 5 Advantage Variable Annuity (H)									
122. -VP-US Flexible Growth Fd CL 2					Buy	07/17/20	K		
123. TIAA 401a (H)									
124. -TIAA Traditional	A	Int./Div.	J	T					
125. -CREF Equity Index R3	A	Int./Div.	J	T					
126. -CREF Bond Market R3	A	Int./Div.	J	T					
127. -CREF Stock R3	A	Int./Div.			Sold	06/30/20	J		
128. -CREF Stable Value	A	Int./Div.	J	T					
129. -CREF Growth R3 (X)	A	Int./Div.			Sold	06/30/20	J		
130. 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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Kaplan, Michael B.

Date of Report

11/16/2021

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

Part VII, Line 101- Name changed from Ishares Intermediate Term Corp Bond ETF to Ishares 5-10 Year Investment Grade Corp Bond ETF

FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

Kaplan, Michael B.

Date of Report

11/16/2021

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
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Washington, D.C. 20544