

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) Martini, William J.	2. Court or Organization District Court - New Jersey	3. Date of Report 05/05/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	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 50 Walnut Street PO Box 29 Newark, NJ 07101-0419		
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	Nicholas Martini Foundation
2. Trustee	John Cabot University
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.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Martini, William J.

Date of Report

05/05/2021

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	Nicholas Martini Foundation, Trustee	\$22,000.00
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.	
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
Martini, William J.	05/05/2021

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Martini, William J.

Date of Report

05/05/2021

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. BROKERAGE ACCOUNT #2									
2. FEDERATED KAUFMANN FUND-R (FORMALLY FUND-K)	D	Distribution	L	T					
3.									
4. BROKERAGE ACCOUNT #6									
5. INVESCO EXCH TRAD FD PRFZ (formerly Powershares)	B	Dividend	L	T	Sold (part)	11/12/20	M	F	
6.					Buy (add'l)	04/09/20	K		
7. ISHARES TR MCSI EAFE FD	C	Dividend	M	T					
8. INVESCO FTSE RAFI US PRF (formerly Powershares)	C	Dividend			Sold	11/12/20	N	F	
9.					Sold (part)	04/09/20	K	D	
10. GOLDMAN SACHS ACTVBETA	B	Dividend	N	T	Buy	11/12/20	N		
11. CHARLES SCHWAB ADV CASH RESERVE PREM	A	Interest	J	T	Buy (add'l)	07/02/20	J		
12.					Sold (part)	07/12/20	J		
13.									
14. IRA #7									
15. CHARLES SCHWAB ADV CASH RESERVE PREM	A	Dividend	K	T	Buy (add'l)	07/14/20	J		
16.					Sold (part)	07/14/20	J		
17. CAUSEWAY EMRG MKTS FD INSTL SHR	A	Dividend			Sold	11/12/20	M	E	

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)
18. ISHARES CORE S&P ETF	D	Dividend	N	T	Sold (part)	04/09/20	K	D	
19.					Buy (add'l)	12/16/20	K		
20. INVESCO FTSE RAFI US 1000 ETF (formerly Powershares)	C	Dividend			Buy (add'l)	04/09/20	L		
21.					Sold	11/12/20	N	F	
22. SPDR S&P MIDCAP 400 ETF	C	Dividend	M	T	Sold (part)	11/12/20	M	E	
23.					Buy (add'l)	04/09/20	K		
24. INVESCO S&P 500 PURE GROWTH ETF (formerly Guggenheim)	B	Dividend			Sold (part)	04/09/20	K	D	
25.					Sold	11/12/20	N	G	
26. ISHARES RUSSELL 1000 GROWTH ETF	B	Dividend	N	T	Buy (add'l)	12/16/20	K		
27. ISHARES MCSI EAFE ETF	A	Dividend	K	T					
28. T ROWE PRICE GLBL STK FD	D	Dividend	M	T	Sold (part)	04/09/20	J	A	
29. Wisdomtree US QLT DIV GRW	B	Dividend	N	T	Buy	11/12/20	N		
30.					Buy (add'l)	12/16/20	K		
31. Vitrus Equity TR KAR SMLL MID I	A	Dividend	N	T	Buy	11/12/20	N		
32.					Buy (add'l)	12/16/20	K		
33. Goldman Sachs ACTVBETA US LRG	A	Dividend	M	T	Buy	11/12/20	L		
34.					Buy (add'l)	12/16/20	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

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)
35. GQG Partners Emerging Markets Equity	A	Dividend	M	T	Buy	11/12/20	M		
36.					Buy (add'l)	12/16/20	K		
37.									
38. VALLEY NATIONAL BANK		None	K	T					
39.									
40. THE AXA EQUITABLE VARIABLE LIFE INSURANCE POLICY									
41. Guaranteed Interest Account	A	Dividend	J	T					
42. EQ/Equity 500 Index	A	Dividend	J	T					
43. AXA Moderate - Plus Allocation	A	Dividend	J	T					
44. AXA Large Cap Growth Managed Volatility	A	Dividend	J	T					
45. EQ/Mid Cap Index	A	Dividend	J	T					
46. AXA International Value Managed Volatility	A	Dividend	J	T					
47. AXA Large Cap Value Managed Volatility	A	Dividend	J	T					
48. Charter Small Cap Value	A	Dividend	J	T					
49. EQ/Capital Guardian Research	A	Dividend	J	T					
50.									
51. EQUITABLE - SEP									

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. EQ Equity 500 Index	C	Dividend			Sold	11/24/20	M	A	
53. EQ International Equity Index	A	Dividend			Sold	11/24/20	J	A	
54.									
55. Osler Health Management, Inc. (formerly MDClick Holdings LLC)	A	Int./Div.	J	U					

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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Martini, William J.

Date of Report

05/05/2021

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

THE NICHOLAS MARTINI FOUNDATION IS A 501(C)(3) CHARITABLE FAMILY FOUNDATION. ITS MISSION IS TO SUPPORT YOUTH HEALTH, ENVIRONMENTAL, AND EDUCATION PROGRAMS.

AS A MEMBER OF THE BOARD OF TRUSTEES, I PARTICIPATE IN THE DECISIONS TO DISTRIBUTE THOSE FUNDS. THE TRUSTEES ANNUALLY EVALUATE THE INVESTMENT POLICY FOR THE FOUNDATION. THAT POLICY IS IMPLEMENTED BY AN INDEPENDENT MANAGER WHO HAS FULL DISCRETION WITH REGARD TO INVESTMENT DECISIONS. TRUSTEES DO NOT MAKE INVESTMENT DECISIONS.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Martini, William J.

Date of Report

05/05/2021

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/ William J. Martini**

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