

FINANCIAL DISCLOSURE REPORT INITIAL FILING

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 U.S. Bankruptcy Court, New Jersey	3. Date of Report 01/21/2016
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 5b. ☒ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2015
7. Chambers or Office Address Martin Luther King, Jr. Federal Building and United States Courthouse 50 Walnut Street Newark, NJ 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. Trustee / terminated June 2015	NJ Bankruptcy Lawyers Foundation
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. 01/01/2013	Lowenstein Sandler limited liability partnership agreement (resigned June 2015) - allocation payments due through March 2016
2. 01/01/2013	Lowenstein Sandler Inc. shareholders agreement - resigned June 2015
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. 2014	Lowenstein Sandler - salary	\$629,812.87
2. 2015	Lowenstein Sandler (through June 2015) - salary	\$483,732.00
3. 2013	Lowenstein Sandler - salary	\$723,889.00
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. 2014	Madison Public Library - salary
2. 2015	Madison Public Library - salary
3. 2013	Madison Public Library - salary
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.)

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	O	T					
2. TD Bank	A	Interest	M	T					
3. The Investment Company of America - A	D	Dividend	L	T					
4. Deutsche High Income Fund - A	C	Dividend	K	T					
5. Alpine Ultra Short Municipal Income Fund CL A	A	Dividend	J	T					
6. AT&T Inc.	A	Dividend	J	T					
7. Comcast Corp New CL A	A	Dividend	J	T					
8. Ishares Russell 1000 Value	A	Dividend	J	T					
9. Ishares MSCI EAFE	A	Dividend	J	T					
10. Pfizer Inc.	A	Dividend	J	T					
11. Procter & Gamble Co.	A	Dividend	J	T					
12. Hotchkis and Wiley Large Cap Value Fund A	A	Dividend	K	T					
13. First Eagle Global Class C	A	Distribution	K	T					
14. Clearbridge Agressive Growth Fund A	A	Distribution	K	T					
15. Invesco Charter Fund Class A	A	Dividend	J	T					
16. Bond fund of America A	A	Dividend	J	T					
17. Prudential Jenn SELCT GTH A	A	Distribution	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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☐ 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. CBF Principal Protect Inc Port Alt A	C	Int./Div.	L	T					
19. CBF Principal Protect Inc Port Alt B	C	Int./Div.	L	T					
20. Pimco Commodity Real (PCRCX)		None	J	T					
21. Allianzgi NFJ Mid Cap Value Fund (PQNAX)		None	J	T					
22. Ishares China Largecap (FXI)	A	Dividend	J	T					
23. Ishares RS 2000 Growth (IWO)	A	Dividend	J	T					
24. Victory Integrity Small (MCVSX)	A	Dividend	J	T					
25. Virtus Real Estate (PHRCX)	A	Dividend	J	T					
26. Mass Mutual Financial Group whole life insurance policy		None	K	T					
27. Estate (H)									
28. -Estate - Bank of America account -		None	L	T					
29. -Estate - Brielle NJ real estate		None	N	W					
30. Lowenstein Sandler 1992 401k plan-Vanguard	D	Dividend	N	T					
31. -Vanguard Wellington Fund Investor Shares									
32. -Vanguard 500 Index Fund Investor Shares									
33. -Vanguard Total Bond Market Index Fund Investor Shares									
34. -Columbia Acorn Fund Class Z									

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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35. -American Century Equity Income Fund Institutional Class									
36. -American Funds The Growth Fund of America Class R-4									
37. -American Funds EuroPacific Growth Fund Class R-4									
38. Lowenstein Sandler profit sharing plan - Vanguard -	C	Dividend	N	T					
39. -Vanguard Institutional Target Retirement 2025 Fund									
40. Lowenstein Sandler retirement shares plan - JP Morgan - annuity	A	Interest	M	T					
41. -SPDR S&P 500 ETF Trust									
42. -Ishares Core US Aggregate BD ETF									
43. -JP Morgan Deposit Acct A Advisory Non Ret JPMC BK NA									
44. -Guggenheim S&P Equal Weight ETF									
45. -Ishares Russell 2000 ETF									
46. -Pimco Total Return Active Exchange Traded Fund									
47. -American Century Invt Tr Core Plus FD Invs CL									
48. -Ishares MSCI EAFE ETF									
49. -Ishares Core S&P Mid Cap ETF									
50. -SPDR S&P Dividend ETF									
51. -SPDR Gold Tr Gold SHS									

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52. -Powershares DB US DLR Index TR PS DB US\$ Index Bullish FD Com Unit									
53. -Templeton Hard Currency Fund Advisor CL									
54. -Powershares Global Exchange Traded FD TR Emerging Markets Sov Debt									
55. -Ishares International Select Dividend ETF									
56. -Ishares US Real Estate ETF									
57. -Select Sector SPDR Fund SHS BEN Consumer Discretionary									
58. -Barclays BK PLC Ipath Bloomberg Commodity Index Total RTN ETN 6/12/36									
59. -Select Sector SPDR Trust SHS The Technology Select Sector SPDR Fund									
60. -Select Sector SPDR Trust The Healthcare Select Sector SPDR Fund									
61. -Ishares Russell Mid Cap ETF									
62. -Ishares MSCI Emerging Markets ETF									
63. -Vanguard FTSE Emerging Markets ETF FTSE Emerging Index									
64. -Ishares MSCI Germany ETF									
65. -Ishares MSCI Russia Capped ETF									
66. -Put Spy 3/18/16 204 Standard & Poors Depository exp 3/18/16									

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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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Washington, D.C. 20544