

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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 11/27/2012
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 5b. ☒ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
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. Insert signature on last page.		

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. 2011	Rutgers-salary	\$12,733.00
2. 2011	[REDACTED], Norwood, NJ Rental Income	\$27,600.00
3. 2011	West Services Royalty	\$5,188.00
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. 2011	Oveh Shalom of Bucks County-salary
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. E.D.PA Bar Association Bankruptcy Forum	01/21/2011	Philadelphia, PA	Educational	hotel, parking, conference registration
2. American Conference Institute	01/28/2011	NY, NY	Educational	hotel, meals, travel
3. AFN Leadership Conference	07/19/2011 to 7/22/2011	onita Springs, FL	Educational	hotel, meals, travel
4. Judicial Education Program- Northwestern Univ	03/28/2011 to 3/19/2011	Chicago, IL	Educational	hotel, meals, travel
5. American Conference Inst	4/8/2011	Washington, DC	Educational	hotel, meals, travel

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6.	Judicial Education Program	6/1/2011 to 6/3/2011	Fairfax, VA	Educational	hotel, meals, travel
7.	American Conference Inst	6/22/2011	Chicago, IL	Educational	hotel, meals, travel
8.	NABT Annual Conference	8/21/2011 to 8/22/2011	Amelia Island, FL	Educational	hotel, meals, travel
9.					

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	University of Pennsylvania	Tuition	P3
2.	Bank of America	Mortgage on rental property	M
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 I (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	A	Int./Div.	N	T					
2. -Pershing Government Account money market									
3. -Pfizer Inc common									
4. -Citigroup Inc common					Buy (add'l)	09/20/11	J		
5. -Frontier Communications Corp									
6. -Verizon Communications Com									
7. -Invesco Gold & Precious Metals Fund CL B mutual fund					Sold (part)	04/28/11	J	A	
8. -					Sold (part)	07/28/11	J	A	
9. -					Sold	09/20/11	K	A	
10. -Invesco Gold & Precious Metal Fund CL A mutual fund					Sold	02/01/11	J	A	
11. -					Buy	04/28/11	J		
12. -					Buy	07/28/11	J		
13. -					Sold	09/20/11	J	A	
14. -Blackstone Natural Resources Trust Fund CL C mutual fund									
15. -Sunamerica Senior Floating Rate Fund CL C mutual fund									
16. -Franklin High Income Fund CL C mutual fund									
17. -Franklin Income Fund CL C mutual fund					Buy	02/01/11	K		

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	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. -Templeton Global Balanced Fund Class C mutual fund									
19. -Wells Fargo Advantage Health Care Fund CL C mutual fund									
20. -Ishares Silver Trust mutual fund					Sold	01/03/11	K	A	
21. -Icon Energy Fund Class c mutual fund					Buy	01/28/11	K		
22. -Rydex Banking Fund CL C mutual fund					Buy	09/19/11	K		
23. -Metlife Fixed Annuity 7498									
24. IRA # 2	C	Int./Div.	L	T					
25. -Pershing Government Account money market									
26. -Frontier Communications Corp									
27. -Verizon Communications Com									
28. -Franklin Income fund CL C mutual fund					Buy (add'l)	02/01/11	J		
29. -Franklin High Income fund CL C									
30. -Franklin Dynatech CL C mutual fund									
31. -Ishares Silver Trust					Sold	01/03/11	J	A	
32. -Icon Energy Fund Cl C mutual fund					Buy	01/28/11	J		
33. IRA #3	A	Int./Div.	J	T					
34. -Pereshing Government money market									

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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. -Frotier Communications Corp common									
36. -Verizon Communications Com									
37. IRA #4		None	J	T					
38. -Pershing Prime Reserves Money Market					Buy	11/30/11	J		
39. Federated Capital Reserves Money Market	A	Dividend	J	T					
40. NJ Economic Dev Auth St Pension Zero Coupon Bond	B	Interest	K	T					
41. NJ Economic Dev Auth St Pension Zero Coupon Bond	A	Interest	J	T					
42. Citigroup Inc common	A	Dividend	J	T					
43. Flaherty & Crumrine Claymore Pfd Sec mutual fund	A	Dividend	J	T					
44. Blackrock Real Asset Equity Tr Com mutual fund	A	Dividend	J	T					
45. Pioneer Floating Rate Tr Com mutual fund	B	Dividend	J	T					
46. Western Asset Managed High Income Fd mutual fund	B	Dividend	K	T					
47. Allstate T-Link Plus fixed rate annuity	A	Interest			Redeemed	10/06/11	K	A	
48. Best of America IV Variable Rate Annuity		None	K	T					
49. -NVIT Multi-MGR Intl GR 3 mutual fund									
50. -NVIT Multi-MGR Midcap GR 1 mutual fund									
51. -VK NIT Realestate 1 mutual fund									

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52. -CRSUISSETR US Eq Flex 1 money market					Redeemed	10/21/11	J		
53. -NW NVIT money market 1	A	Dividend	J	T	Buy	10/21/11	J		
54. TD Bank USA Money market checking	A	Dividend	L	T					
55. ING money market fund	A	Int./Div.	L	T					
56. Citigroup Inc common	A	Dividend	J	T					
57. Met Life Whole Life Insurance Policy		None			Redeemed	10/07/11	J	A	
58. TIAA CREF money market	A	Int./Div.	J	T					
59. Rental Property #1(X), Norwood, NJ Rental Property	E	Rent	N	W					
60. Lincoln Financial Group annuity	A	Interest	K	T	Buy	10/06/11	K		
61.									

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

Part VIII. Investments and Trusts:

- Line 18 - In July 2011, the Templeton Income Fund Class C changed to the Templeton Global Balanced Fund Class C.
- Line 40- ING Classic Money Market moved to Federated Capital Reserves
- Line 52 - CRSUISSETR US EQ FLEX 1 formerly known as Cr Suisse TR Small Cap Cor 1 mutual fund

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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