

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 04/27/2018
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
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.		

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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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2017	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.)*

DATE	SOURCE AND TYPE
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
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.)*

	<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.			
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. BROKERAGE ACCOUNT #2									
2. FEDERATED KAUFMANN FUND-R (FORMALLY FUND-K)	D	Distribution	L	T					
3.									
4. BROKERAGE ACCOUNT #6									
5. POWERSHARES EXCH TRAD FD PRFZ	B	Dividend	M	T					
6. ISHARES TR MCSI EAFE FD	B	Dividend	L	T					
7.									
8. POWERSHARES FTSE RAFI US PRF	D	Dividend	N	T					
9.									
10. CHARLES SCHWAB ADV CASH RESERVE PREM	A	None	K	T	Buy (add'l)	07/01/17	J		
11.					Sold (part)	07/14/17	J		
12.									
13. IRA #7									
14. CHARLES SCHWAB ADV CASH RESERVE PREM	A	Dividend	K	T	Buy (add'l)	07/14/17	J		
15.					Sold (part)	07/14/17	J		
16. CAUSEWAY EMRG MKTS FD INSTL SHR	B	Dividend	M	T	Buy	05/04/17	J		
17. JANUS GLOBAL RESEARCH FD CL 1	A	Dividend	L	T	Sold (part)	03/22/17	K	C	

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 –\$250,000.01 - \$500,000.00	K –\$15,001 - \$50,000 O –\$500,001 - \$1,000,000	P1 –\$1,000,001 - \$5,000,000 P4 –More than \$5,000,000	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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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				
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18. NORTHERN MULTI MGR GLBL A	A	Dividend			Sold	05/04/17	L	D	
19. ISHARES CORE S&P ETF	D	Dividend	N	T	Sold (part)	03/22/17	K	D	
20.					Sold (part)	05/04/17	K	D	
21. POWERSHARES FTSE RAFI US PRF	B	Dividend	M	T	Sold (part)	03/22/17	K	C	
22.									
23. SPDR S&P MIDCAP 400 ETF	B	Dividend	M	T	Sold (part)	03/22/17	K	C	
24.									
25. VANGUARD SHORT TERM BOND ETF	B	Dividend	M	T	Buy	03/22/17	M		
26.					Sold (part)	08/29/17	K	A	
27. GUGGENHEIM S&P 500 PURE GROWTH ETF	B	Dividend	N	T					
28. FIDELITY CAPITAL & INCM FD	C	Dividend	L	T					
29. ISHARES RUSSELL 1000 GROWTH ETF	B	Dividend	M	T	Sold (part)	03/22/17	K	D	
30.									
31. DODGE & COX GLOBAL STK	C	Dividend	L	T	Buy	05/04/17	L		
32. ISHARES MCSI EAFE ETF	A	Dividend	K	T	Buy	05/04/17	K		
33. VALLEY NATIONAL BANK		None	J	T					
34. THE AXA EQUITABLE VARIABLE LIFE INSURANCE POLICY									

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. Guaranteed Interest Account	A	Dividend	J	T					
36. EQ/Equity 500 Index	A	Dividend	J	T					
37. AXA Moderate - Plus Allocation	A	Dividend	J	T					
38. AXA Large Cap Growth Managed Volatility	A	Dividend	J	T					
39. EQ/Mid Cap Index	A	Dividend	J	T					
40. AXA International Value Managed Volatility	A	Dividend	J	T					
41. AXA Large Cap Value Managed Volatility	A	Dividend	J	T					
42. Charter Small Cap Value	A	Dividend	J	T					
43. EQ/Capital Guardian Research	A	Dividend	J	T					
44. EQUITABLE - SEP									
45. EQ Equity 500 Index	B	Dividend	M	T					
46. EQ International Equity Index	A	Dividend	J	T					
47. Osler Health Management, Inc. (formerly MDClick Holdings LLC)	A	Int./Div.	J	U					

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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.

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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/ 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
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