

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Dickson, Joseph A.	2. Court or Organization District Court - New Jersey	3. Date of Report 09/29/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge, Full Time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 1/1/2016 to 12/31/2016
7. Chambers or Office Address Martin Luther King, Jr. Courthouse & Federal Bldg. 50 Walnut Street P.O. Box 999 Newark, New Jersey 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.		
2.		
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 8

Name of Person Reporting

Dickson, Joseph A.

Date of Report

09/29/2017

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.

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. 2016

(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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Dickson, Joseph A.

Date of Report

09/29/2017

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 8

Name of Person Reporting

Dickson, Joseph A.

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09/29/2017

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. Voya Financial PHR026 401K									
2. -Bonds Alliance Bern f/k/a ING Opp Glb Strat Inc.	B	Int./Div.	K	T					
3. -Fidelity VIP Contrafund Port - Init	C	Int./Div.	K	T					
4. -Lord Abbett Mid-Cap Value Fund - A					Sold	02/01/16	K		
5. -Lord Abbett Small-Cap Fund - A					Sold	02/01/16	K		
6. -Templeton Foreign Fund - A	B	Int./Div.	K	T					
7. -Ariel Fund Investor	C	Int./Div.	K	T	Buy	02/01/16	K		
8. -VY JP Morgan Sm Cp Eq Prt	B	Int./Div.	K	T	Buy	02/01/16	K		
9. Bank of America Accounts (cash)	A	Interest	L	T					
10. Morgan Stanley Smith Barney (IRA)									
11. -Morgan Stanley Bank N.A. cash	A	Int./Div.	J	T					
12. -SA Sponsor AGR (stock)	A	Int./Div.	J	T					
13. -Unit First Trust Uncommon Values	A	Int./Div.	J	T					
14. -Exxon Mobile Corp. (stock)	A	Int./Div.	J	T					
15. -Allianceber Intl Value C (ABICX) mutual fund	A	Int./Div.	J	T					
16. -Blackrock Equity Dividend (MCDVX) mutual fund	B	Int./Div.	K	T					
17. -Franklin Income C (FCISX) mutual fund	B	Int./Div.	K	T					

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 5 of 8

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	(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)
18. -Legg Mason Capdmnt Opport C (LMOPX) mutual fund	B	Int./Div.	K	T					
19. -Loomis Sayles Strat Inc C (NECZX) mutual fund	A	Int./Div.	J	T					
20. -Equitable Life AXA Equitable - Elite 07 annuity	A	Int./Div.	J	T					
21. -Metlife Investors Class L annuity	B	Int./Div.	K	T					
22. Met Life 403(b) Savings Plan									
23. -Am Funds Gbl SC mutual fund	A	Int./Div.	J	T					
24. -American Funds GI Fund mutual fund	A	Int./Div.	J	T					
25. -Clarion Gbl Real Estate mutual fund	A	Int./Div.	J	T					
26. -Harris Oakmark Intl mutual fund					Merged (with line 32)	02/16/16	J		
27. -Fixed Interest Account	A	Int./Div.	J	T					
28. -TRP Midcap Growth mutual fund	A	Int./Div.	J	T					
29. -Russel 2000 Index mutual fund	A	Int./Div.	J	T					
30. -Clearbridge Aggressive Growth	A	Int./Div.	J	T	Buy	02/16/16	J		
31. -MFS Research Intl Mutual Fund	A	Int./Div.	J	T					
32. -American Funds Growth Fund	A	Int./Div.	J	T	Open	02/16/16	J		
33. Met Life 403(b) Savings Plan T Flex Annuity	D	Interest	M	T					
34. Met Life 457 Deferred Compensation Plan	C	Interest	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 6 of 8

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35. Nationwide Universal Life Insurance Policy	A	Dividend	J	T					
36. Nationwide Life Insurance Policy									
37. -Fidelity VIP Asset Manager, Initial Class (Mutual Fund)	A	Dividend	J	T					
38. -Fidelity VIP Growth, Initial Class (Mutual Fund)	A	Dividend	J	T					
39. -Janus Aspen Series Forty, Service Shares (Mutual Fund)	A	Dividend	J	T					
40. -NWD Var Ins Trst NVIT S&P 500 Index (Mutual Fund)	A	Dividend	J	T					
41. -NWD Var Ins Trst Oppen. NVIT Lg Cap Grth (Mutual Fund)(X)	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Dickson, Joseph A.

Date of Report

09/29/2017

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Dickson, Joseph A.

Date of Report

09/29/2017

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/ Joseph A. Dickson**

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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