

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, Lewis A.	2. Court or Organization U.S. District Court, S.D.N.Y.	3. Date of Report 08/03/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District 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 Daniel Patrick Moynihan United States Courthouse 500 Pearl Street New York, NY 10007		
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Partner	Handy Place Investment Partnership
2.	Trustee	Trust u/w/o deceased relative
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. Various

Pension and retirement plan pmts -pension plans for benefit of retirees of Random House, Inc.

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.)*SOURCEDATESLOCATIONPURPOSEITEMS 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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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. Citibank accounts	A	Interest	J	T					
2. PW 1986 EES lim ptn		None	J	W					
3. Handy Place Invest Part		None	J	W					
4. NYS MCFFA 5.125 12	B	Interest	J	T	Redeemed (part)	11/1/11	J	A	
5. NYS Env Fac 5.125 11	B	Interest			Sold	01/18/11	J	A	
6. NYS Dorm 5.125 11	B	Interest			Sold	05/16/11	L	A	
7. NYS Env Fac 4.55 13	B	Interest			Sold	07/18/11	L	A	
8. NYS Env Fac 4.95 17	C	Interest			Sold	07/18/11	M	A	
9. NYC Trans 5.0 19	B	Interest			Redeemed	11/01/11	K	A	
10. NYC 4.375 11 (E)	B	Interest			Sold	03/15/11	M	A	
11. MTA 5.0 23	C	Interest	M	T					
12. GECC 4.75 13	D	Interest	M	T					
13. NYC Ser J 4.625 18	C	Interest	M	T					
14. NYS Dorm 5.0 19 (mult. issues)	D	Interest	M	T					
15. MTA 4.75 26	D	Interest	N	T					
16. Long Island Pwr 4.75 24	D	Interest	M	T					
17. NYS Dorm 4.75 25	A	Interest	J	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 –\$250,000,001 - \$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	L –\$50,001 - \$100,000 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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☐ 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. Port Auth NY&NJ 4.2 19 (E)	B	Interest	K	T					
19. JP Morgan Chase accts	A	Interest	K	T					
20. NY Life whole life policies	B	Dividend	L	T					
21. Ulster Co 4.25 21	C	Interest	L	T					
22. NYS Dorm 4.0 19 (E)	B	Interest	L	T					
23. New York NY Ser N 4.0 17	A	Interest	K	T					
24. Minisink CSD 4.0 12	A	Interest	K	T					
25. Wayne CSD 4.0 20	A	Interest	K	T					
26. Brookhaven CSC	A	Interest	K	T					
27. GECC 5.0 16	B	Interest	K	T					
28. NYS Dorm 4.0 19	A	Interest	K	T					
29. National Union Bank of [locality]	A	Int./Div.	J	T					
30. New York NY IDA 4.0 17	B	Interest	K	T					
31. Clarkstown 4.25 20 (E)	B	Interest	K	T					
32. NYC 5.0 21 (E)	B	Int./Div.	L	T					
33. Port Auth 4.75 32	C	Int./Div.	L	T					
34. NYS Twy 3.5 18	B	Int./Div.	L	T					

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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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)

35. NYS Twy 4.5 28	C	Int./Div.	L	T					
36. Discover Bank 3.4 11	A	Int./Div.			Redeemed	02/02/11	K	A	
37. JP Morgan Chase (IRA)	A	Int./Div.	N	T					
38. Pimco Fds Total Return	E	Distribution	O	T					
39. JP Morgan Tax Free Money Mkt (E)	A	Interest	L	T					
40. NYC Trans Fin 5.25 12 (E)	B	Interest	K	T					
41. Unadilla NY 4.0 13 (E)	A	Interest	K	T					
42. Islip NY 5.0 14 (E)	B	Interest	K	T					
43. Nassau Co. NY 4.0 14 (E)	A	Interest	K	T					
44. Perinton NY 3.25 15 (E)	A	Interest	K	T					
45. Ithaca NY 4.0 16 (E)	B	Interest	K	T					
46. JP Morgan Treas Agy Fd	A	Distribution	K	T					
47. JP Morgan Strategic Inc Fd	D	Distribution	O	T					
48. JP Morgan Int'l Currency Fd	B	Distribution	M	T					
49. JP Morgan US Equity Fd	B	Distribution	M	T					
50. JP Morgan Short Duration Bd Fd	D	Distribution	N	T					
51. JP Morgan brokerage accts	A	Interest	O	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	

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52. JP Morgan Tax Free Money Mkt	A	Int./Div.	K	T					
53. Schenectady Co. NY 2.0 11	A	Interest			Redeemed	12/15/11	K	A	
54. Ithaca NY 4.0 13	B	Interest	K	T					
55. Islip NY 5.0 14	C	Interest	L	T					
56. Nassau Co. NY 4.0 14	A	Interest	K	T					
57. Perinton NY 3.25 15	A	Interest	K	T					
58. Niskayuna NY 3.375 16	A	Interest	K	T					
59. Dutchess Co. NY 5.0 18	B	Interest	K	T					
60. Orange Co. NY 4.25 19	B	Interest	K	T					
61. JP Morgan Chase checking accounts	A	Interest	K	T					
62. JP Morgan Treas & Agency Fd	A	Int./Div.	K	T					
63. Pimco Funds Total Return	C	Distribution	M	T					
64. JP Morgan Strategic Income	D	Distribution	M	T					
65. JP Morgan International Value Fund	A	Distribution	J	T					
66. JP Morgan US Equity Fund	A	Distribution	K	T					
67. JP Morgan Short Duration Bond Fd	A	Distribution	K	T					
68. JP Morgan brokerage accts	A	Interest	M	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	
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69. JP Morgan Tax Free Money Market Fd	A	Int./Div.	L	T					
70. Schenectady Co. NY 2.0 11	A	Interest			Redeemed	12/15/11	K	A	
71. Ithaca NY 4.0 12	B	Interest	K	T					
72. Clarkstown NY 3.5 12	A	Interest	K	T					
73. Perinton NY 3.25 13	A	Interest	K	T					
74. Unadilla NY 4.0 14	A	Interest	K	T					
75. Nassau Co. NY 4.0 14	A	Interest	K	T					
76. Artio Intl Eq II	A	Distribution	L	T					
77. Causeway Int Value	A	Distribution			Sold	10/18/11	L	A	
78. Eaton Vance Spl Inv Trust	B	Distribution			Sold	10/21/11	M	A	
79. JP Morgan Intl Value	B	Distribution	K	T					
80. JP Morgan High Yield Bond	D	Distribution	M	T					
81. JP Morgan Core Bond	C	Distribution	M	T					
82. Falconer CSD 4.0 15	C	Interest	L	T					
83. Albany Co. 4.0 13	B	Interest	L	T					
84. Falconer CSD 4.75 20	B	Interest	K	T					
85. Marietta Ga 4.0 16	B	Interest	L	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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86. Nassau Co. 5.0 14	C	Interest	L	T					
87. Pembroke CSD 4.0 20	C	Interest	M	T					
88. Skaneateles CSD 4.5 19	B	Interest	L	T					
89. Starpoint CSD 4.0 15	C	Interest	L	T					
90. Causeway Intl Value	A	Distribution			Sold	10/19/11	J	A	
91. Eaton Vance Sp Inv Trust	A	Distribution			Sold	10/20/11	K	A	
92. JP Morgan Int'l Currency	A	Distribution	K	T					
93. Artio Intl Eq II	A	Distribution	J	T					
94. JP Morgan High Yield Bond	B	Distribution	K	T					
95. Am Century Eq Inc Fd	B	Distribution	L	T					
96. JP Morgan Core Bond	A	Distribution	K	T					
97. Ellenville CSD 4.0 16	A	Interest	K	T					
98. Falconer CSD 4.75 20	B	Interest	K	T					
99. Hawaii 4.0 15	A	Interest	K	T					
100. NYS Twy 2.5 11	A	Interest			Redeemed	04/11/11	K	A	
101. Ozark Mo 4.0 18	A	Interest	K	T					
102. Port Jefferson 3.5 15	A	Interest	K	T					

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103. Rocky Point CSD 4.0 16	A	Interest	K	T					
104. Three Village CSD 3.0 13	A	Interest	K	T					
105. New Mexico 4.0 18 (E)	A	Interest	K	T					
106. Hewlett Woodmere 4.0 20 (E)	A	Interest	K	T					
107. Riverhead 4.0 18 (E)	A	Interest	K	T					
108. Rocky Point CSD 4.0 16 (E)	A	Interest	K	T					
109. Alpine Ut 4.0 13 (E)	A	Interest	K	T					
110. Dallas Tx Comm Coll 4.0 17	A	Interest	K	T					
111. Wallkill 3.5 17	B	Interest	K	T					
112. NYS Dorm 4.5 15	C	Interest	L	T					
113. No. Colonie CSD 4.0 12	A	Interest	K	T					
114. Oldham Ky 4.0 17 (E)	A	Interest	K	T	Buy	06/22/11	K		
115. NYS Dorm 4.0 12 (E)		None	K	T	Buy	06/16/11	K		
116. NYS Env Fac 5.0 15 (E)	B	Interest	K	T	Buy	03/31/11	K		
117. Albany Co. 4.0 13 (E)	B	Interest	K	T	Buy	03/28/11	K		
118. Greece NY 4.125 17 (E)	A	Interest	K	T	Buy	03/23/11	K		
119. NYS Dorm 5.125 11 (E)	B	Interest			Sold	05/16/11	K	A	

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
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	(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)
120. Babylon 4.0 21 (E)	A	Interest	K	T	Buy	04/06/11	K		
121. Am Century Eq Inc Fd	D	Distribution	M	T					
122. NYS Twy 4.0 14	A	Interest	K	T	Buy	08/17/11	K		
123. NYC 3.625 13	A	Interest	K	T	Buy	07/28/11	K		
124. Plainview Old Beth 4.0 21		None	K	T	Buy	11/29/11	K		

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Kaplan, Lewis A.

Date of Report

08/03/2012

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

1. (E) designates assets held as trustee u/w/o deceased relative
2. Part VII, line 29
- name of locality omitted for security reasons
3. Income for 1986 EES and Handy Place partnerships equals distributions

FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

Kaplan, Lewis A.

Date of Report

08/03/2012

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/ **Lewis A. 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
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Washington, D.C. 20544