

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 12/29/2014
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 01/01/2013 to 12/31/2013
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.		

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	Trust
2.	Trustee	Trust
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 10/2013	Fee for lecture - St. John's University School of Law	\$1,500.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

<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.)*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. GECC 4.75 13	C	Interest			Redeemed	02/15/13	J	A	
3. NYC Ser J 4.625 18	C	Interest	M	T					
4. MTA 4.75 26	D	Interest	N	T					
5. Long Island Pwr 4.75 24	C	Interest	M	T					
6. Port Auth NY&NJ 4.2 19 (E)	B	Interest	K	T					
7. JP Morgan Chase accts (S)	A	Interest	J	T					
8. NY Life whole life policies	B	Dividend	N	T					
9. Ulster Co 4.25 21	C	Interest	L	T					
10. NYS Dorm 4.0 19 (E)	B	Interest	L	T					
11. New York NY Ser N 4.0 17 (S)	A	Interest	K	T					
12. Minisink CSD 4.0 12 (S)	A	Interest	K	T					
13. Wayne CSD 4.0 20 (S)	A	Interest	K	T					
14. Brookhaven CSD (S)	A	Interest	K	T					
15. GECC 5.0 16 (S)	B	Interest	K	T					
16. NYS Dorm 4.0 19 (S)	A	Interest	K	T					
17. National Union Bank [REDACTED]	A	Int./Div.	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 –\$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	
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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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)

18. New York NY IDA 4.0 17 (S)	B	Interest	L	T					
19. Clarkstown 4.25 20 (E)	B	Interest	K	T					
20. NYC 5.0 21 (E)	B	Interest	L	T					
21. Port Auth 4.75 32	C	Interest	L	T					
22. NYS Twy 3.5 18	B	Interest	L	T					
23. NYS Twy 4.5 28	C	Interest	L	T					
24. JP Morgan Chase (IRA)	A	Interest	N	T					
25. Pimco Fds Total Return	D	Dividend			Sold	06/04/13	O	F	
26. JP Morgan Tax Free Money Mkt (E)	A	Dividend	K	T					
27. Unadilla NY 4.0 13 (E)	A	Interest			Redeemed	06/17/13	K	A	
28. Islip NY 5.0 14 (E)	B	Interest	K	T	Sold (part)	04/22/13	K	A	
29. Nassau Co. NY 4.0 14 (E)	A	Interest	K	T					
30. Perinton NY 3.25 15 (E)	A	Interest			Redeemed	12/16/13	K	A	
31. Ithaca NY 4.0 16 (E)	A	Interest	K	T					
32. JP Morgan Treas Agy Fd (S)	A	Distribution	K	T					
33. JP Morgan Strategic Inc Fd	E	Distribution	O	T					
34. JP Morgan US Equity Fd	C	Dividend	N	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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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.	E	Distribution							
36. JP Morgan Short Duration Bd Fd	C	Dividend	N	T					
37.	A	Distribution							
38. JP Morgan brokerage accts	A	Interest	O	T					
39. JP Morgan Tax Free Money Mkt	A	Dividend	K	T					
40.	A	Interest							
41. Ithaca NY 4.0 13	A	Interest			Redeemed	01/15/13	K	A	
42. Islip NY 5.0 14	C	Interest	L	T					
43. Nassau Co. NY 4.0 14	A	Interest	K	T					
44. Perinton NY 3.25 15	A	Interest	K	T					
45. Niskayuna NY 3.375 16	A	Interest	K	T					
46. Dutchess Co. NY 5.0 18	B	Interest	K	T					
47. Orange Co. NY 4.25 19	B	Interest	K	T					
48. JP Morgan Chase checking accounts	A	Interest	K	T					
49. JP Morgan Treas & Agency Fd	A	Int./Div.	K	T					
50. Pimco Funds Total Return	B	Dividend			Sold	06/06/13	M	C	
51. JP Morgan Strategic Income	C	Dividend	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	
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)

52. JP Morgan International Value Fund	A	Dividend	K	T					
53. JP Morgan US Equity Fund	A	Dividend	L	T					
54.	C	Distribution							
55. JP Morgan Short Duration Bond Fd	A	Dividend	K	T					
56.	A	Distribution							
57. JP Morgan brokerage accts	B	Interest	M	T					
58. JP Morgan Tax Free Money Market Fd	C	Int./Div.	L	T					
59. Perinton NY 3.25 13	A	Interest	K	T					
60. Unadilla NY 4.0 14	A	Interest	K	T					
61. Nassau Co. NY 4.0 14	A	Interest	K	T					
62. JP Morgan Intl Value	A	Dividend	L	T					
63. JP Morgan High Yield Bond	D	Distribution	M	T					
64.	D	Dividend							
65. JP Morgan Core Bond	D	Dividend	M	T					
66.	B	Distribution							
67. Falconer CSD 4.0 15	C	Interest	L	T					
68. Albany Co. 4.0 13	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	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market	

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69. Falconer CSD 4.75 20	B	Interest	K	T					
70. Marietta Ga 4.0 16	B	Interest	L	T					
71. Nassau Co. 5.0 14	B	Interest	L	T					
72. Pembroke CSD 4.0 20	C	Interest	M	T					
73. Starpoint CSD 4.0 15	B	Interest	L	T					
74. JP Morgan High Yield Bond	A	Distribution	K	T					
75.	B	Dividend							
76. Am Century Eq Inc Fd	B	Dividend	L	T					
77.	C	Distribution							
78. JP Morgan Core Bond	A	Distribution	L	T					
79.	B	Dividend							
80. Ellenville CSD 4.0 16	A	Interest	K	T					
81. Falconer CSD 4.75 20	B	Interest	K	T					
82. Hawaii 4.0 15	A	Interest	K	T					
83. Ozark Mo 4.0 18	A	Interest	K	T					
84. Port Jefferson 3.5 15	A	Interest	K	T					
85. Rocky Point CSD 4.0 16	A	Interest	K	T					

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86. Three Village CSD 3.0 13	A	Interest			Redeemed	12/16/13	K	A	
87. New Mexico 4.0 18	A	Interest	K	T					
88. Hewlett Woodmere 4.0 20	A	Interest	K	T					
89. Riverhead 4.0 18	A	Interest	K	T					
90. Rocky Point CSD 4.0 16	A	Interest	K	T					
91. Alpine Ut 4.0 13	A	Interest	K	T					
92. Dallas Tx Comm Coll 4.0 17	A	Interest	K	T					
93. Wallkill 3.5 17	A	Interest	K	T					
94. NYS Dorm 4.5 15	B	Interest	L	T					
95. NYS Env Fac 5.0 15	B	Interest	K	T					
96. Albany Co. 4.0 13	A	Interest			Redeemed	11/01/13	K	A	
97. Greece NY 4.125 17	B	Interest	K	T					
98. Am Century Eq Inc Fd	E	Distribution	N	T					
99.	D	Dividend							
100. NYS Twy 4.0 14	A	Interest	K	T					
101. NYC 3.625 13	A	Interest	K	T					
102. Plainview Old Beth 4.0 21	B	Interest	K	T					

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103. Putnam Co NY 4.0 16	A	Interest	K	T					
104. Island Trees UFSD 4.0 22	A	Interest	K	T					
105. Triboro BTA 4.0 20	A	Interest	K	T					
106. Bethlehem CSD 4.0 17	C	Interest	L	T					
107. Westchester Co 3.0 18	B	Interest	L	T					
108. Edgemont UFSD 4.0 20	A	Interest	K	T					
109. Edgemont 3.0 16	A	Interest	K	T					
110. Ontario Co 3.0 16	A	Interest	L	T					
111. Sachem CSD 3.0 18	A	Interest	K	T					
112. JP Morgan Equity Inc Fd	B	Distribution	N	T	Buy (add'l)	06/13/13	L		
113.	C	Dividend							
114. JP Morgan Tr I Mlt SC Inc	B	Distribution	L	T					
115. Rockville Centre 4.0 22	A	Interest	K	T					
116. Edgemont NY UFSD 4.0 22	A	Interest	K	T					
117. New Hyde Pk UFSD 4.0 22	A	Interest	K	T					
118. East Islip UFSD 4.0 21	A	Interest	K	T					
119. Roslyn NY UFSD 3.0 18	A	Interest	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	
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120. NYS Env Facs 4.0 18	A	Interest	K	T					
121. JP Morgan Equity Inc	B	Distribution	L	T	Buy (add'l)	06/14/13	K		
122.	A	Dividend							
123. JP Morgan Tr I Mlt SC Inc	A	Dividend	K	T					
124. Federated Tax Free Oblig Fd Inst Sh	A	Interest	M	T					
125. Columbia Value and Restr. Fund Cl. Z	C	Dividend	K	T					
126.	C	Distribution							
127. Janus Enterprise Fd Cl I	A	Dividend	K	T					
128.	B	Distribution							
129. Lazard Emerg. Mkts Eq Portfolio Inst Cl	A	Dividend	K	T					
130.	B	Distribution							
131. Oppenheimer Intl Growth Fd Cl Y	A	Dividend	K	T	Buy	09/27/13	K		
132. Thornburg Int' Value Fd Cl I	A	Dividend			Sold	09/27/13	K	B	
133. Weingarten Rlty Invs Sh Ben Int	A	Dividend	J	T					
134. JP Morgan Floating Rate Inc Fd	A	Distribution	M	T	Buy	06/13/13	M		
135.		Dividend							
136. JP Morgan Large Cap Growth Fd		None	M	T	Buy	06/13/13	L		

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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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)
137. JP Morgan Floating Rate Inc Fd	B	Dividend	L	T	Buy	06/14/13	K		
138.	A	Distribution							
139. JP Morgan Large Cap Growth Fd		None	K	T	Buy	06/13/13	K		
140. Erie Co. 5.0 23		None	K	T	Buy	08/27/13	K		
141. NYS Bridge Auth 4.0 23		None	K	T	Buy	12/13/13	K		
142. Cold Spring Hrbr 2.1 20		None	K	T	Buy	08/02/13	K		
143. North Shore CSD 4.0 19	A	Interest	K	T	Buy	03/07/13	K		
144. North Shore CSD 4.0 21	A	Interest	K	T	Buy	03/07/13	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	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

1. (E) designates assets held as trustee [REDACTED]
2. (T) designates assets held as trustee [REDACTED]
3. In response to the Committee's communication, please note that "Edgemont 3.0 16" at Part VII, page 10, line 109, of this report is reflected also in Part VII, page 11, line 126 of the amended 2012 report, dated August 11, 2014. The security reported in those two places is the same security.
4. In response to the Committee's communication, please note that the listings at Part VII, pages 6 and 7, lines 38 and 57, for "JP Morgan brokerage accts." reflect only cash balances and interest thereon. The individual non-cash assets are mutual funds listed elsewhere in the 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/ 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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544