

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) Kaplan, Lewis A.	2. Court or Organization U.S. District Court, S.D.N.Y.	3. Date of Report 05/15/2018
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 01/01/2017 to 12/31/2017
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 #1
2.	Trustee	Trust #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 15

Name of Person Reporting

Kaplan, Lewis A.

Date of Report

05/15/2018

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.		
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. 2017	Pension and retirement plan pmts-pension plans for benefit of retirees of Random House, Inc.
2. 2017	Newspaper Guild NY - NY Times pension
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. University of Texas Law School	September 14-15, 2017	Austin, TX	Seminar	Transportation, lodging, and meals
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 15

Name of Person Reporting

Kaplan, Lewis A.

Date of Report

05/15/2018

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 15

Name of Person Reporting

Kaplan, Lewis A.

Date of Report

05/15/2018

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 (various accounts)	A	Interest	J	T					
2. JP MORGAN CHASE (various accounts)	A	Interest	M	T					
3. NATIONAL UNION BANK	A	Dividend	J	T					
4. NY LIFE INS. (whole life policies)	B	Int./Div.	L	T					
5. BROKERAGE ACCOUNT #1 (H)									
6. JPM TAX FREE MMKT INST SWEEP FD (cash)	A	Interest	K	T					
7. BETHLEHEM NY CENTRL SCH DIST 087329-LE-6 NR /AA3	A	Int./Div.			Redeemed	01/17/17	K		
8. WALLKILL NEW YORK PUB IMPT 932610-MC-9 AA /A2	A	Int./Div.			Redeemed	01/17/17	K		
9. COUNTY OF DALLAS TEXAS COMMUNITY COLLEGE DIST 234685- JS-5 AAA /AAA		None			Redeemed	02/15/17	J		
10. COUNTY OF ORANGE NEW YORK VAR PURP 684575-R9-6 NR /AA3	B	Int./Div.			Redeemed	07/03/17	K		
11. STATE OF NEW YORK TOLLWAY AUTHORITY ST PERS 650028-NX-7 AAA /AA1	B	Int./Div.	K	T					
12. NY CITY NY MUNI WTR FIN AUTH WTR & SWR SYS 64972F-A5-5 AA+ / AA1	A	Int./Div.	K	T					
13. COUNTY OF DUTCHESS NEW YORK 267039-K5-3 NR /AA2	B	Int./Div.			Redeemed	10/02/17	K		
14. NY ST REF-SER C 649791-JB-7 AA+ / AA1	A	Int./Div.	K	T					
15. PORT WA NY UN FREE SCH DIST REF 735581-LU-2 NR /AA2	B	Int./Div.	K	T					
16. NORTH SHORE NY CENTRL SCH DIST 662323-HJ-6 NR /AA1	A	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 = \$250,000.001 - \$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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 15

Name of Person Reporting

Kaplan, Lewis A.

Date of Report

05/15/2018

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)

17. FALCONER NEW YORK CENTRAL SCHOOL 306117-CU-4 AA /A2	B	Int./Div.	K	T					
18. PEMBROKE NEW YORK CENTRAL SCHOOL 706427-BY-6 AA- /NR	B	Int./Div.	L	T					
19. TRIBOROUGH NY BRIDGE & TUNNEL AUTH REVENUES 89602N-ZB-3 AA- /AA3	A	Int./Div.	K	T					
20. WESTCHESTER CNTY NY SER B 95736U-ZS-6 AAA /AA1	A	Int./Div.	K	T					
21. PLAINVIEW OLD BETHPAGE NY CENTRL SCH 726715-HX-6 AAA /NR	B	Int./Div.	K	T					
22. NASSAU CNTY NY INTERIM FIN AUTH 631663-NN-7 AAA /NR	A	Int./Div.	K	T					
23. SHENENDEHOWA NY CENTRL SCH DIST REF 823194-F2-6 AA /NR	B	Int./Div.	K	T					
24. ISLAND TREES NY UNION FREE 464568-GK-4 NR /AA2	B	Int./Div.	K	T					
25. SARATOGA SPRINGS NY REF-PUB IMPT 803531-TR-3 AA+ /NR	A	Int./Div.	K	T					
26. NY CITY NY TRNSTIONAL FIN AUTH REV FUTURE 64971W-FV-7 AAA /AA1	B	Int./Div.	K	T					
27. NY ST DORM AUTH ST PERSNL INC TAX 64990E-3R-6 AAA /AA1	A	Int./Div.	K	T					
28. NY ST DORM AUTH REVS NON ST SUPPORTED DEBT GR NECK 649907-Z3-9 NR/AAA	B	Int./Div.	K	T					
29. NY ST ENVRNMNTL FACS CORP ST CLEAN WTR & DRINKING 64986A-Z6-1 AAA /AAA	B	Int./Div.	K	T					
30. HUDSON YDS INFRASTRUCTURE CORP NY 2ND INDENT (44420R-AM-2)	A	Int./Div.	K	T	Buy	11/29/17	K		
31. NY ST DORM AUTH SALES TAX REV 64990A-DR-3 AAA /AA1	B	Int./Div.	K	T					
32. SALES TAX ASSET RECEIVABLE CORP NY 794665-FM-6 AAA /AA1	A	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 6 of 15

Name of Person Reporting

Kaplan, Lewis A.

Date of Report

05/15/2018

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)

33. PORT AUTHORITY NEW YORK & NEW JERSEY CONS 73358T-M2-4 AA- /AA3	B	Int./Div.			Redeemed	11/15/17	K		
34. NY CTY NY TR CULTURAL RES REF - MUSEUM OF MODERN ART (649717-S2-9)	B	Int./Div.	K	T	Buy	01/18/17	K		
35. ARLINGTON NY CENTRAL SCH DIST REF UNLTD TAX (041717-NR-6)	A	Int./Div.	K	T	Buy	02/03/17	K		
36. SOUTHAMPTON NY UN FREE SCHOOL REF UNLIMITED TAX (841098-DS-2)	A	Int./Div.	K	T	Buy	04/19/17	K		
37. MONROE CNTY NY INDL DEN CORP REV REF - U OF ROCHESTER PR (61075T-RY-6)		None	K	T	Buy	12/05/17	K		
38. MET TRANSPRTN AUTH REV GREEN BDS REF SER C (59261A-PX-9)		None	K	T	Buy	11/22/17	K		
39. UTIL DEBT SECURITIZATION AUTH NY REF RESTR SER A (91802R-CK-3)	A	Int./Div.	K	T	Buy	10/03/17	K		
40. 0BROKERAGE ACCOUNT #2 (H)									
41. JPM TAX FREE MMKT INST SWEEP FD (cash)	A	Interest	K	T					
42. BETHLEHEM NY CENTRL SCH DIST 087329-LE-6 NR /AA3	A	Int./Div.			Redeemed	01/17/17	K		
43. CITY OF NEW YORK N Y REF 64966G-AK-8 AA /AA2	A	Int./Div.			Redeemed	02/01/17	K		
44. WESTCHESTER CNTY NY LIMITED 95736U-YW-8 AAA /AA1	B	Int./Div.	L	T					
45. SACHEM NY CENTRL SCH DIST OF HOLBROOK 785721-TR-2 AA /NR	B	Int./Div.	K	T					
46. STATE OF NEW YORK THRUWAY AUTHORITY ST PERS 650028-PM-9 AAA /AA1	A	Int./Div.	K	T					
47. ARLINGTON NEW YORK CENTRAL SCHOOL 041717-LD-9 AA- /NR	B	Int./Div.	L	T					
48. PORT WA NY UN FREE SCH DIST REF 735581-LU-2 NR /AA2	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 7 of 15

Name of Person Reporting

Kaplan, Lewis A.

Date of Report

05/15/2018

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)
49. COLD SPRING HBR NY CENTRL SCH DIST REF 192867-FM-6 AAA /NR	B	Int./Div.	K	T					
50. PEMBROKE NEW YORK CENTRAL SCHOOL 706427-BY-6 AA- /NR	B	Int./Div.	L	T					
51. EDGEMONT NY UN FREE SCH DIST OF GREENBURGH 280101-DP-8 NR /AA2	A	Int./Div.	K	T					
52. ISLIP NY REF 464722-6W-2 AA+ /AA1	B	Int./Div.	K	T					
53. NY ST DORM AUTH SALES TAX REV 64990A-BA-2 AAA /AA1	B	Int./Div.	K	T					
54. NORTH SHORE NY CENTRL SCH DIST 662323-HL-1 NR /AA1	A	Int./Div.	K	T					
55. SHENENDEHOWA NY CENTRL SCH DIST REF 823194-F2-6 AA /NR	B	Int./Div.	K	T					
56. NY CITY NY MUNI WTR FINAUTH WTR & SWR SYS REV 64972G-DT-8 AA + /AA1	B	Int./Div.	K	T					
57. PITTSFORD NY CENTRL SCH DIST 725635-EJ-1 NR /AA1	A	Int./Div.	K	T					
58. SARATOGA SPRINGS NY REF-PUB IMPT 803531-TR-3 AA+ /NR	B	Int./Div.	K	T					
59. NY CITY NY TRNSTIONAL FIN AUTH REV 64971W-FV-7 AAA /AA1	B	Int./Div.	K	T					
60. NY ST REF SER C UNLTD TAX (649791-ME-7)		None	K	T	Buy	01/31/17	K		
61. NY ST ENVRNMNTL FACS CORP ST CLEAN WTR & DRINKING 64986A-Z6-1 AAA /AA	B	Int./Div.	K	T					
62. NY CITY NY TRNSTIONAL FIN AUTH BLDG AID REV 64972H-VC-3 AA /AA2	B	Int./Div.	K	T					
63. NY ST DORM AUTH REVS NON ST 649907-Z4-7 NR /AAA	B	Int./Div.	K	T					
64. ONONDAGA CNTY NY 682745-7H-1 AA + /AA2	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 = \$250,000,001 - \$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 8 of 15

Name of Person Reporting

Kaplan, Lewis A.

Date of Report

05/15/2018

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)
65. UTIL DEBT SECURITIZATION AUTH NY 91802R-BZ-1 AAA /AAA	B	Int./Div.	K	T					
66. PORT CHESTER NY REF-PUBLIC IMPT- SER 733760-US-9 NR /AA3	A	Int./Div.	K	T					
67. PORT AUTHORITY NEW YORK & NEW JERSEY CONS 73358T-M2-4 AA- /AA3	B	Int./Div.			Redeemed	11/15/17	K		
68. HUDSON YDS INFRASTRUCTURE CORP NY 2ND INDENT (44420R-AM-2)	A	Int./Div.	K	T	Buy	05/24/17	K		
69. NY ST URBAN DEV CORP REF PERS INCOME TAX SER A (650035-T9-9)	B	Int./Div.	K	T	Buy	02/07/17	K		
70. BROKERAGE ACCOUNT #3 (H)									
71. JPM TAX FREE MMKT INST SWEEP FD (cash)	A	Interest	J	T					
72. MAHOPAC NY CENT SCH DIST 560177- GW-1 NR /AA2	A	Int./Div.			Redeemed	06/01/17	K		
73. OZARK MISSOURI REORG SCHOOL DISTRICT 692634-CZ-9 AA+ /NR	A	Int./Div.	K	T					
74. ROSLYN NY UN FREE SCH DIST 778190-FY-9 NR /AA1	A	Int./Div.	K	T					
75. NY ST ENVRNMNTL FACS CORP REV 64985H-JV-0 AAA /AAA	A	Int./Div.	K	T					
76. HALFMOON NY REF-PUB IMPT 405729- LR-3 AA /NR	A	Int./Div.	K	T					
77. HILTON NY CENTRL SCH DIST 432884- MJ-0 AA- /NR	A	Int./Div.	K	T					
78. FALCONER NEW YORK CENTRAL SCHOOL 306117-CU-4 AA /A2	B	Int./Div.	K	T					
79. SHENENDEHOWA NY CENTRL SCH DIST REF 823194-E7-6 AA /NR	A	Int./Div.	K	T					
80. NY CITY NY TR FOR CULTURAL RES 649717-RK-3 AA /AA2	A	Int./Div.	K	T					
81. EAST ISLIP NY UNION FREE SCH DIST 273173-KC-7 AA /NR	A	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 9 of 15

Name of Person Reporting

Kaplan, Lewis A.

Date of Report

05/15/2018

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)
82. PITTSFORD NY CENTRL SCH DIST 725635-EJ-1 NR /AA1	A	Int./Div.	K	T					
83. NY ST DORM AUTH REVS NON ST 649907-A7-7 AA /NR	B	Int./Div.	K	T					
84. NEW HYDE PARK & GARDEN CITY PARK NY 645541-CY-7 NR /AA2	A	Int./Div.	K	T					
85. HAVERSTRAW-STONY POINT NY CENTRL SCH 419578-RM-3 NR/AA2	A	Int./Div.	K	T					
86. PINE BUSH NY CENTRL SCH DIST 722477-LQ-7 NR /AA3	B	Int./Div.	K	T					
87. NY ST UNLIMITED TAX A 649791-HH-6 AA+ /AA1	A	Int./Div.	K	T					
88. CLARKSTOWN NY CENTRL SCH DIST 182324-UU-5 NR /AA2	A	Int./Div.	K	T					
89. NY ST DORM AUTH REVS NON ST 649907-Z3-9 NR /AAA	A	Int./Div.	K	T					
90. NY ST DORM AUTH ST PERSNL INC TAX 64990E-YE-1 AAA /AA1	A	Int./Div.	K	T					
91. PORT AUTH OF NY & NJ NY CONSOL- ONE 73358W-RR-7 AA- /AA3	B	Int./Div.	K	T					
92. UTIL DEBT SECURITIZATION AUTH NY 91802R-BZ-1 AAA /AAA	A	Int./Div.	K	T					
93. HUDSON YDS INFRASTRUCTURE CORP NY 2ND INDENT (44420R-AM-2)	A	Int./Div.	K	T	Buy	05/31/17	K		
94. IRA #1 (H)									
95. JPM CHASE (cash)	A	Interest	N	T					
96. AMER CENTURY EQUITY INCOME- INV	D	Int./Div.	N	T	Redeemed (part)	12/13/17	K		
97. JPM EQUITY INCOME FD 4812C0-49-8 HLIE X	D	Int./Div.	O	T	Redeemed (part)	12/14/17	J		
98. JPM LARGE CAP GROWTH FD	D	Int./Div.	N	T	Redeemed (part)	10/26/17	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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 15

Name of Person Reporting

Kaplan, Lewis A.

Date of Report

05/15/2018

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)
99. JPM US EQUITY FD	D	Int./Div.	O	T	Redeemed (part)	12/14/17	K		
100. JPM VALUE ADVANTAGE FD	C	Int./Div.	N	T	Redeemed (part)	12/14/17	J		
101. JPM STRATEGIC INCOME OPPORTUNITIES FD	D	Int./Div.	N	T					
102. JPM CORE BOND FD	E	Int./Div.	O	T	Redeemed (part)	12/14/17	J		
103. JPM SHORT DURATION BOND FD	D	Int./Div.	O	T					
104. JPM UNCONSTRAINED DEBT FD	C	Int./Div.	M	T					
105. JPM FLOATING RATE INCOME FD (Y)									
106. JPM MANAGED INCOME FD	C	Int./Div.	M	T					
107. IRA #2 (H)									
108. JPM CHASE (cash)	A	Interest	K	T					
109. AMER CENTURY EQUITY INCOME- INV	C	Int./Div.	L	T	Redeemed (part)	12/13/17	J		
110. JPM EQUITY INCOME FD	C	Int./Div.	M	T	Redeemed (part)	12/14/17	J		
111. JPM LARGE CAP GROWTH FD	D	Int./Div.	K	T					
112. JPM US EQUITY FD	B	Int./Div.	K	T	Redeemed (part)	12/14/17	J		
113. JPM VALUE ADVANTAGE FD - SEL FUND 1399 4812A2-59-5 JVAS X	A	Int./Div.	K	T					
114. JPM STRATEGIC INCOME OPPORTUNITIES FD	C	Int./Div.	L	T					
115. JPM CORE BOND FD	C	Int./Div.	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 ~\$250,001 - \$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 11 of 15

Name of Person Reporting

Kaplan, Lewis A.

Date of Report

05/15/2018

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)
116. JPM SHORT DURATION BOND FD	B	Int./Div.	M	T					
117. JPM UNCONSTRAINED DEBT FD	A	Int./Div.	K	T					
118. JPM FLOATING RATE INCOME FD (Y)									
119. IRA #3 (H)									
120. JPM EQUITY INCOME FD	A	Int./Div.	K	T	Redeemed (part)	11/22/17	J	A	
121. JPM CORE BOND FD	A	Int./Div.	J	T					
122. JPM TREASURY & AGENCY FD	A	Int./Div.			Redeemed (part)	11/22/17	J		
123.					Redeemed	12/11/17	K		
124. JPM UNCONSTRAINED DEBT FD	A	Int./Div.	J	T					
125. TRUST #1 (H)									
126. JPM TAX FREE MMKT INST SWEEP FD (cash)	A	Interest	J	T					
127. ALPINE UTAH SCH DIST REF 021087- QJ-3 NR /AAA	A	Int./Div.			Redeemed	03/15/17	K		
128. STATE NEW MEXICO UNIVERSITY 647421-BD-7 AA- /AA3	A	Int./Div.			Expired	10/19/17	K		
129. NM ST UNIV RGTS IMPT R PREDERED REF & IMPT SER A (647421-CT-1) (X)		None	J	T					
130. NM ST RGTS IMPT R UNREFDED - REF & IMPT SER A (647421-CU-8) (X)		None	K	T					
131. HEWLETT WOODMERE NY UN FREE SCH DIST 428246-EV-0 NR /AA1	A	Int./Div.	K	T					
132. RIVERHEAD NY 768738-UB-0 AA- /AA3		None	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 12 of 15

Name of Person Reporting

Kaplan, Lewis A.

Date of Report

05/15/2018

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)
133. METROPOLITAN TRANSPORTATION AUTH NY DEDICATED TAX FD (59259N-ZF-3)	A	Int./Div.	K	T	Buy	07/27/17	K		
134. NASSAU CNTY NY INTERIM FIN AUTH 631663-NV-9 AAA /NR	B	Int./Div.	K	T					
135. CLARKSTOWN NEW YORK 182306- XX-3 AA+ /AA3	A	Int./Div.			Redeemed	06/15/17	K		
136. ERIE CNTY NY INDL DEV AGY SCHFAC REV 29509P-KD-0 AA /AA2	A	Int./Div.	K	T					
137. CITY OF NEW YORK N Y 64966H-ED-8 AA /AA2	B	Int./Div.	K	T					
138. ROCKVILLE CENTRE NY 774132-W3-4 AAA /NR	A	Int./Div.	K	T					
139. EDMONT NY UN FREE SCH DIST OF GREENBURGH 280101-DR-4 NR /AA2	A	Int./Div.	K	T					
140. NY ST BRDG AUTH 649807-CB-8 AA- / AA3	A	Int./Div.	K	T					
141. BROOKHAVEN NY REF 113152-US-9 AA+ /AA2	A	Int./Div.	K	T					
142. ERIE CNTY NY FISCAL STABILITYAUTH 29508R-GN-0 NR / AA1	B	Int./Div.	K	T					
143. NY ST DORM AUTH ST PERSNL INC TAX 64990E-NF-0 AAA /AA1	B	Int./Div.	K	T					
144. NASSAU CNTY NY SWR & STORM WTR FIN 63166Q-BY-5 AAA /AA3	B	Int./Div.	K	T					
145. ORANGE CNTY NY REF-VAR PURP- SER A 684575-3M-3 AA /AA3	B	Int./Div.	K	T					
146. NY CITY NY TRNSTIONAL FIN AUTH BLDG 64972H-XJ-6 AA /AA2	A	Int./Div.	K	T					
147. PORT AUTH OF NY & NJ NY SER 179 73358W-QQ-0 AA- /AA3		None	K	T					
148. THREE VLG NY CENTRL SCH DIST REF 885766-NT-8 NR /AA2	A	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 13 of 15

Name of Person Reporting

Kaplan, Lewis A.

Date of Report

05/15/2018

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)
149. CHEEKTOWAGA NY VAR PURP LTD TAX (162879-P3-8)		None	K	T	Buy	07/27/17	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	

FINANCIAL DISCLOSURE REPORT

Page 14 of 15

Name of Person Reporting

Kaplan, Lewis A.

Date of Report

05/15/2018

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

Part I, line 2: This trust contains no reportable assets.

Part VII, line 128: This holding was split into separate parts which are listed on lines 129 and 130. This was a corporate change only. no reportable transactions.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

FINANCIAL DISCLOSURE REPORT

Page 15 of 15

Name of Person Reporting

Kaplan, Lewis A.

Date of Report

05/15/2018

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