

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2010

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 08/03/2011
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 01/01/2010 to 12/31/2010
7. Chambers or Office Address U.S. Courthouse 500 Pearl Street New York, NY 10007	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION	NAME OF ORGANIZATION/ENTITY
1. Partner	Handy Place Investment Partnership
2. Trustee	Trust XXXXXXXXXX
3.	
4.	
5.	

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II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE	PARTIES AND TERMS
1.	
2.	
3.	

Kaplan, Lewis A.

FINANCIAL DISCLOSURE REPORT

Page 2 of 14

Name of Person Reporting

Kaplan, Lewis A.

Date of Report

08/03/2011

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> <i>(yours, not spouse's)</i>
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. 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. University of Pennsylvania	10/29-30/2009	Philadelphia, Pa.	Lecture	Travel, lodging, meals
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 14

Name of Person Reporting

Kaplan, Lewis A.

Date of Report

08/03/2011

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 14

Name of Person Reporting

Kaplan, Lewis A.

Date of Report

08/03/2011

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. NYS Pwr A Ser D 5.875 10 (E)	A	Interest			None	01/04/10	J	A	
3. NYS Pwr A Ser GP 5.5 10(E)	A	Interest			Redeemed	01/04/10	J	A	
4. NYS Pwr A Ser F 5.5 10	A	Interest			Redeemed	01/04/10	J	A	
5. Mun Inv Trust Ser A NY	A	Interest			Sold	02/17/10	J	A	
6. PW 1986 EES lim ptn		None	J	W					
7. Handy Place Invest Part		None	J	W					
8. NYS MCFFA 5.125 12	B	Interest	J	T	Redeemed (part)	11/01/10	J	A	
9. Commack UFSD 4.375 13	C	Interest			Redeemed	06/01/10	M	A	
10. NYS Twy 5.125 13	C	Interest			Redeemed	04/01/10	M	B	
11. NY Tran at MTA 5.2 10	C	Interest			Sold	01/04/10	L	A	
12. NYS Env Fac 5.125 11	B	Interest	K	T	Redeemed (part)	10/28/10	J	A	
13. NYS Dorm 5.125 11	B	Interest	L	T	Redeemed (part)	09/07/10	K	A	
14. NYS Dorm 5.1 12 (E)	B	Interest			Redeemed	09/23/10	K	A	
15. NYS Env Fac 4.55 13	B	Interest	L	T					
16. NYS Env Fac 4.95 17	C	Interest	L	T					
17. NYC Trans 5.0 19	B	Interest	K	T					

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

3. Value Method Codes
(See Column C2)

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

I11 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

I12 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 5 of 14

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Kaplan, Lewis A.

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18. Greece CSD 4.5 17	B	Interest			Sold	06/25/10	M	A	
19. NYC 4.375 11 (E)	C	Interest	M	T					
20. MTA 5.0 23	C	Interest	M	T					
21. GECC 4.75 13	D	Interest	M	T					
22. NYC Ser J 4.625 18	C	Interest	M	T					
23. NYS Dorm 5.0 19 (mult. issues)	D	Interest	M	T					
24. MTA 4.75 26	D	Interest	N	T					
25. Long Island Pwr 4.75 24	C	Interest	M	T					
26. NYS Dorm 4.75 25	B	Interest	J	T					
27. Bank Amer 4.65 12	B	Interest			Sold	12/15/10	K	A	
28. Port Auth NY&NJ 4.2 19 (E)	B	Interest	K	T					
29. JP Morgan Chase accts (S)	A	Interest	K	T					
30. NY Life whole life policies	A	Dividend	L	T					
31. Ulster Co 4.25 21	C	Interest	L	T					
32. NYS Dorm 4.0 19 (E)	B	Interest	L	T					
33. New York NY Ser N 4.0 17 (S)	C	Interest	K	T	Sold (part)	01/14/10	L	C	
34. Minisink CSD 4.0 12 (S)	A	Interest	K	T					

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 6 of 14

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Kaplan, Lewis A.

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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)
35. Wayne CSD 4.0 20 (S)	A	Interest	K	T					
36. Brookhaven CSD (S)	B	Int./Div.	K	T					
37. HSBC Fin Corp 4.65 10 (S)	B	Interest			Sold	04/15/10	K	A	
38. GECC 5.0 16 (S)	C	Interest	K	T					
39. NYS Dorm 4.0 19 (S)	C	Interest	K	T					
40. National Union Bank of [locality]	A	Int./Div.	J	T					
41. New York NY IDA 4.0 17 (S)	B	Interest	K	T					
42. Clarkstown 4.25 20 (E)	B	Interest	K	T					
43. NYS Dorm 5.0 24 (E)	B	Int./Div.			Redeemed	09/01/10	K	A	
44. NYC 5.0 21 (E)	B	Int./Div.	K	T					
45. Port Auth 4.75 32	C	Int./Div.	L	T					
46. NYS Twy 3.5 18	B	Int./Div.	L	T					
47. NYS Twy 4.5 28	C	Int./Div.	L	T					
48. NYS Dorm 5.0 24	A	Int./Div.			Redeemed	01/25/10	K	A	
49. Southwest Bk of St Louis CD	C	Int./Div.			Redeemed	03/08/10	M	A	
50. M&I Marshall & Isley 5.15 18	D	Int./Div.			Redeemed	07/12/10	M	A	
51. M&I Bank 5.15 18	B	Int./Div.			Redeemed	07/12/10	L	A	

1. Income Gain Codes,
(See Columns B1 and D4)

2. Value Codes
(See Columns C1 and D3)

3. Value Method Codes
(See Column C2)

A = \$1,000 or less
F = \$50,001 - \$100,000

J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000

Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

T = Cash Market

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FINANCIAL DISCLOSURE REPORT

Page 7 of 14

Name of Person Reporting

Kaplan, Lewis A.

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52. M&I Marshall & Isley 5.25 18	A	Int./Div.			Redeemed	03/22/10	K	A	
53. Branch B&T 5.5 16	C	Int./Div.			Redeemed	08/06/10	L	A	
54. Discover Bank 3.4 11 (S)	B	Int./Div.	K	T					
55. Southwest Bk of St L 5.2 18 (S)	B	Int./Div.			Sold	07/30/10	K	A	
56. JP Morgan Chase (IRA)	A	Int./Div.	N	T					
57. Pimco Fds Total Return	E	Distribution	O	T					
58. JP Morgan Tax Free Money Mkt (E)	A	Interest	J	T					
59. NYC Trans Fin 5.25 12 (E)	B	Interest	K	T					
60. Unadilla NY 4.0 13 (E)	A	Interest	K	T					
61. Islip NY 5.0 14 (E)	B	Interest	K	T					
62. Nassau Co. NY 4.0 14 (E)	A	Interest	K	T					
63. Perinton NY 3.25 15 (E)	A	Interest	K	T					
64. Ithaca NY 4.0 16 (E)	A	Interest	K	T	Buy	01/15/10	K		
65. JP Morgan Treas Agy Fd	A	Distribution	K	T					
66. JP Morgan Strategic Inc Fd	D	Distribution	O	T					
67. JP Morgan Int'l Currency Fd	B	Distribution	M	T	Buy	03/26/10	L		
68. JP Morgan US Equity Fd	B	Distribution	M	T	Buy (add'l)	03/25/10	K		

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

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K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

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FINANCIAL DISCLOSURE REPORT

Page 8 of 14

Name of Person Reporting

Kaplan, Lewis A.

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69. JP Morgan Short Duration Bd Fd	D	Distribution	N	T	Buy (add'l)	08/02/10	L		
70.					Sold (part)	10/18/10	L		
71. NYC Ser F-1 5.0 21	B	Interest			Redeemed	09/01/10	K	A	
72. JP Morgan brokerage accts	A	Interest	N	T					
73. JP Morgan Tax Free Money Mkt	A	Int./Div.	K	T					
74. Schenectady Co. NY 2.0 11	A	Interest	K	T			K		
75. Ithaca NY 4.0 13		None	K	T					
76. Islip NY 5.0 14	C	Interest	L	T					
77. Nassau Co. NY 4.0 14	A	Interest	K	T					
78. Perinton NY 3.25 15	A	Interest	K	T					
79. Niskayuna NY 3.375 16	B	Interest	K	T					
80. Dutchess Co. NY 5.0 18	B	Interest	K	T					
81. Orange Co. NY 4.25 19	B	Interest	K	T					
82. JP Morgan Chase checking account	A	Interest	J	T					
83. JP Morgan Treas & Agency Fd	A	Int./Div.	K	T					
84. Pimco Funds Total Return	B	Distribution	L	T					
85. JP Morgan Strategic Income	C	Distribution	M	T					

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal
U = Book Value

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G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

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FINANCIAL DISCLOSURE REPORT

Page 9 of 14

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86. JP Morgan International Value Fund ☐	A	Distribution	K	T					
87. JP Morgan US Equity Fund ☐	B	Distribution	K	T					
88. JP Morgan Short Duration Bond Fd ☐	A	Distribution	K	T					
89. JP Morgan brokerage accts ☐	A	Interest	L	T					
90. JP Morgan Tax Free Money Market Fd ☐	A	Int/Div.	J	T					
91. Schenectady Co. NY 2.0 11 ☐	A	Interest	K	T					
92. Ithaca NY 4.0 12 ☐		None	K	T	Buy	01/15/10	K		
93. Clarkstown NY 3.5 12 (S)	B	Interest	K	T					
94. Perinton NY 3.25 13 ☐	A	Interest	K	T					
95. Unadilla NY 4.0 14 ☐	A	Interest	K	T					
96. Nassau Co. NY 4.0 14 ☐	A	Interest	K	T					
97. Am Century Eq Inc Fd	D	Distribution	M	T	Buy	01/22/10	L		
98.					Buy (add'l)	03/25/10	L		
99. Artio Intl Eq II	B	Distribution	L	T	Buy	01/22/10	K		
100. Causeway Int Value	A	Distribution	L	T	Buy	01/28/10	K		
101. Eaton Vance Spl Inv Trust	B	Distribution	M	T	Buy	01/28/10	L		
102.					Buy (add'l)	03/27/10	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
H = \$1,000,001 - \$5,000,000

D = \$5,001 - \$15,000

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)
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Page 10 of 14

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103. JP Morgan Intl Value	B	Distribution	L	T	Buy	01/26/10	K		
104. JP Morgan High Yield Bond	C	Distribution	M	T	Buy	08/02/10	K		
105.					Buy (add'l)	10/18/10	L		
106. JP Morgan Core Bond	B	Distribution	M	T	Buy	08/03/10	L		
107. Falconer CSD 4.0 15	C	Interest	L	T	Buy	01/27/10	L		
108. Albany Co. 4.0 13	A	Interest	L	T	Buy	07/28/10	L		
109. Falconer CSD 4.75 20	B	Interest	K	T	Buy	01/27/10	K		
110. Marietta Ga 4.0 16	B	Interest	L	T	Buy	01/11/10	L		
111. Nassau Co. 5.0 15	B	Interest	L	T	Buy	06/21/10	L		
112. Pembroke CSD 4.0 20	C	Interest	M	T	Buy	04/29/10	M		
113. Skaneateles CSD 4.5 19	B	Interest	L	T	Buy	05/11/10	L		
114. Starpoint CSD 4.0 15	B	Interest	L	T	Buy	06/23/10	L		
115. Causeway Intl Value	A	Distribution	K	T	Buy	01/28/10	J		
116. Eaton Vance Sp Inv Trust	A	Distribution	L	T	Buy	01/26/10	K		
117.					Buy (add'l)	04/05/10	K		
118. JP Morgan Int'l Currency	A	Distribution	K	T	Buy	03/31/10	K		
119. Artio Intl Eq II	A	Distribution	K	T	Buy	01/22/10	J		

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 11 of 14

Name of Person Reporting

Kaplan, Lewis A.

Date of Report

08/03/2011

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)
120. JP Morgan High Yield Bond ☐	A	Distribution	K	T	Buy	08/03/10	J		
121. Am Century Eq Inc Fd ☐	B	Distribution	L	T	Buy	01/22/10	K		
122.					Buy (add'l)	03/31/10	K		
123. JP Morgan Core Bond ☐	A	Distribution	K	T	Buy	08/03/10	K		
124. Ellenville CSD 4.0 16 ☐	A	Interest	K	T	Buy	02/17/10	K		
125. Falconer CSD 4.75 20 ☐	B	Interest	K	T	Buy	01/27/10	K		
126. Hawaii 4.0 15 ☐	A	Interest	K	T	Buy	02/18/10	K		
127. NYS Twy 2.5 11 ☐	A	Interest	K	T	Buy	01/11/10	K		
128. Ozark Mo 4.0 18 ☐	A	Interest	K	T	Buy	04/08/10	K		
129. Port Jefferson 3.5 15 ☐	A	Interest	K	T	Buy	02/18/10	K		
130. Rocky Point CSD 4.0 16 ☐	A	Interest	K	T	Buy	01/27/10	K		
131. Three Village CSD 3.0 13 ☐	A	Interest	K	T	Buy	01/27/10	K		
132. New Mexico 4.0 18 (E)	A	Interest	K	T	Buy	02/03/10	K		
133. Hewlett Woodmere 4.0 20 (E)	A	Interest	K	T	Buy	09/13/10	K		
134. Riverhead 4.0 18 (E)	A	Interest	K	T	Buy	09/13/10	K		
135. Rocky Point CSD 4.0 16 (E)	A	Interest	K	T	Buy	01/27/10	K		
136. Alpine Ut 4.0 13 (E)	A	Interest	K	T	Buy	01/27/10	K		

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

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

3. Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 12 of 14

Name of Person Reporting

Kaplan, Lewis A.

Date of Report

08/03/2011

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. Dallas Tx Comm Coll 4.0 17	A	Interest	K	T	Buy	02/25/10	K		
138. Wallkill 3.5 17		None	K	T	Buy	01/21/10	K		
139. NYS Dorm 4.5 15		None	L	T	Buy	06/15/10	L		
140. No. Colonie CSD 4.0 12		None	K	T	Buy	11/22/10	K		
141.									

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

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 14

Name of Person Reporting

Kaplan, Lewis A.

Date of Report

08/03/2011

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

1. (E) designates assets held as trustee: [REDACTED]
2. Part VII, line 40
- name of locality omitted for security reasons
3. Income for 1986 EES and Handy Place partnerships equals distributions

FINANCIAL DISCLOSURE REPORT

Page 14 of 14

Name of Person Reporting

Kaplan, Lewis A.

Date of Report

08/03/2011

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

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY 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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One Columbus Circle, N.E.
Washington, D.C. 20544