

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2006

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 7/12/2007
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 01/01/2006 to 12/31/2006
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 instructions.)

☐ NONE (No reportable positions.)

POSITION	NAME OF ORGANIZATION/ENTITY
1. Partner	Handy Place Investment Partnership
2. Trustee	Trust w/o [REDACTED]
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

DATE	PARTIES AND TERMS
1.	
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of 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. 9-13-06	Marsh McLennan class action settlement payment	\$ 15.44
2.		
3.		
4.		
5.		

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. 12-14-06	Class action settlement payment
3.	
4.	
5.	

IV. REIMBURSEMENTS *- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)*☐ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>
1. American Bar Association, Section of Antitrust Law	Travel, lodging and meals to attend meeting of Section Council, Dana Point, CA, 8/2006
2.	
3.	
4.	
5.	

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V. GIFTS. *(Includes those to spouse and dependent children. See pp. 28-31 of instructions.)*☒ **NONE** *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		
9.		

VI. LIABILITIES. *(Includes those of spouse and dependent children. See pp. 32-33 of instructions.)*☒ **NONE** *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

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Name of Person Reporting

Kaplan, Lewis A

Date of Report

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the 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 Month - Day	(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. Kinderhook CSD 6 07	B	Interest	K	T	None				
3. NYS Pwr A Ser D 5.875 10	A	Interest	J	T	None				
4. NYS Pwr A GP 5.375 10	A	Interest			Pt Redempt	1-3	J	A	
5.					Sell	4-25	K	A	
6. NYS Pwr A Ser GP 5.5 10	A	Interest	J	T	None				
7. NYS Pwr A Ser F 5.5 10	A	Interest	K	T	Pt Redempt	1-3	J	A	
8. Main Inv Trust Ser A NY	A	Interest	J	T	Pt Redempt	2-27	J	A	
9.					Pt Redempt	3-27	J	A	
10.					Pt Redempt	4-25	J	A	
11.					Pt Redempt	7-25	J	A	
12.					Pt Redempt	8-25	J	A	
13.					Pt Redempt	12-26	J	A	
14.					Pt Redempt	12-29	J	A	
15. PW 1986 EES lim ptn		None	J	W	None				
16. Handy Place Invest Part		None	J	W	None				
17. Westchester Co 5.6 07	B	Interest	K	T	None				

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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Name of Person Reporting

Kaplan, Lewis A

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7/12/2007

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the spouse and dependent children. See pp. 34-68 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. Clarkstown 5.6 08	D	Interest	M	T	None				
19. NYC Mun Wtr 5.375 07		None			Sell	4-24	J	A	
20. NYC Mun Wtr 5.375 07	B	Interest	K	T	None				
21. NYS MCFFA 5.125 12	C	Interest	K	T	Pt Redempt	11-1	J	A	
22. Oneida 6.4 06	A	Interest			Redemption	8-15	J	A	
23. Kinderhook CSD 6 07		None			Sell	4-24	J	A	
24. Ramapo 5.6 08	A	Interest			Sell	4-24	J	A	
25. NYS UDC 5.4 06	A	Interest			Redemption	1-3	K	A	
26. NYS Dorm 5.7 10	A	Interest			Sell	7-14	J	A	
27. NYS Dorm 5.125 08	D	Interest	M	T	None				
28. NYS Dorm 5.25 13	C	Interest	L	T	None				
29. Triboro BTA 4.5 13	B	Interest	K	T	None				
30. Puerto Rico MFA 5.5 09	B	Interest	K	T	None				
31. NYS Dorm 5.125 11	C	Interest	L	T	None				
32. Triboro BTA 4.3 11	A	Interest			Sell		K	A	
33. Triboro BTA 4.75 16	A	Interest	K	T	None				
34. NYC Mun Wtr 4.9 13	B	Interest	L	T	None				

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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Name of Person Reporting

Kaplan, Lewis A

Date of Report

7/12/2007

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. Commack UFSD 4.375 13	D	Interest	M	T	None				
36. NYS Mtg Agy 5.45 12	D	Interest			Redemption	8-15	L	A	
37. NYS Twy 5.125 13	C	Interest	M	T	None				
38. So Glens Falls CSD 5.25 14	C	Interest	L	T	Pt Sell	7-14	J	A	
39. NY Tran at MTA 5.2 10	D	Interest	M	T	None				
40. NYS Env Fac 5.125 11	C	Interest	L	T	None				
41. NYS Dorm 5.125 11	C	Interest	L	T	Pt Sell	4-24	K	B	
42. NYS Dorm 5.1 12	B	Interest	K	T	None				
43. NYS Env Fac 4.55 13	B	Interest	L	T	None				
44. NYS Env Fac 4.95 17	C	Interest	L	T	None				
45. ML Bk/B&T RASP	A	Interest							
46. NYC Trans 5.0 19	C	Interest	M	T	None				
47. Greece CSD 4.5 17	C	Interest	M	T	None				
48. NYS Env Fac 4.2 12	C	Interest	M	T	None				
49. MTA 4.0 12	C	Interest	M	T	None				
50. MTA 4.0 13	C	Interest	M	T	None				
51. NYC 4.375 11	C	Interest	M	T	None				

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

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Name of Person Reporting

Kaplan, Lewis A

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
52. FNMA 5.0 12	D	Interest	M	T	None				
53. Triboro BTA 3.75 13	C	Interest	M	T	None				
54. William Floyd UFSD 4.125 15	C	Interest	M	T	None				
55. MTA 5.0 23	C	Interest	M	T	None				
56. GECC 4.75 13	D	Interest	M	T	None				
57. Pacific Innov Select annuity		None			Redemption	4-27	N		
58. Nat City Bk fka Provident Bank 5.0 15	C	Interest	L	T	None				
59. FHLMC multi % 18	D	Interest	M	T	None				
60. Hudson United Bk 5.05 13	C	Interest	K	T	None				
61. NYC Ser J 4.625 18	D	Interest	M	T	None				
62. NYS Dorm 5.0 19 (mult. issues)	D	Interest	M	T	None				
63. MTA 4.75 26	D	Interest	N	T	None				
64. Long Island Pwr 4.75 24	C	Interest	M	T	None				
65. NYS Dorm 4.75 25	C	Interest	L	T	None				
66. Western Bank Puerto Rico	A	Interest	K	T	None				
67. NM Bank Amer 4.65 12	B	Interest	K	T	None				
68. Capitol One Bk 4.75 10	C	Interest	L	T	None				

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 = Amusement

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

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
69. Port Auth NY&NJ 4.2 19	C	Interest	L	T	None				
70. NYS Dorm 4.625 18	D	Interest	M	T	None				
71. ML Bank USA RASP	A	Dividend	K	T	Open	4-15	K		
72. Schwab Money Mkt	A	Dividend	J	T					
73. JP Morgan Chase acct	D	Interest	O	T					
74. NY Life whole life policies	B	Dividend	L	T	None				
75. ML CMA NY Mun Money	B	Interest	K	T					
76. MTA Adj% 26	C	Interest	L	T	None				
77. E Meadow 4.9 06	B	Interest			Sell	4-24	K	A	
78. ML CMA NY Mun Money	A	Interest	J	T					
79. MTA Adj% 26	B	Interest	K	T	None				
80. Ulster Co 4.25 21	C	Int./Div.	L	T	None				
81. NYS Dorm 4.0 19	B	Int./Div.	K	T	None				
82. Banco Bilbao 4.46 12	C	Interest	L	T	None				
83. First Eagle Global Cl C	E	Distribution	N	T					
84. Davis NY Venture Cl Y	C	Distribution	N	T					
85. Blackrock Large Cap Value f/k/a ML Large	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

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

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Name of Person Reporting

Kaplan, Lewis A

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the 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				
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Cap Value CII									
86. Evergreen Sp Values CI A	D	Distribution	L	T					
87. Pimco Comm Real Return CI A	B	Distribution			Sell	9-15	K	A	
88. Pioneer Oak Ridge Small Cap CI A	B	Distribution	L	T					
89. Goldman Sachs Mid Cap CI A	D	Distribution	M	T					
90. Amer Inc Fund of Am CI A	E	Distribution	O	T					
91. Muhlenkamp Fund	A	Distribution			Sell	9-13	K	A	
92. ML CMA NY Mun Money	B	Dividend	K	T					
93. ML Bank RASP	A	Interest	K	T					
94. New York NY Ser N 4.05 17	C	Interest	M	T	None				
95. Minisink CSD 4.0 12	C	Interest	L	T	None				
96. Wayne CSD 4.0 20	C	Interest	L	T	None				
97. Brookhaven CSD	C	Int./Div.	L	T	None				
98. Amer Inc Fd of Amer CI A	D	Distribution	N	T					
99. Davis NY Venture CI Y	A	Distribution	L	T					
100. Goldman Sachs Mid Cap CI A	B	Distribution	K	T					
101. Pimco Comm Real Return CI A	A	Distribution	J	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 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
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Name of Person Reporting

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7/12/2007

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
102. Royce Penn Mut Fd [REDACTED]	B	Distribution	K	T					
103. DWS Dreman f/k/a Scudder High Return [REDACTED]	B	Distribution	L	T					
104. Oakmark Select [REDACTED]	C	Distribution	K	T					
105. Community B&T 4.4 08 [REDACTED]	B	Interest	K	T	None				
106. FNMA multi% 09 [REDACTED]	B	Interest	K	T	None				
107. FNMA multi% 15 [REDACTED]	B	Interest	K	T	None				
108. HSBC Fin Corp 4.65 10 [REDACTED]	B	Interest	K	T	None				
109. Principal Life Inc. 5.0 12 [REDACTED]	B	Interest	K	T	None				
110. GECC 5.0 16 [REDACTED]	B	Interest	K	T	None				
111. NYS Dorm 4.0 19 [REDACTED]	C	Interest	L	T	None				
112. Merrill Lynch Bank SLC 3.75 1-25-06 [REDACTED]	B	Interest			Redemption	1-25	L	A	
113. National Union Bank of [locality]	A	Int./Div.	J	T	Open	8-24	J		
114. Countrywide Bank 4.4 07		None	K	T	Buy	1-3	K		
115. Soutside Bank 5.35 11		None	K	T	Buy	9-27	K		
116. Lehman Bros Bank 6.0 16		None	M	T	Buy	5-16	M		
117. Ivy Asset Strat CI A	A	Distribution	L	T	Buy	9-15	L		
118. New York NY IDA 4.0 17 [REDACTED]	A	Interest	L	T	Buy	2-21	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	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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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
119. Countrywide Bank 4.4 07		None	K	T	Buy	1-12	K		
120.									

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 = Assessed W = Estimated	T = Cash Market	

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

1. [REDACTED] designates assets held as trustee u/w/o [REDACTED]
2. Part VII, line 113 - name of locality omitted for security reasons
3. Income for 1986 EES and Handy Place partnerships equals distributions

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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

Date

July 12, 2007

NOTE: ANY INDIVIDUAL WHO FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544