

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2008

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 08/03/2009
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 01/01/2008 to 12/31/2008
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Partner	Handy Place Investment Partnership
2. Trustee	Trust u/w/o [REDACTED]
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. 11-24-08	Ritz sale of used clothing	\$1,250.00
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. Stanford University	2/8-9/08	Palo Alto, CA	Speak at conference	Transportation, lodging, food
2. American Bar Assn Section of Antitrust Law	3/26/08	Washington, DC	Speak at conference	Transportation, lodging, food [check lodging]
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.)*

<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. _____	_____	_____

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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 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. NYS Pwr A Ser D 5.875 10 (E)	A	Interest	J	T	None				
3. NYS Pwr A Ser GP 5.5 10(E)	A	Interest	J	T	None				
4. NYS Pwr A Ser F 5.5 10	A	Interest	J	T	Pt Redempt	1-2	J	A	
5. Mun Inv Trust Ser A NY	A	Interest	J	T	Pt Redempt	2-25	J	A	
6. PW 1986 EES lim ptn		None	J	W	None				
7. Handy Place Invest Part		None	J	W	None				
8. Clarkstown 5.6 08	C	Interest			Redeemed	6-16	L	A	
9. NYS MCFFA 5.125 12	B	Interest	K	T					
10. NYS Dorm 5.125 08	D	Interest			Redeemed	8-1	M	A	
11. NYS Dorm 5.25 13	C	Interest			Redeemed	8-29	L	A	
12. Triboro BTA 4.5 13 (E)	B	Interest	K	T	None				
13. Puerto Rico MFA 5.5 09 (E)	B	Interest	K	T	None				
14. NYS Dorm 5.125 11 (E)	C	Interest	L	T	None				
15. Triboro BTA 4.75 16	A	Interest	K	T	None				
16. NYC Mun Wtr 4.9 13	B	Interest	L	T	None				
17. Commack UFSD 4.375 13	D	Interest	M	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

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

P4 = More than \$50,000,000

3. Value Method Codes

(See Column C2)

Q = Appraisal

U = Book Value

R = Cost (Real Estate Only)

V = Other

S = Assessment

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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.)

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18. NYS Twy 5.125 13	D	Interest	M	T	None				
19. So Glens Falls CSD 5.25 14	C	Interest	L	T	None				
20. NY Tran at MTA 5.2 10	D	Interest	M	T	None				
21. NYS Env Fac 5.125 11	C	Interest	L	T	None				
22. NYS Dorm 5.125 11	C	Interest	L	T	None				
23. NYS Dorm 5.1 12 (E)	B	Interest	K	T	None				
24. NYS Env Fac 4.55 13	B	Interest	L	T	None				
25. NYS Env Fac 4.95 17	C	Interest	L	T	None				
26. ML BW/B&T RASP	B	Interest	L	T					
27. NYC Trans 5.0 19	C	Interest	M	T	None				
28. Greece CSD 4.5 17	C	Interest	M	T	None				
29. NYC 4.375 11 (E)	C	Interest	M	T	None				
30. FNMA 5.0 12	B	Interest			Redeemed	1-15	M	A	
31. MTA 5.0 23	C	Interest	L	T	None				
32. GECC 4.75 13	D	Interest	M	T	None				
33. Nat City Bk fka Provident Bank 5.0 15	C	Interest	L	T	None				
34. FHLMC multi % 18	C	Interest			Redeemed	7-14	M	A	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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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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. Hudson United Bk 5.05 13	B	Interest			Redeemed	5-14	K	A	
36. NYC Ser J 4.625 18	C	Interest	M	T	None				
37. NYS Dorm 5.0 19 (mult. issues)	D	Interest	M	T	None				
38. MTA 4.75 26	D	Interest	N	T	None				
39. Long Island Pwr 4.75 24	C	Interest	L	T	None				
40. NYS Dorm 4.75 25	C	Interest	L	T	None				
41. Western Bank Puerto Rico	A	Interest	K	T	None				
42. Bank Amer 4.65 12	B	Interest	K	T	None				
43. Capitol One Bk 4.75 10	C	Interest	M	T	None				
44. Port Auth NY&NJ 4.2 19 (E)	C	Interest	L	T	None				
45. NYS Dorm 4.625 18 (E)	C	Interest	L	T	None				
46. JP Morgan Chase accts	A	Interest	K	T					
47. NY Life whole life policies	B	Dividend	L	T	None				
48. ML CMA NY Mun Money	A	Interest	J	T					
49. MTA Adj% 26	C	Interest			Sold	11-17	K	A	
50. ML CMA NY Mun Money (E)	A	Interest	J	T					
51. MTA Adj% 26 (E)	B	Interest			Sold	11-17	K	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

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

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52. Ulster Co 4.25 21	C	Interest	L	T	None				
53. NYS Dorm 4.0 19 (E)	B	Interest	K	T	None				
54. Banco Bilbao 4.46 12	A	Interest			Redeemed	2-14	L	A	
55. First Eagle Global Cl C		None			Sold (part)	9-12	K	A	
56.					Sold	9-19	M	A	
57. Davis NY Venture Cl Y		None			Sold (part)	9-10	L	A	
58.					Sold	9-19	M	A	
59. Blackrock Large Cap Value f/k/a ML Large Cap Value Cl I		None			Sold (part)	9-10	K	A	
60.					Sold	9-19	L	A	
61. Everegreen Sp Values Cl A		None			Sold (part)	9-12	J	A	
62.					Sold	9-23	K	A	
63. Pioneer Oak Ridge Small Cap Cl A		None			Sold (part)	9-12	J	A	
64.					Sold (part)	9-23	K	A	
65. Goldman Sachs Mid Cap Cl A		None			Sold (part)	9-12	L	A	
66.					Sold (part)	9-23	L	A	
67. Amer Inc Fund of Am Cl A	E	Distribution			Sold (part)	9-12	L	A	
68.					Sold (part)	9-23	N	A	

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	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	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	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

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69. ML CMA NY Mun Money ●	A	Dividend	K	T					
70. ML Bank RASP ●	B	Interest	K	T					
71. New York NY Ser N 4.05 17 ●	C	Interest	L	T	None				
72. Minisink CSD 4.0 12 ●	C	Interest	L	T	None				
73. Wayne CSD 4.0 20 ●	C	Interest	L	T	None				
74. Brookhaven CSD ●	C	Int/Div.	L	T	None				
75. Amer Inc Fd of Amer Cl A ●	B	Distribution			Sold	9-23	L	A	
76. Davis NY Venture Cl Y ●		None			Sold	9-19	K	B	
77. Goldman Sachs Mid Cap Cl A ●		None			Sold	9-23	K	A	
78. Pimco Comm Real Return Cl A ●	A	Distribution			Sold	9-23	J	A	
79. Penn Mut Fd f/k/a Royce ●		None			Sold	9-19	K	A	
80. DWS Dreman f/k/a Scudder High Return ●	B	Distribution			Sold	9-23	K	A	
81. Oakmark Select ●		None			Sold	9-19	K	A	
82. Community B&T 4.4 08 ●	A	Interest			Redeemed	4-21	K	A	
83. FNMA multi% 09 ●	A	Interest			Redeemed	1-25	K	A	
84. FNMA multi% 15 ●	A	Interest			Redeemed	1-22	K	A	
85. HSBC Fin Corp 4.65 10 ●	B	Interest	K	T	None				

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(See Columns B1 and D4)

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2. Value Codes
(See Columns C1 and D3)

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P4 = More than \$50,000,000

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

3. Value Method Codes
(See Column C2)

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86. Principal Life Inc. 5.0 12	B	Interest			Redeemed	4-15	K	A	
87. GECC 5.0 16	B	Interest	K	T	None				
88. NYS Dorm 4.0 19	C	Interest	L	T	None				
89. National Union Bank of [locality]	A	Int./Div.	J	T					
90. Southside Bank 5.35 11	A	Interest			Redeemed	3-27	K	A	
91. Ivy Asset Strat Cl A	A	Distribution			Redeemed (part)	9-10	J	A	
92.					Redeemed	9-19	L	A	
93. New York NY IDA 4.0 17	B	Interest	K	T					
94. Clarkstown 4.25 20 (E)	A	Interest	K	T	Buy	7-26	K		
95. MBank 5.00 10	A	Interest			Redeemed	2-19	K	A	
96. Geauga Sav Bk 5.2 10	C	Interest			Redeemed	4-4	M	A	
97. McFarland St Bk 5.35 12	B	Interest			Redeemed	2-11	M	A	
98. Henderson Eur Focus		None			Redeemed (part)	9-10	K	A	
99.					Redeemed	9-11	J	A	
100. Henderson Eur Focus		None			Redeemed (part)	9-10	J	A	
101.					Redeemed	9-11	J	A	
102. Am Inc Fund of Am Cl F	B	Distribution			Redeemed	9-19	L	A	

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

A=\$1,000 or less
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2. Value Codes
(See Columns C1 and D3)

J=\$15,000 or less
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(See Column C2)

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103. NYS Dorm 5.0 24 (E)	A	Int./Div.	K	T	Buy	1-28	K		
104. NYC 5.0 21 (E)		None	K	T	Buy	11-21	L		
105. Port Auth 4.75 32	B	Int./Div.	L	T	Buy	11-17	L		
106. NYS Twy 3.5 18		None	L	T	Buy	9-10	L		
107. NYS Twy 4.5 28		None	L	T	Buy	9-10	L		
108. NYS Dorm 5.0 24	A	Int./Div.	K	T	Buy	1-28	K		
109. ML US Treas Money Fd	A	Dividend	K	T	Buy	2-26	K		
110. Southwest Bk of St Louis CD	D	Int./Div.	M	T	Buy	2-21	M		
111. M&I Marshall & Lsley 5.15 18	D	Int./Div.	M	T	Buy	4-11	M		
112. M&I Bank 5.15 18	B	Int./Div.	L	T	Buy	4-11	L		
113. M&I Marshall & Isley 5.25 18	B	Int./Div.	L	T	Buy	3-20	L		
114. Eurobank CD	B	Int./Div.			Buy	2-25	M		
115.					Redeemed	6-5	M	A	
116. National City Bank 5.2 18	B	Int./Div.	L	T	Buy	6-6	L		
117. Wachovia 5 13	D	Int./Div.			Buy	6-20	M		
118.					Redeemed	12-22	M	A	
119. Branch B&T 5.5 19	B	Int./Div.	L	T	Buy	7-7	L		

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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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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. Branch B&T 5.5 16	B	Int./Div.	L	T	Buy	7-15	L		
121. US Treas 0% 1/2/09		None	O	T	Buy	12-4	O		
122. US Treas 0% 3/5/09		None	N	T	Buy	12-11	N		
123. Pacific Capital Bank CD		None	M	T	Buy	12-24	M		
124. Goldman Sachs Bank CD		None	M	T	Buy	12-24	M		
125. ML Bk/B&T	A	Interest	K	T	Open	8-30	K		
126. US Treas 0% 12/4/08		None			Buy	9-25	L		
127.					Matured	12-4	L	A	
128. US Treas 0% 1/22/09		None	L	T	Buy	12-4	L		
129. Discover Bank 3.4 11	A	Int./Div.	K	T	Buy	2-20	K		
130. New Frontier Bank 3.6 12	B	Int./Div.	L	T	Buy	2-20	L		
131. M& I Bank 5.0 15	B	Int./Div.	K	T	Buy	4-29	K		
132. Southwest Bk of St L 5.2 18	B	Int./Div.	K	T	Buy	4-30	K		
133. US Treas 0% 12-18-08		None			Buy	9-23	M		
134.					Matured	12-18	M	A	
135. Pacific Capital 1.6 09		None	M	T	Buy	12-24	M		
136.									

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 u/w/o [REDACTED]
2. Part VII, line 89
- 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



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)

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