

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 07/27/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Trustee	Trust #1
2. Trustee	Trust #2 (no reportable assets)
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing 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 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. 2019	Pension and retirement plan pmts-pension plans for benefit of retirees of Random House, Inc.
2. 2019	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. Cambridge Union Society	November 13-16, 2019	Cambridge, UK	Debate	Hotel and some transportation
2.				
3.				
4.				
5.				

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V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

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.		

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Name of Person Reporting

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

1. INDIVIDUAL ASSETS (H)									
2. CITIBANK (cash)	A	Interest	J	T					
3. JP MORGAN CHASE (cash)	A	Interest	N	T					
4. COMMUNITY BANK (FORMERLY NATIONAL UNION BANK)	A	Interest	J	T					
5. NY LIFE INS. (whole life policies)	B	Dividend	L	T					
6. BROKERAGE ACCOUNT #1 (H)									
7. JPM TAX FREE MMKT INST SWEEP FD (cash) (X)	A	Interest	K	T					
8. PORT WA NY UN FREE SCH DIST REF 735581-LU-2 NR /AA2	B	Interest			Redeemed	07/01/19	K		
9. NORTH SHORE NY CENTRL SCH DIST 662323-HJ-6 NR /AA1	A	Interest			Redeemed	07/15/19	K		
10. FALCONER NEW YORK CENTRAL SCHOOL 306117-CU-4 AA /A2	B	Interest	K	T					
11. PEMBROKE NEW YORK CENTRAL SCHOOL 706427-BY-6 AA- /NR	B	Interest	L	T					
12. TRIBOROUGH NY BRIDGE & TUNNELAETH REVENUES 89602N- ZB-3 AA- /AA3	A	Interest	J	T					
13. WESTCHESTER CNTY NY SER B 95736U-ZS-6 AAA /AA1	A	Interest	K	T					
14. PLAINVIEW OLD BETHPAGE NY CENTRL SCH 726715-HX-6 AAA /NR	B	Interest	K	T					
15. NASSAU CNTY NY INTERIM FIN AUTH 631663-NN-7 AAA /NR	A	Interest	K	T					
16. SHENENDEHOWA NY CENTRL SCH DIST REF 823194-F2-6 AA /NR	B	Interest	K	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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 NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
17. ISLAND TREES NY UNION FREE 464568-GK-4 NR /AA2	B	Interest	K	T					
18. SARATOGA SPRINGS NY REF-PUB IMPT 803531-TR-3 AA+ /NR	B	Interest	K	T					
19. ALBANY NY LTD TAX 012429-AE-6	A	Interest	K	T					
20. NY CITY NY TRNSTIONAL FIN AUTH REV FUTURE 64971W-FV-7 AAA /AA1	B	Interest	K	T					
21. NY ST DORM AUTH ST PERSNL INC TAX 64990E-3R-6 AAA /AA1	B	Interest	K	T					
22. NY ST DORM AUTH REVS NON ST SUPPORTED DEBT GR NECK 649907- Z3-9 NR/AAA	B	Interest	K	T					
23. NY ST ENVRNMNTL FACS CORP ST CLEAN WTR & DRINKING 64986A-Z6-1 AAA /AAA	B	Interest	K	T					
24. HUDSON YDS INFRASTRUCTURE CORP NY 2ND INDENT (44420R-AM-2)	B	Interest	K	T					
25. NY CITY NY MUNI WTR FIN AUTH WTR (64972G-UK-8)	A	Interest	K	T	Buy	07/16/19	K		
26. SALES TAX ASSET RECEIVABLE CORP NY 794665-FM-6 AAA /AA1	B	Interest	K	T					
27. NY CTY NY TR CULTURAL RES REF - MUSEUM OF MODERN ART (649717- SZ-9)	A	Interest	K	T					
28. ARLINGTON NY CENTRAL SCH DIST REF UNLTD TAX (041717-NR-6)	A	Interest	K	T					
29. SOUTHAMPTON NY UN FREE SCHOOL REF UNLIMITED TAX (841098-DS-2)	A	Interest	K	T					
30. MONROE CNTY NY INDL DEN CORP REV REF - U OF ROCHESTER PR (61075T-RY-6)	B	Interest	K	T					
31. MET TRANSPRTN AUTH REV GREEN BDS REF SER C (59261A-PX-9)	B	Interest	K	T					
32. UTIL DEBT SECURITIZATION AUTH NY REF RESTR SER A (91802R-CK-3)	B	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

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33. ORCHARD PK NY CENTRL SCH DIST 870994-96-9	A	Interest	K	T					
34. MT VERNON NY CITY CENTRL SCH DIST 623606-C2-4	B	Interest	K	T					
35. RIVERHEAD NY PUB IMPT-SER A LTD 768738-XQ-4	A	Interest	K	T					
36. THREE VLG NY CENTRL SCH DIST 885766-NW-1	B	Interest	K	T					
37. BROKERAGE ACCOUNT #2 (H)									
38. JPM TAX FREE MMKT INST SWEEP FD (cash)	A	Interest	K	T					
39. ARLINGTON NEW YORK CENTRAL SCHOOL 041717-LD-9 AA- /NR	B	Interest			Redeemed	05/15/19	K		
40. PORT WA NY UN FREE SCH DIST REF 735581-LU-2 NR /AA2	B	Interest			Redeemed	07/01/19	K		
41. COLD SPRING HBR NY CENTRL SCH DIST REF 192867-FM-6 AAA /NR	B	Interest	K	T					
42. PEMBROKE NEW YORK CENTRAL SCHOOL 706427-BY-6 AA- /NR	B	Interest	L	T					
43. EDMONT NY UN FREE SCH DIST OF GREENBURGH 280101-DP-8 NR /AA2	A	Interest	K	T					
44. ISLIP NY REF 464722-6W-2 AA+ /AA1	B	Interest	K	T					
45. NY ST DORM AUTH SALES TAX REV 64990A-BA-2 AAA /AA1	B	Interest	K	T					
46. NORTH SHORE NY CENTRL SCH DIST 662323-HL-1 NR /AA1	A	Interest	K	T					
47. SHENENDEHOWA NY CENTRL SCH DIST REF 823194-F2-6 AA /NR	B	Interest	K	T					
48. NY CITY NY MUNI WTR FINAUTH WTR & SWR SYS REV 64972G-DT-8 AA + /AA1	B	Interest	K	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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49. PITTSFORD NY CENTRL SCH DIST 725635-EJ-1 NR /AA1	A	Interest	K	T					
50. SARATOGA SPRINGS NY REF-PUB IMPT 803531-TR-3 AA+ /NR	B	Interest	K	T					
51. ALBANY NY LTD TAX 4.0% (012429-AE-6 AA)	A	Interest	K	T					
52. NY CITY NY TRNSTIONAL FIN AUTH REV 64971W-FV-7 AAA /AA1	B	Interest	K	T					
53. NY ST REF SER C UNLTD TAX (649791-ME-7)	B	Interest	K	T					
54. NY ST ENVRNMNTL FACS CORP ST CLEAN WTR & DRINKING 64986A-Z6-1 AAA /AA	B	Interest	K	T					
55. NY CITY NY TRNSTIONAL FIN AUTH BLDG AID REV 64972H-VC-3 AA /AA2	B	Interest	K	T					
56. NY ST DORM AUTH REVS NON ST 649907-Z4-7 NR /AAA	B	Interest	K	T					
57. UTIL DEBT SECURITIZATION AUTH NY (91802R-BX-6)	B	Interest	K	T					
58. ELMSFORD NY UN FREE SCH DIST (290011-BC-8 NA) /AA2	B	Interest	K	T					
59. ONONDAGA CNTY NY 682745-7H-1 AA + /AA2	A	Interest	K	T					
60. UTIL DEBT SECURITIZATION AUTH NY 91802R-BZ-1 AAA /AAA	B	Interest	K	T					
61. PORT CHESTER NY REF-PUBLIC IMPT-SER 733760-US-9 NR /AA3	A	Interest	K	T					
62. HUDSON YDS INFRASTRUCTURE CORP NY 2ND INDENT (44420R-AM-2)	B	Interest	K	T					
63. NY ST URBAN DEV CORP REF PERS INCOME TAX SER A (650035-T9-9)	B	Interest	K	T					
64. RYE NECK NY UN FREE SCH DIST SER A (783583-GA-9)	A	Interest	K	T	Buy	05/22/19	K		

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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)
65. NYACK NY UN FREE SCH DIST UNLTD (670658-KE-2)	A	Interest	K	T	Buy	07/02/19	K		
66. BROKERAGE ACCOUNT #3 (H)									
67. JPM TAX FREE MMKT INST SWEEP FD (cash)	A	Interest	J	T					
68. HALFMOON NY REF-PUB IMPT 405729-LR-3 AA /NR	A	Interest			Redeemed	05/01/19	K		
69. HILTON NY CENTRL SCH DIST 432884-MJ-0 AA- /NR	A	Interest			Redeemed	06/17/19	K		
70. FALCONER NEW YORK CENTRAL SCHOOL 306117-CU-4 AA /A2	B	Interest	K	T					
71. SHENENDEHOWA NY CENTRL SCH DIST REF 823194-E7-6 AA /NR	A	Interest	K	T					
72. NY CITY NY TR FOR CULTURAL RES 649717-RK-3 AA /AA2	A	Interest	K	T					
73. EAST ISLIP NY UNION FREE SCH DIST 273173-KC-7 AA /NR	A	Interest	K	T					
74. PITTSFORD NY CENTRL SCH DIST 725635-EJ-1 NR /AA1	A	Interest	K	T					
75. NY ST DORM AUTH REVS NON ST 649907-A7-7 AA /NR	A	Interest	K	T					
76. NEW HYDE PARK & GARDEN CITY PARK NY 645541-CY-7 NR /AA2	A	Interest	K	T					
77. HAVERSTRAW-STONY POINT NY CENTRL SCH 419578-RM-3 NR/AA2	A	Interest	K	T					
78. PINE BUSH NY CENTRL SCH DIST 722477-LQ-7 NR /AA3	B	Interest	K	T					
79. NY ST UNLIMITED TAX A 649791-HH-6 AA+ /AA1	A	Interest	K	T					
80. CLARKSTOWN NY CENTRL SCH DIST 182324-UU-5 NR /AA2	A	Interest	K	T					
81. NY ST DORM AUTH REVS NON ST 649907-Z3-9 NR /AAA	A	Interest	K	T					

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
82. NY ST DORM AUTH ST PERSNL INC TAX 64990E-YE-1 AAA /AA1	A	Interest	K	T					
83. PORT AUTH OF NY & NJ NY CONSOL- ONE 73358W-RR-7 AA- /AA3	B	Interest	K	T					
84. UTIL DEBT SECURITIZATION AUTH NY 91802R-BZ-1 AAA /AAA	B	Interest	K	T					
85. HUDSON YDS INFRASTRUCTURE CORP NY 2ND INDENT (44420R-AM-2)	A	Interest	K	T					
86. DUTCHESS CNTY NY PUB IMPT SER B (2670397K5)	A	Interest	K	T					
87. MAMARONECK VLG NY REF LTD (561501-PX-9)	A	Interest	J	T	Buy	05/06/19	J		
88. CLARKSTOWN NY PUB IMPT (182306-2Q-2)	A	Interest	K	T					
89. WESTCHESTER CNTY NY SER A (95736U-4U-5)	A	Interest	K	T					
90. COLUMBIA CNTY NY SER B LTD (197504-SU-8)	A	Interest	K	T	Buy	06/20/19	K		
91. NYACK NY UN FREE SCH DIST (670658-KE-2)	A	Interest	K	T	Buy	07/02/19	K		
92. IRA #1 (H)									
93. JPM CHASE (cash)	B	Interest	M	T					
94. AMER CENTURY EQUITY INCOME- INV (TWEIX)	E	Dividend	M	T					
95. JPM EQUITY INCOME FD 4812C0-49-8 (HLIEX)	D	Dividend	N	T	Sold (part)	01/30/19	M	F	
96.					Buy (add'l)	12/13/19	J		
97. JPM LARGE CAP GROWTH FD (SEEGX)	E	Dividend	M	T	Sold (part)	01/30/19	M	D	
98.					Buy (add'l)	12/13/19	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)

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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NONE (No reportable income, assets, or transactions.)

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
99. JPM US EQUITY FD (JUESX)	F	Dividend	N	T	Sold (part)	01/30/19	M	E	
100.					Buy (add'l)	12/13/19	K		
101.					Buy (add'l)	12/20/19	J		
102. JPM VALUE ADVANTAGE FD (JVASX)	D	Dividend	N	T	Buy (add'l)	12/13/19	J		
103.					Buy (add'l)	12/20/19	J		
104. JPM STRATEGIC INCOME OPPORTUNITIES FD (JSOSX)	A	Dividend			Sold	01/30/19	N	B	
105. US TREAS BILL 03/05/19 (025076-10-0)	B	Distribution			Buy	02/04/19	P1		
106.					Redeemed	03/05/19	P1		
107. US TREAS BILL 06/06/19 (912796-RS-0)	D	Distribution			Buy	03/04/19	P1		
108.					Redeemed	06/06/19	P1		
109. US TREAS BILL 09/05/19 (912796-SG-5)	D	Distribution			Buy	06/03/19	P1		
110.					Redeemed	09/05/19	P1		
111. US TREAS BILL 12/05/19 (912796-RN-1)	D	Distribution			Buy	09/03/19	P1		
112.					Redeemed	12/05/19	P1		
113. US TREAS BILL 03/05/2020 (912796- TH-2)		None	P1	T	Buy	12/02/19	P1		
114. JPM CORE BOND FD (PGBOX)	E	Dividend	O	T	Buy (add'l)	01/30/19	J		
115.					Buy (add'l)	02/27/19	J		

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
116.					Buy (add'l)	03/28/19	J		
117.					Buy (add'l)	04/29/19	J		
118.					Buy (add'l)	05/30/19	J		
119.					Buy (add'l)	06/27/19	J		
120.					Buy (add'l)	07/30/19	J		
121.					Buy (add'l)	08/29/19	J		
122.					Buy (add'l)	09/27/19	J		
123.					Buy (add'l)	10/30/19	J		
124.					Buy (add'l)	11/27/19	J		
125.					Buy (add'l)	12/13/19	J		
126.					Buy (add'l)	12/30/19	J		
127. JPM SHORT DURATION BOND FD (HLLVX)	E	Dividend	O	T	Buy (add'l)	01/30/19	J		
128.					Buy (add'l)	02/27/19	J		
129.					Buy (add'l)	03/28/19	J		
130.					Buy (add'l)	04/29/19	J		
131.					Buy (add'l)	05/30/19	J		
132.					Buy (add'l)	06/27/19	J		

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
133.					Buy (add'l)	07/30/19	J		
134.					Buy (add'l)	08/29/19	J		
135.					Buy (add'l)	09/27/19	J		
136.					Buy (add'l)	10/30/19	J		
137.					Buy (add'l)	11/27/19	J		
138.					Buy (add'l)	12/30/19	J		
139. JPM UNCONSTRAINED DEBT FD (JSISX)	A	Dividend			Sold	01/30/19	M	D	
140. JPM MANAGED INCOME FD (JMGIX)	D	Dividend	M	T					
141. IRA #2 (H)									
142. JPM CHASE (cash)	A	Interest	K	T					
143. AMER CENTURY EQUITY INCOME- INV (TWEIX)	B	Dividend	K	T	Sold (part)	01/30/19	L	D	
144.					Buy (add'l)	12/23/19	J		
145. JPM EQUITY INCOME FD (HLIEX)	B	Dividend	L	T	Sold (part)	01/30/19	L	E	
146. JPM LARGE CAP GROWTH FD (SEEGX)	C	Dividend	K	T	Sold (part)	01/30/19	K	B	
147.					Buy (add'l)	12/13/19	J		
148. JPM US EQUITY FD (JUESX)	D	Dividend	L	T					
149. JPM VALUE ADVANTAGE FD - SEL FUND 1399 4812A2-59-5 (JVASX)	B	Dividend	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	

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
150. JPM STRATEGIC INCOME OPPORTUNITIES FD (JSOSX)	A	Dividend			Sold	01/30/19	L	A	
151. US TREAS BILL 03/05/19 (91276-UR-8)	A	Dividend			Buy	02/04/19	N		
152.					Redeemed	03/05/19	N		
153. US TREAS BILL 06/06/19 (912796-RS-0)	B	Dividend			Buy	03/04/19	N		
154.					Redeemed	06/06/19	N		
155. US TREAS BILL 09/05/19 (912796-SG-5)	B	Dividend			Buy	06/03/19	N		
156.					Redeemed	09/05/19	N		
157. US TREAS BILL 12/05/19 (912796-RN-1)	B	Dividend			Buy	09/03/19	N		
158.					Redeemed	12/05/19	N		
159. US TREAS BILL 03/05/20 (912796-TH-2)		None	N	T	Buy	12/02/19	N		
160. JPM CORE BOND FD (PGBOX)	C	Dividend	M	T					
161. JPM SHORT DURATION BOND FD (HLLVX)	C	Dividend	M	T					
162. JPM UNCONSTRAINED DEBT FD (JSISX)	A	Dividend			Sold	01/30/19	K		
163. IRA #3 (H)									
164. JPM CHASE (cash)	A	Interest	J	T					
165. JPM EQUITY INCOME FD (HLIEX)	A	Dividend	K	T					
166. JPM CORE BOND FD (PGBOX)	A	Dividend	J	T					

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
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(See Column C2)	U =Book Value	V =Other	W =Estimated		

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Name of Person Reporting

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
167. JPM UNCONSTRAINED DEBT FD (JSISX)	A	Dividend	J	T					
168. TRUST #1 (H)									
169. JPM TAX FREE MMKT INST SWEEP FD (cash)	A	Interest	J	T					
170. METROPOLITAN TRANSPORTATION AUTH NY DEDICATED TAX FD (59259N-ZF-3)	A	Interest			Redeemed	11/15/19	K		
171. NASSAU CNTY NY INTERIM FIN AUTH 631663-NV-9 AAA /NR	B	Interest			Redeemed	11/15/19	K		
172. ERIE CNTY NY INDL DEV AGY SCHFAC REV 29509P-KD-0 AA /AA2	B	Interest	K	T					
173. CLARKSTOWN NY REF-VAR PURP (182306-X7-0)	B	Interest	K	T					
174. SCHENECTADY CNTY NY VAR PURP (806415-V2-8)	A	Interest	K	T					
175. ROCKVILLE CENTRE NY AAA /NR (774132-W3-4)	A	Interest	K	T					
176. EDMONTON NY UN FREE SCH DIST OF GREENBURGH 280101-DR-4 NR /AA2	A	Interest	K	T					
177. NY ST BRDG AUTH 649807-CB-8 AA- / AA3	A	Interest	K	T					
178. BROOKHAVEN NY REF 113152-US-9 AA+ /AA2	A	Interest	K	T					
179. ERIE CNTY NY FISCAL STABILITY AUTH 29508R-GN-0 NR / AA1	B	Interest	K	T					
180. NY ST DORM AUTH ST PERSNL INC TAX 64990E-NF-0 AAA /AA1	B	Interest	K	T					
181. NASSAU CNTY NY SWR & STORM WTR FIN 63166Q-BY-5 AAA /AA3	B	Interest	K	T					
182. ORANGE CNTY NY REF-VAR PURP-SER A 684575-3M-3 AA /AA3	B	Interest	K	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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 NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
183. NY CITY NY TRNSTIONAL FIN AUTH BLDG 64972H-XJ-6 AA /AA2	B	Interest	K	T					
184. PORT AUTH OF NY & NJ NY SER 179 73358W-QQ-0 AA- /AA3	B	Interest	K	T					
185. THREE VLG NY CENTRL SCH DIST REF 885766-NT-8 NR /AA2	A	Interest	K	T					
186. CHEEKTOWAGA NY VAR PURP LTD TAX (162879-P3-8)	A	Interest	K	T					
187. UTIL DEBT SECURITIZATION AUTH NY (91802R-BG-3)	B	Interest	K	T					
188. NY ST DORM AUTH SALES TAX REV (64990A-EY-7)	B	Interest	K	T					
189. MT VERNON NY CITY SCH DIST (623606-D7-2)		None	K	T	Buy	11/21/19	K		
190. WAYNE CITY NY REF LTD TAX (945829-EN-5)		None	K	T	Buy	12/04/19	K		

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
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3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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Name of Person Reporting

Kaplan, Lewis A.

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

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.

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **Lewis A. Kaplan**

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

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