

AD-10
Rev. 1/93

FINANCIAL DISCLOSURE REPORT

 Report Required by the Ethics
Reform Act of 1989, Pub. L. No.
101-194, November 30, 1989
(5 U.S.C.A. App. 6, §§101-112)

1. Person Reporting (Last name, first, middle initial) KAPLAN, LEWIS A.	2. Court or Organization U.S. District Court Southern District of New York	3. Date of Report May 5, 1994
4. Title (Article III judges indicate active or senior status; Magistrate judges indicate full- or part-time) District Judge (active)	5. Report Type (check appropriate type) ☒ Nomination, Date <u>May 5, 1994</u> — Initial — Annual — Final	6. Reporting Period 1/1/93-4/29/94
7. Chambers or Office Address Paul, Weiss, Rifkind, Wharton & Garrison 1285 Avenue of the Americas New York, New York 10019-6064	8. On the basis of the information contained in this Report, it is, in my opinion, in compliance with applicable laws and regulations _____ Reviewing Officer Signature _____	

IMPORTANT NOTES: *The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each section where you have no reportable information. Sign on last page.*

I. POSITIONS. (Reporting individual only; see pp. 7-8 of Instructions.)

POSITION

NAME OF ORGANIZATION/ENTITY

☐ NONE (No reportable positions)

Partner	Paul, Weiss, Rifkind, Wharton & Garrison
Trustee	u/a dated May 8, 1990 by Dorothy A. Kaplan
Trustee	u/a dated Sept. 5, 1990 by Merrill Kaplan

II. AGREEMENTS. (Reporting individual only; see p. 8-9 of Instructions.)

DATE

PARTIES AND TERMS

☐ NONE (No reportable agreements)

See attachment II

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 9-12 of Instructions.)

 DATE
(Honoraria only)

SOURCE AND TYPE

 GROSS INCOME
(yours, not spouse's)

☐ NONE (No reportable non-investment income)

1	(1994 thru end of)	
	Paul, Weiss, Rifkind, Wharton & Garrison (rptg period)	\$ 48,000
2	Paul, Weiss, Rifkind, Wharton & Garrison (1993)	\$ 710,133
3	Paul, Weiss, Rifkind, Wharton & Garrison (1992)	\$ 796,277
4	Research Foundation of the State University NY (S)	\$
5	Pace University (S)	\$

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting
KAPLAN, LEWIS A.Date of Report
May 5, 1994

IV. REIMBURSEMENTS and GIFTS -- transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children; use the parentheticals "(S)" and "(DC)" to indicate reportable reimbursements and gifts received by spouse and dependent children, respectively. See pp.13-15 of Instructions.)

SOURCEDESCRIPTION☐

NONE (No such reportable reimbursements or gifts)

1

Exempt

2

3

4

5

6

7

8

V. OTHER GIFTS. (Includes those to spouse and dependent children; use the parentheticals "(S)" and "(DC)" to indicate other gifts received by spouse and dependent children, respectively. See pp.15-16 of Instructions.)

SOURCEDESCRIPTIONVALUE☐

NONE (No such reportable gifts)

1

Exempt

2

3

4

\$

\$

\$

\$

VI. LIABILITIES. (Includes those of spouse and dependent children; indicate where applicable, person responsible for liability by using the parenthetical "(S)" for separate liability of spouse, "(J)" for joint liability of reporting individual and spouse, and "(DC)" for liability of a dependent child. See pp.16-18 of Instructions.)

CREDITORDESCRIPTIONVALUE CODE*☒

NONE (No reportable liabilities)

1

2

3

4

5

6

7

* VALUE CODES: J = \$15,000 or less K = \$15,001 to \$50,000 L = \$50,001 to \$100,000 M = \$100,001 to \$250,000
 N = \$250,001 to \$500,000 O = \$500,001 to \$1,000,000 P = More than \$1,000,000

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting

KAPLAN, LEWIS A.

Date of Report

May 5, 1994

VIII. ADDITIONAL INFORMATION or EXPLANATIONS. (Indicate part of Report.)

I - Positions

Trustee Lawyers' Committee for Civil Rights Under Law

Partner Paul Weiss Investment Associates

Partner Handy Place Investment Partnership

III - Non-Investment Income

Iona College (\$)

IX. CERTIFICATION.

In compliance with the provisions of 28 U.S.C. § 455 and of Advisory Opinion No. 57 of the Advisory Committee on Judicial Activities, and to the best of my knowledge at the time after reasonable inquiry, I did not perform any adjudicatory function in any litigation during the period covered by this report in which I, my spouse, or my minor or dependent children had a financial interest, as defined in Canon 3C(3)(c), in the outcome of such litigation.

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.A. app. 7, § 501 et. seq., 5 U.S.C. § 7353 and Judicial Conference regulations.

Signature

Date

May 5, 1994

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.A. APP. 6, § 104, AND 18 U.S.C. § 1001.)

FILING INSTRUCTIONS:

Mail signed original and 3 additional copies to:

Judicial Ethics Committee
Administrative Office of the
United States Courts
Washington, DC 20544