

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><br><br>Kaplan, Lewis A.                                                                                                                     | <b>2. Court or Organization</b><br><br>U.S. District Court, Southern District of New York                                                                                                                                                                                                | <b>3. Date of Report</b><br><br>05/06/2021                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>United States District Judge                                                  | <b>5a. Report Type (check appropriate type)</b><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2020<br>to<br>12/31/2020 |
| <b>7. Chambers or Office Address</b><br><br>Daniel Patrick Moynihan United States Courthouse<br>500 Pearl Street<br>New York, NY 10007                                                                    |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## 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 (reportable assets are listed in Part VII) |
| 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. |  |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Kaplan, Lewis A.

Date of Report

05/06/2021

## 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><br>(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. 2020     | Pension and retirement plan pmts-pension plans for benefit of retirees of Random House, Inc. |
| 2. 2020     | 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.            |              |                 |                |                               |
| 2.            |              |                 |                |                               |
| 3.            |              |                 |                |                               |
| 4.            |              |                 |                |                               |
| 5.            |              |                 |                |                               |

|                          |                |
|--------------------------|----------------|
| Name of Person Reporting | Date of Report |
| Kaplan, Lewis A.         | 05/06/2021     |

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

Kaplan, Lewis A.

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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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Individual Assets (H)                                                                                                   |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 2. CITIBANK (cash)                                                                                                         | A                                      | Interest                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. JP MORGAN CHASE (cash)                                                                                                  | A                                      | Interest                                      | N                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 4. COMMUNITY BANK (cash)                                                                                                   | A                                      | Interest                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. NY LIFE INS. (whole life policies)                                                                                      | B                                      | Dividend                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 6. Account #1 (H)                                                                                                          |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 7. JPM CHASE (cash)                                                                                                        | A                                      | Int./Div.                                     | N                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 8. AMER CENTURY EQUITY INCOME-<br>INV (TWEIX)                                                                              |                                        | None                                          |                                                |                                           | Sold<br>(part)                                  | 03/06/20                | L                               | E                              |                                                                   |
| 9.                                                                                                                         |                                        |                                               |                                                |                                           | Sold                                            | 03/09/20                | L                               | E                              |                                                                   |
| 10. JPM EQUITY INCOME FD (HLIEX)                                                                                           | B                                      | Dividend                                      | M                                              | T                                         | Sold<br>(part)                                  | 03/06/20                | M                               | E                              |                                                                   |
| 11.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 03/09/20                | M                               | F                              |                                                                   |
| 12.                                                                                                                        |                                        |                                               |                                                |                                           | Buy                                             | 09/03/20                | L                               |                                |                                                                   |
| 13.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 11/27/20                | L                               |                                |                                                                   |
| 14. JPM LARGE CAP GROWTH FD (SEEGX)                                                                                        |                                        | None                                          |                                                |                                           | Sold<br>(part)                                  | 03/06/20                | L                               | E                              |                                                                   |
| 15.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 03/09/20                | L                               | E                              |                                                                   |
| 16. JPM US EQUITY FD (JUESX)                                                                                               |                                        | None                                          |                                                |                                           | Sold<br>(part)                                  | 03/06/20                | M                               | F                              |                                                                   |
| 17.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 03/09/20                | M                               | F                              |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

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Date of Report

05/06/2021

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. JPM VALUE ADVANTAGE FD (JVASX)                                                                                         |                                        | None                                          |                                                |                                           | Sold<br>(part)                                  | 03/06/20                | M                               | D                              |                                                                   |
| 19.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 03/09/20                | M                               | C                              |                                                                   |
| 20. US TREAS BILL 03/05/2020 (912796TH2)                                                                                   | C                                      | Interest                                      |                                                |                                           | Redeemed                                        | 03/05/20                | P1                              |                                |                                                                   |
| 21. US TREAS BILL 06/04/20 (912796-TX-7)                                                                                   | C                                      | Interest                                      |                                                |                                           | Buy                                             | 03/02/20                | P1                              |                                |                                                                   |
| 22.                                                                                                                        |                                        |                                               |                                                |                                           | Redeemed                                        | 06/04/20                | P1                              |                                |                                                                   |
| 23. US TREAS BILL 06/11/20 (912796-TZ-2)                                                                                   | A                                      | Interest                                      |                                                |                                           | Buy                                             | 03/13/20                | O                               |                                |                                                                   |
| 24.                                                                                                                        |                                        |                                               |                                                |                                           | Redeemed                                        | 06/11/20                | O                               |                                |                                                                   |
| 25. US TREAS BILL 09/17/20 (912796-2G-3)                                                                                   | A                                      | Interest                                      |                                                |                                           | Buy                                             | 06/15/20                | P1                              |                                |                                                                   |
| 26.                                                                                                                        |                                        |                                               |                                                |                                           | Redeemed                                        | 09/17/20                | P1                              |                                |                                                                   |
| 27. US TREAS BILL 12/24/20 (912796-3L-1)                                                                                   | A                                      | Interest                                      |                                                |                                           | Buy                                             | 09/21/20                | P1                              |                                |                                                                   |
| 28.                                                                                                                        |                                        |                                               |                                                |                                           | Redeemed                                        | 12/24/20                | P1                              |                                |                                                                   |
| 29. US TREAS BILL 03/25/21 (912796-2F-5)                                                                                   |                                        | None                                          | P1                                             | T                                         | Buy                                             | 12/23/20                | P1                              |                                |                                                                   |
| 30. JPM CORE BOND FD (PGBOX)                                                                                               | E                                      | Dividend                                      | O                                              | T                                         | Buy<br>(add'l)                                  | 01/30/20                | J                               |                                |                                                                   |
| 31.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 02/27/20                | J                               |                                |                                                                   |
| 32.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 03/30/20                | J                               |                                |                                                                   |
| 33.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 04/29/20                | J                               |                                |                                                                   |
| 34.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 05/28/20                | J                               |                                |                                                                   |

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

☐

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

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/29/20         | J                        |                         |                                                            |
| 36.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/30/20         | J                        |                         |                                                            |
| 37.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/28/20         | J                        |                         |                                                            |
| 38.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/29/20         | J                        |                         |                                                            |
| 39.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/29/20         | J                        |                         |                                                            |
| 40.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/27/20         | J                        |                         |                                                            |
| 41.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/14/20         | J                        |                         |                                                            |
| 42. JPM SHORT DURATION BOND FD<br>(HLLVX)                                                                                  | E                                      | Dividend                               | O                                              | T                                  | Buy<br>(add'l)                            | 01/30/20         | J                        |                         |                                                            |
| 43.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 02/27/20         | J                        |                         |                                                            |
| 44.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/30/20         | J                        |                         |                                                            |
| 45.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 04/29/20         | J                        |                         |                                                            |
| 46.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 05/28/20         | J                        |                         |                                                            |
| 47.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/29/20         | J                        |                         |                                                            |
| 48.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/30/20         | J                        |                         |                                                            |
| 49.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/28/20         | J                        |                         |                                                            |
| 50.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/29/20         | J                        |                         |                                                            |
| 51.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/29/20         | J                        |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
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| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

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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 spouse and dependent children; see pp. 34-60 of filing instructions.)

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

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 12/14/20                | J                               |                                |                                                                   |
| 53. JPM MANAGED INCOME FD (JMGIX)                                                                                          | C                                      | Dividend                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 54. Account #2 (H)                                                                                                         |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 55. JPM CHASE (cash)                                                                                                       | A                                      | Int./Div.                                     | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 56. AMER CENTURY EQUITY INCOME-<br>INV (TWEIX)                                                                             |                                        | None                                          |                                                |                                           | Sold<br>(part)                                  | 03/06/20                | J                               | B                              |                                                                   |
| 57.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 03/09/20                | J                               | B                              |                                                                   |
| 58. JPM EQUITY INCOME FD (HLIEX)                                                                                           | A                                      | Dividend                                      |                                                |                                           | Sold<br>(part)                                  | 03/06/20                | K                               | D                              |                                                                   |
| 59.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 03/09/20                | K                               | D                              |                                                                   |
| 60. JPM LARGE CAP GROWTH FD (SEEGX)                                                                                        |                                        | None                                          |                                                |                                           | Sold<br>(part)                                  | 03/06/20                | K                               | C                              |                                                                   |
| 61.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 03/09/20                | K                               | C                              |                                                                   |
| 62. JPM US EQUITY FD (JUESX)                                                                                               |                                        | None                                          |                                                |                                           | Sold<br>(part)                                  | 03/06/20                | K                               | D                              |                                                                   |
| 63.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 03/09/20                | K                               | D                              |                                                                   |
| 64. JPM VALUE ADVANTAGE FD - SEL<br>FUND 1399 (JVASX)                                                                      |                                        | None                                          |                                                |                                           | Sold<br>(part)                                  | 03/06/20                | K                               | A                              |                                                                   |
| 65.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 03/09/20                | K                               | A                              |                                                                   |
| 66. US TREAS BILL 03/05/20 (912796TH2)                                                                                     | B                                      | Interest                                      |                                                |                                           | Redeemed                                        | 03/05/20                | N                               |                                |                                                                   |
| 67. US TREAS BILL 06/04/20 (912796-TX-7)                                                                                   |                                        | None                                          |                                                |                                           | Buy                                             | 03/02/20                | N                               |                                |                                                                   |
| 68.                                                                                                                        |                                        |                                               |                                                |                                           | Redeemed                                        | 06/04/20                | N                               |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

Page 8 of 17

Name of Person Reporting

Kaplan, Lewis A.

Date of Report

05/06/2021

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 69. US TREAS BILL 06/11/20 (912796-TZ-2)                                                                                   |                                        | None                                          |                                                |                                           | Buy                                             | 03/13/20                | M                               |                                |                                                                   |
| 70.                                                                                                                        |                                        |                                               |                                                |                                           | Redeemed                                        | 06/11/20                | M                               |                                |                                                                   |
| 71. US TREAS BILL 09/17/20 (912796-2G-3)                                                                                   |                                        | None                                          |                                                |                                           | Buy                                             | 06/15/20                | N                               |                                |                                                                   |
| 72.                                                                                                                        |                                        |                                               |                                                |                                           | Redeemed                                        | 09/17/20                | N                               |                                |                                                                   |
| 73. US TREAS BILL 12/24/20 (912796-3L-1)                                                                                   | A                                      | Interest                                      |                                                |                                           | Buy                                             | 09/21/20                | N                               |                                |                                                                   |
| 74.                                                                                                                        |                                        |                                               |                                                |                                           | Redeemed                                        | 12/24/20                | N                               |                                |                                                                   |
| 75. US TREAS BILL 03/25/21 (912796-2F-5)                                                                                   |                                        | None                                          | N                                              | T                                         | Buy                                             | 12/23/20                | N                               |                                |                                                                   |
| 76. JPM CORE BOND FD (PGBOX)                                                                                               | C                                      | Dividend                                      | M                                              | T                                         | Buy<br>(add'l)                                  | 12/14/20                | J                               |                                |                                                                   |
| 77. JPM SHORT DURATION BOND FD<br>(HLLVX)                                                                                  | C                                      | Dividend                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 78. Account #3 (H)                                                                                                         |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 79. JPM CHASE (cash)                                                                                                       | A                                      | Interest                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 80. JPM EQUITY INCOME FD (HLIEX)                                                                                           | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 81. JPM CORE BOND FD (PGBOX)                                                                                               | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 82. JPM UNCONSTRAINED DEBT FD<br>(JSISX)                                                                                   | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 83. Account #4 (H)                                                                                                         |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 84. JPM TAX FREE MMKT INST SWEEP FD<br>(cash) (Y)                                                                          |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 85. ERIE CNTY NY INDL DEV AGY<br>SCHFAC REV (29509PKD0)                                                                    | A                                      | Interest                                      |                                                |                                           | Redeemed                                        | 05/01/20                | K                               |                                |                                                                   |

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

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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 86. CLARKSTOWN NY REF-VAR PURP<br>(182306X70)                                                                              | B                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 87. SCHENECTADY CNTY NY VAR PURP<br>(806415V28)                                                                            | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 88. ROCKVILLE CENTRE NY (774132W34)                                                                                        | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 89. EDGEMONT NY UN FREE SCH DIST OF<br>GREENBURGH (280101DR4)                                                              | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 90. NY ST BRDG AUTH (649807CB8)                                                                                            | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 91. BROOKHAVEN NY REF (113152US9)                                                                                          | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 92. ERIE CNTY NY FISCAL<br>STABILITY AUTH (29508RGN0)                                                                      | B                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 93. NY ST DORM AUTH ST PERSNL INC<br>TAX (64990ENF0)                                                                       | B                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 94. NASSAU CNTY NY SWR & STORM<br>WTR FIN (63166QBY5)                                                                      | B                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 95. ORANGE CNTY NY REF-VAR PURP-<br>SER A (6845753M3)                                                                      | B                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 96. NY CITY NY TRNSTIONAL FIN AUTH<br>BLDG (64972HXXJ6)                                                                    | B                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 97. PORT AUTH OF NY & NJ NY SER 179<br>(73358WQQ0)                                                                         | B                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 98. THREE VLG NY CENTRL SCH DIST<br>REF (885766NT8)                                                                        | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 99. CHEEKTOWAGA NY VAR PURP LTD<br>TAX (162879P38)                                                                         | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 100. UTIL DEBT SECURITIZATION AUTH<br>NY (91802RBG3)                                                                       | B                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 101. NY ST DORM AUTH SALES TAX REV<br>(64990AEY7)                                                                          | B                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 102. MT VERNON NY CITY SCH DIST<br>(623606D72)                                                                             | 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

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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 103. WAYNE CITY NY REF LTD TAX<br>(945829EN5)                                                                              | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 104. NY NY FISCAL 2020-SER B-1 (64966Q-FC-9)                                                                               | A                                      | Interest                               | K                                              | T                                  | Buy                                       | 05/08/20         | K                        |                         |                                                            |
| 105. Account #5 (H)                                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 106. JPM TAX FREE MMKT INST SWEEP FD<br>(cash)                                                                             | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 107. FALCONER NEW YORK CENTRAL<br>SCHOOL (306117CU4)                                                                       | A                                      | Interest                               |                                                |                                    | Redeemed                                  | 06/15/20         | K                        |                         |                                                            |
| 108. PEMBROKE NEW YORK CENTRAL<br>SCHOOL (706427BY6)                                                                       | A                                      | Interest                               |                                                |                                    | Redeemed                                  | 06/15/20         | K                        |                         |                                                            |
| 109. TRIBOROUGH NY BRIDGE &<br>TUNNELAUTH REVENUES<br>(89602NZB3)                                                          | A                                      | Interest                               |                                                |                                    | Redeemed                                  | 11/16/20         | K                        |                         |                                                            |
| 110. WESTCHESTER CNTY NY SER B<br>(95736UZS6)                                                                              | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 111. PLAINVIEW OLD BETHPAGE NY<br>CENTRL SCH (726715HX6)                                                                   | B                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 112. NASSAU CNTY NY INTERIM FIN AUTH<br>(631663NN7)                                                                        | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 113. SHENENDEHOWA NY CENTRL SCH<br>DIST REF (823194F26)                                                                    | B                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 114. ISLAND TREES NY UNION FREE<br>(464568GK4)                                                                             | B                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 115. SARATOGA SPRINGS NY REF-PUB<br>IMPT (803531TR3)                                                                       | B                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 116. ALBANY NY LTD TAX (012429AE6)                                                                                         | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 117. NY CITY NY TRNSTIONAL FIN AUTH<br>REV FUTURE (64971WV7)                                                               | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 118. NY ST DORM AUTH ST PERSNL INC<br>TAX (64990E3R6)                                                                      | 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

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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| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 119. NY ST DORM AUTH REVS NON<br>ST SUPPORTED DEBT GR NECK<br>(649907Z39)                                                  | B                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 120. NY ST ENVRNMNTL FACS CORP ST<br>CLEAN WTR & DRINKING (64986AZ61)                                                      | B                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 121. HUDSON YDS INFRASTRUCTURE<br>CORP NY 2ND INDENT (44420RAM2)                                                           | B                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 122. NY CITY NY MUNI WTR FIN AUTH<br>WTR (64972GUK8)                                                                       | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 123. SALES TAX ASSET RECEIVABLE CORP<br>NY (794665FM6)                                                                     | B                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 124. NY CTY NY TR CULTURAL RES<br>REF - MUSEUM OF MODERN ART<br>(649717SZ9)                                                | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 125. ARLINGTON NY CENTRAL SCH DIST<br>REF UNLTD TAX (041717NR6)                                                            | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 126. SOUTHAMPTON NY UN FREE SCHOOL<br>REF UNLIMITED TAX (841098DS2)                                                        | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 127. MONROE CNTY NY INDL DEN CORP<br>REV REF - U OF ROCHESTER PR<br>(61075TRY6)                                            | B                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 128. MET TRANSPRTN AUTH REV GREEN<br>BDS REF SER C (59261APX9)                                                             | B                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 129. UTIL DEBT SECURITIZATION AUTH<br>NY REF RESTR SER A (91802RCK3)                                                       | B                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 130. ORCHARD PK NY CENTRL SCH DIST<br>(870994969)                                                                          | B                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 131. MT VERNON NY CITY CENTRL SCH<br>DIST (623606C24)                                                                      | B                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 132. RIVERHEAD NY PUB IMPT-SER A LTD<br>(768738XQ4)                                                                        | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 133. THREE VLG NY CENTRL SCH DIST<br>(885766NW1)                                                                           | B                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 134. HAVERSTRAW TOWN NY REF (419583-<br>AL-3)                                                                              | A                                      | Interest                               | K                                              | T                                  | Buy                                       | 06/18/20         | 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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P2 =\$5,000,001 - \$25,000,000

T =Cash Market

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

# FINANCIAL DISCLOSURE REPORT

Page 12 of 17

Name of Person Reporting

Kaplan, Lewis A.

Date of Report

05/06/2021

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 135. N TX ST MUNI WTR DIST REGL<br>WSTWTR (662835-M9-5)                                                                    | A                                      | Interest                                      | K                                              | T                                         | Buy                                             | 06/29/20                | K                               |                                |                                                                   |
| 136. Account #6 (H)                                                                                                        |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 137. JPM TAX FREE MMKT INST SWEEP FD<br>(cash)                                                                             | A                                      | Interest                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 138. PEMBROKE NEW YORK CENTRAL<br>SCHOOL (706427BY6)                                                                       | A                                      | Interest                                      |                                                |                                           | Redeemed                                        | 06/15/20                | K                               |                                |                                                                   |
| 139. EDMONT NY UN FREE SCH DIST OF<br>GREENBURGH (280101DP8)                                                               | A                                      | Interest                                      |                                                |                                           | Redeemed                                        | 08/17/20                | K                               |                                |                                                                   |
| 140. ISLIP NY REF (4647226W2)                                                                                              | B                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 141. COLD SPRING HBR NY CENTRL SCH<br>DIST REF (192867FM6)                                                                 | A                                      | Interest                                      |                                                |                                           | Redeemed                                        | 02/04/20                | K                               |                                |                                                                   |
| 142. NEW YORK ST DORM AUTH SALES (1)<br>(64990A-PW-9)                                                                      | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 143. NEW YORK ST DORM AUTH SALES (2)<br>(64990A-PY-5)                                                                      | A                                      | Interest                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 144. NORTH SHORE NY CENTRL SCH DIST<br>(662323HL1)                                                                         | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 145. SHENENDEHOWA NY CENTRL SCH<br>DIST REF (823194F26)                                                                    | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 146. NY CITY NY MUNI WTR FINAUTH<br>WTR & SWR SYS REV (1) (64972G-<br>XL-3)                                                | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 147. NY CITY NY MUNI WTR FINAUTH<br>WTR & SWR SYS REV (2) (64972G-<br>XK-5)                                                | A                                      | Interest                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 148. PITTSFORD NY CENTRL SCH DIST<br>(725635EJ1)                                                                           | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 149. SARATOGA SPRINGS NY REF-PUB<br>IMPT (803531TR3)                                                                       | B                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 150. ALBANY NY LTD TAX 4.0%<br>(012429AE6)                                                                                 | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Kaplan, Lewis A.

Date of Report

05/06/2021

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 151. NY CITY NY TRNSTIONAL FIN AUTH REV (64971WV7)                                                                         | B                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 152. NY ST REF SER C UNLTD TAX (649791ME7)                                                                                 | B                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 153. NY ST ENVRNMNTL FACS CORP ST CLEAN WTR & DRINKING (64986AZ61)                                                         | B                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 154. NY CITY NY TRNSTIONAL FIN AUTH BLDG AID REV (64972HVC3)                                                               | B                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 155. NY ST DORM AUTH REVS NON ST (649907Z47)                                                                               | B                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 156. UTIL DEBT SECURITIZATION AUTH NY (91802RBX6)                                                                          | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 157. ELMSFORD NY UN FREE SCH DIST (290011BC8)                                                                              | B                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 158. ONONDAGA CNTY NY (6827457H1)                                                                                          | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 159. UTIL DEBT SECURITIZATION AUTH NY (91802RBZ1)                                                                          | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 160. PORT CHESTER NY REF-PUBLIC IMPT-SER (733760US9)                                                                       | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 161. HUDSON YDS INFRASTRUCTURE CORP NY 2ND INDENT (44420RAM2)                                                              | B                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 162. NY ST URBAN DEV CORP REF PERS INCOME TAX SER A (650035T99)                                                            | B                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 163. RYE NECK NY UN FREE SCH DIST SER A (783583GA9)                                                                        | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 164. LANCASTER NY CENTRL SCH DIST SER A (514224-PS-7)                                                                      |                                        | None                                          | K                                              | T                                         | Buy                                             | 08/25/20                | K                               |                                |                                                                   |
| 165. NYACK NY UN FREE SCH DIST UNLTD (670658KE2)                                                                           | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 166. PORT AUTH OF NY & NJ NY REF (73358W-V3-5)                                                                             | A                                      | Interest                                      | K                                              | T                                         | Buy                                             | 02/21/20                | K                               |                                |                                                                   |
| 167. DALLAS TX WTRWKS & SWR SYS REV SER C (23542J-JU-0)                                                                    | A                                      | Interest                                      | K                                              | T                                         | Buy                                             | 06/16/20                | K                               |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Kaplan, Lewis A.

Date of Report

05/06/2021

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 168. Account #7 (H)                                                                                                        |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 169. JPM TAX FREE MMKT INST SWEEP FD<br>(cash)                                                                             | A                                      | Interest                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 170. FALCONER NEW YORK CENTRAL<br>SCHOOL (306117CU4)                                                                       | A                                      | Interest                                      |                                                |                                           | Redeemed                                        | 06/15/20                | K                               |                                |                                                                   |
| 171. SHENENDEHOWA NY CENTRL SCH<br>DIST REF (823194E76)                                                                    | A                                      | Interest                                      |                                                |                                           | Redeemed                                        | 06/15/20                | K                               |                                |                                                                   |
| 172. NY CITY NY TR FOR CULTURAL RES<br>(649717RK3)                                                                         | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 173. EAST ISLIP NY UNION FREE SCH DIST<br>(273173KC7)                                                                      | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 174. PITTSFORD NY CENTRL SCH DIST<br>(725635EJ1)                                                                           | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 175. NY ST DORM AUTH REVS NON ST<br>(649907A77)                                                                            | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 176. NEW HYDE PARK & GARDEN CITY<br>PARK NY (645541CY7)                                                                    | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 177. HAVERSTRAW-STONY POINT NY<br>CENTRL SCH (419578RM3)                                                                   | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 178. PINE BUSH NY CENTRL SCH DIST<br>(722477LQ7)                                                                           | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 179. NY ST UNLIMITED TAX A (649791HH6)                                                                                     | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 180. CLARKSTOWN NY CENTRL SCH DIST<br>(182324UU5)                                                                          | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 181. NY ST DORM AUTH REVS NON ST<br>(649907Z39)                                                                            | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 182. NY ST DORM AUTH ST PERSNL INC<br>TAX (64990EYE1)                                                                      | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 183. PORT AUTH OF NY & NJ NY CONSOL-<br>ONE (73358WRR7)                                                                    | B                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 184. UTIL DEBT SECURITIZATION AUTH<br>NY (91802RBZ1)                                                                       | B                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |

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

☐

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

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 185. HUDSON YDS INFRASTRUCTURE<br>CORP NY 2ND INDENT (44420RAM2)                                                           | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 186. DUTCHESS CNTY NY PUB IMPT SER B<br>(2670397K5)                                                                        | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 187. MAMARONECK VLG NY REF LTD<br>(561501PX9)                                                                              | A                                      | Interest                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 188. CLARKSTOWN NY PUB IMPT<br>(1823062Q2)                                                                                 | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 189. WESTCHESTER CNTY NY SER A<br>(95736U4U5)                                                                              | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 190. COLUMBIA CNTY NY SER B LTD<br>(197504SU8)                                                                             | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 191. NYACK NY UN FREE SCH DIST<br>(670658KE2)                                                                              | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 192. NY ST URBAN DEV CORP REV SER A<br>(650036-AC-0)                                                                       | A                                      | Interest                               | K                                              | T                                  | Buy                                       | 06/30/20         | K                        |                         |                                                            |
| 193. N TX ST MUNI WTR DIST REGL<br>WSTWTR (662835-M9-5)                                                                    | A                                      | Interest                               | K                                              | T                                  | Buy                                       | 06/29/20         | K                        |                         |                                                            |

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

**FINANCIAL DISCLOSURE REPORT**

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Name of Person Reporting

Kaplan, Lewis A.

Date of Report

05/06/2021

**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.

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Kaplan, Lewis A.

Date of Report

05/06/2021

## 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