

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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

1. Person Reporting (last name, first, middle initial) Kaplan, Lewis A.	2. Court or Organization U.S. District Court, S.D.N.Y.	3. Date of Report 05/10/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address Daniel Patrick Moynihan United States Courthouse 500 Pearl Street New York, NY 10007		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Trustee	Trust #1
2.	Trustee	Trust #2
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.		
2.		
3.		

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*

DATE	SOURCE AND TYPE	INCOME (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.)*

DATE	SOURCE AND TYPE
1. 2018	Pension and retirement plan pmts-pension plans for benefit of retirees of Random House, Inc.
2. 2018	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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.				
2.				
3.				
4.				
5.				

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

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

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

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. CITIBANK (cash)	A	Interest	J	T					
2. JP MORGAN CHASE (cash)	A	Interest	M	T					
3. NATIONAL UNION BANK	A	Interest	J	T					
4. NY LIFE INS. (whole life policies)	A	Dividend	L	T					
5. BROKERAGE ACCOUNT #1 (H)									
6. JPM TAX FREE MMKT INST SWEEP FD (cash) (Y)									
7. STATE OF NEW YORK TOLLWAY AUTHORITY ST PERS 650028-NX-7 AAA /AA1	A	Interest			Redeemed	03/15/18	K		
8. NY CITY NY MUNI WTR FIN AUTH WTR & SWR SYS 64972F-A5-5 AA+ / AA1	A	Interest			Redeemed	06/15/18	K		
9. NY ST REF-SER C 649791-JB-7 AA+ / AA1	A	Interest			Sold	12/27/18	K		
10. PORT WA NY UN FREE SCH DIST REF 735581-LU-2 NR /AA2	A	Interest	K	T					
11. NORTH SHORE NY CENTRL SCH DIST 662323-HJ-6 NR /AA1	A	Interest	K	T					
12. FALCONER NEW YORK CENTRAL SCHOOL 306117-CU-4 AA /A2	B	Interest	K	T					
13. PEMBROKE NEW YORK CENTRAL SCHOOL 706427-BY-6 AA- /NR	B	Interest	L	T					
14. TRIBOROUGH NY BRIDGE & TUNNELAUTH REVENUES 89602N- ZB-3 AA- /AA3	A	Interest	J	T	Sold (part)	12/27/18	K		
15. WESTCHESTER CNTY NY SER B 95736U-ZS-6 AAA /AA1	A	Interest	K	T					
16. PLAINVIEW OLD BETHPAGE NY CENTRL SCH 726715-HX-6 AAA /NR	B	Interest	K	T					

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

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
17. NASSAU CNTY NY INTERIM FIN AUTH 631663-NN-7 AAA /NR	A	Interest	K	T					
18. SHENENDEHOWA NY CENTRL SCH DIST REF 823194-F2-6 AA /NR	B	Interest	K	T					
19. ISLAND TREES NY UNION FREE 464568-GK-4 NR /AA2	B	Interest	K	T					
20. SARATOGA SPRINGS NY REF-PUB IMPT 803531-TR-3 AA+ /NR	B	Interest	K	T					
21. ALBANY NY LTD TAX 012429-AE-6		None	K	T	Buy	06/25/18	K		
22. NY CITY NY TRNSTIONAL FIN AUTH REV FUTURE 64971W-FV-7 AAA /AA1	B	Interest	K	T					
23. NY ST DORM AUTH ST PERSNL INC TAX 64990E-3R-6 AAA /AA1	B	Interest	K	T					
24. NY ST DORM AUTH REVS NON ST SUPPORTED DEBT GR NECK 649907- Z3-9 NR/AAA	A	Interest	K	T					
25. NY ST ENVRNMNTL FACS CORP ST CLEAN WTR & DRINKING 64986A-Z6-1 AAA /AAA	B	Interest	K	T					
26. HUDSON YDS INFRASTRUCTURE CORP NY 2ND INDENT (44420R-AM-2)	B	Interest	K	T					
27. NY ST DORM AUTH SALES TAX REV 64990A-DR-3 AAA /AA1	B	Interest			Sold	12/27/18	K		
28. SALES TAX ASSET RECEIVABLE CORP NY 794665-FM-6 AAA /AA1	A	Interest	K	T					
29. NY CTY NY TR CULTURAL RES REF - MUSEUM OF MODERN ART (649717- SZ-9)	A	Interest	K	T					
30. ARLINGTON NY CENTRAL SCH DIST REF UNLTD TAX (041717-NR-6)	A	Interest	K	T					
31. SOUTHAMPTON NY UN FREE SCHOOL REF UNLIMITED TAX (841098-DS-2)	A	Interest	K	T					
32. MONROE CNTY NY INDL DEN CORP REV REF - U OF ROCHESTER PR (61075T-RY-6)	A	Interest	K	T					

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
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33. MET TRANSPRTN AUTH REV GREEN BDS REF SER C (59261A-PX-9)	A	Interest	K	T					
34. UTIL DEBT SECURITIZATION AUTH NY REF RESTR SER A (91802R-CK-3)	B	Interest	K	T					
35. ORCHARD PK NY CENTRL SCH DIST 870994-96-9		None	K	T	Buy	03/20/18	K		
36. MT VERNON NY CITY CENTRL SCH DIST 623606-C2-4		None	K	T	Buy	12/04/18	K		
37. RIVERHEAD NY PUB IMPT-SER A LTD 768738-XQ-4		None	K	T	Buy	11/26/18	K		
38. THREE VLG NY CENTRL SCH DIST 885766-NW-1		None	K	T	Buy	12/13/18	K		
39. BROKERAGE ACCOUNT #2 (H)									
40. JPM TAX FREE MMKT INST SWEEP FD (cash)	A	Interest	J	T					
41. WESTCHESTER CNTY NY LIMITED 95736U-YW-8 AAA /AA1	A	Interest			Redeemed	07/02/18	K		
42. SACHEM NY CENTRL SCH DIST OF HOLBROOK 785721-TR-2 AA /NR	A	Interest			Redeemed	07/02/18	K		
43. STATE OF NEW YORK THRUWAY AUTHORITY ST PERS 650028-PM-9 AAA /AA1	A	Interest			Redeemed	09/17/18	K		
44. ARLINGTON NEW YORK CENTRAL SCHOOL 041717-LD-9 AA- /NR	B	Interest	L	T					
45. PORT WA NY UN FREE SCH DIST REF 735581-LU-2 NR /AA2	A	Interest	K	T					
46. COLD SPRING HBR NY CENTRL SCH DIST REF 192867-FM-6 AAA /NR	B	Interest	K	T					
47. PEMBROKE NEW YORK CENTRAL SCHOOL 706427-BY-6 AA- /NR	B	Interest	L	T					
48. EDMONTON NY UN FREE SCH DIST OF GREENBURGH 280101-DP-8 NR /AA2	A	Interest	K	T					

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49. ISLIP NY REF 464722-6W-2 AA+ /AA1	B	Interest	K	T					
50. NY ST DORM AUTH SALES TAX REV 64990A-BA-2 AAA /AA1	B	Interest	K	T					
51. NORTH SHORE NY CENTRL SCH DIST 662323-HL-1 NR /AA1	A	Interest	K	T					
52. SHENENDEHOWA NY CENTRL SCH DIST REF 823194-F2-6 AA /NR	B	Interest	K	T					
53. NY CITY NY MUNI WTR FINAUTH WTR & SWR SYS REV 64972G-DT-8 AA + /AA1	B	Interest	K	T					
54. PITTSFORD NY CENTRL SCH DIST 725635-EJ-1 NR /AA1	A	Interest	K	T					
55. SARATOGA SPRINGS NY REF-PUB IMPT 803531-TR-3 AA+ /NR	B	Interest	K	T					
56. ALBANY NY LTD TAX 4.0% (012429-AE-6 AA)		None	K	T	Buy	07/09/18	K		
57. NY CITY NY TRNSTIONAL FIN AUTH REV 64971W-FV-7 AAA /AA1	B	Interest	K	T					
58. NY ST REF SER C UNLTD TAX (649791-ME-7)	A	Interest	K	T					
59. NY ST ENVRNMNTL FACS CORP ST CLEAN WTR & DRINKING 64986A-Z6-1 AAA /AA	B	Interest	K	T					
60. NY CITY NY TRNSTIONAL FIN AUTH BLDG AID REV 64972H-VC-3 AA /AA2	A	Interest	K	T					
61. NY ST DORM AUTH REVS NON ST 649907-Z4-7 NR /AAA	B	Interest	K	T					
62. UTIL DEBT SECURITIZATION AUTH NY (91802R-BX-6)		None	K	T	Buy	08/14/18	K		
63. ELMSFORD NY UN FREE SCH DIST (290011-BC-8 NA) /AA2		None	K	T	Buy	07/06/18	K		
64. ONONDAGA CNTY NY 682745-7H-1 AA + /AA2	A	Interest	K	T					

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65. UTIL DEBT SECURITIZATION AUTH NY 91802R-BZ-1 AAA /AAA	A	Interest	K	T					
66. PORT CHESTER NY REF-PUBLIC IMPT- SER 733760-US-9 NR /AA3	A	Interest	K	T					
67. HUDSON YDS INFRASTRUCTURE CORP NY 2ND INDENT (44420R-AM-2)	B	Interest	K	T					
68. NY ST URBAN DEV CORP REF PERS INCOME TAX SER A (650035-T9-9)	B	Interest	K	T					
69. BROKERAGE ACCOUNT #3 (H)									
70. JPM TAX FREE MMKT INST SWEEP FD (cash)	A	Interest	J	T					
71. OZARK MISSOURI REORG SCHOOL DISTRICT 692634-CZ-9 AA+ /NR	A	Interest			Redeemed	03/01/18	J		
72. ROSLYN NY UN FREE SCH DIST 778190-FY-9 NR /AA1	A	Interest			Redeemed	10/15/18	K		
73. NY ST ENVRNMENTL FACS CORP REV 64985H-JV-0 AAA /AAA	A	Interest			Redeemed	11/15/18	K		
74. HALFMOON NY REF-PUB IMPT 405729- LR-3 AA /NR	A	Interest	K	T					
75. HILTON NY CENTRL SCH DIST 432884- MJ-0 AA- /NR	A	Interest	K	T					
76. FALCONER NEW YORK CENTRAL SCHOOL 306117-CU-4 AA /A2	B	Interest	K	T					
77. SHENENDEHOWA NY CENTRL SCH DIST REF 823194-E7-6 AA /NR	A	Interest	K	T					
78. NY CITY NY TR FOR CULTURAL RES 649717-RK-3 AA /AA2	A	Interest	K	T					
79. EAST ISLIP NY UNION FREE SCH DIST 273173-KC-7 AA /NR	A	Interest	K	T					
80. PITTSFORD NY CENTRL SCH DIST 725635-EJ-1 NR /AA1	A	Interest	K	T					
81. NY ST DORM AUTH REVS NON ST 649907-A7-7 AA /NR	A	Interest	K	T					

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82. NEW HYDE PARK & GARDEN CITY PARK NY 645541-CY-7 NR /AA2	A	Interest	K	T					
83. HAVERSTRAW-STONY POINT NY CENTRL SCH 419578-RM-3 NR/AA2	A	Interest	K	T					
84. PINE BUSH NY CENTRL SCH DIST 722477-LQ-7 NR /AA3	B	Interest	K	T					
85. NY ST UNLIMITED TAX A 649791-HH-6 AA+ /AA1	A	Interest	K	T					
86. CLARKSTOWN NY CENTRL SCH DIST 182324-UU-5 NR /AA2	A	Interest	K	T					
87. NY ST DORM AUTH REVS NON ST 649907-Z3-9 NR /AAA	A	Interest	K	T					
88. NY ST DORM AUTH ST PERSNL INC TAX 64990E-YE-1 AAA /AA1	A	Interest	K	T					
89. PORT AUTH OF NY & NJ NY CONSOL- ONE 73358W-RR-7 AA- /AA3	B	Interest	K	T					
90. UTIL DEBT SECURITIZATION AUTH NY 91802R-BZ-1 AAA /AAA	B	Interest	K	T					
91. HUDSON YDS INFRASTRUCTURE CORP NY 2ND INDENT (44420R-AM-2)	A	Interest	K	T					
92. DUTCHESS CNTY NY PUB IMPT SER B (2670397K5)		None	K	T	Buy	03/06/18	K		
93. CLARKSTOWN NY PUB IMPT (182306-2Q-2)		None	K	T	Buy	10/15/18	K		
94. WESTCHESTER CNTY NY SER A (95736U-4U-5)		None	K	T	Buy	11/30/18	K		
95. IRA #1 (H)									
96. JPM CHASE (cash)	A	Interest	N	T					
97. AMER CENTURY EQUITY (TWEIX) INCOME-INV	E	Dividend	M	T	Sold (part)	02/09/18	K	D	
98. JPM EQUITY INCOME FD 4812C0-49-8 (HLIEX)	E	Dividend	O	T	Sold (part)	02/09/18	L	D	

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
99. JPM LARGE CAP GROWTH FD (SEEGX)	E	Dividend	N	T	Sold (part)	02/09/18	K	D	
100. JPM US EQUITY FD (JUESX)	F	Dividend	O	T	Sold (part)	02/09/18	L	C	
101. JPM VALUE ADVANTAGE FD (JVASX)	E	Dividend	N	T	Sold (part)	02/09/18	K	C	
102. JPM STRATEGIC INCOME OPPORTUNITIES FD (JSOSX)	D	Dividend	N	T					
103. JPM CORE BOND FD (PGBOX)	D	Dividend	O	T					
104. JPM SHORT DURATION BOND FD (HLLVX)	D	Dividend	O	T					
105. JPM UNCONSTRAINED DEBT FD (JSISX)	C	Dividend	M	T					
106. JPM MANAGED INCOME FD (JMGIX)	C	Dividend	M	T					
107. IRA #2 (H)									
108. JPM CHASE (cash)	A	Interest	K	T					
109. AMER CENTURY EQUITY INCOME- INV (TWEIX)	D	Dividend	M	T					
110. JPM EQUITY INCOME FD (HLIEX)	D	Dividend	M	T					
111. JPM LARGE CAP GROWTH FD (SEEGX)	D	Dividend	L	T					
112. JPM US EQUITY FD (JUESX)	D	Dividend	L	T					
113. JPM VALUE ADVANTAGE FD - SEL FUND 1399 4812A2-59-5 (JVASX)	B	Dividend	K	T					
114. JPM STRATEGIC INCOME OPPORTUNITIES FD (JSOSX)	B	Dividend	L	T					
115. JPM CORE BOND FD (PGBOX)	B	Dividend	M	T					

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
116. JPM SHORT DURATION BOND FD (HLLVX)	B	Dividend	M	T					
117. JPM UNCONSTRAINED DEBT FD (JSISX)	A	Dividend	K	T					
118. IRA #3 (H)									
119. JPM CHASE (cash) (X)	A	Int./Div.	J	T					
120. JPM EQUITY INCOME FD (HLIEX)	A	Dividend	K	T					
121. JPM CORE BOND FD (PGBOX)	A	Dividend	J	T					
122. JPM UNCONSTRAINED DEBT FD (JSISX)	A	Dividend	J	T					
123. TRUST #1 (H)									
124. JPM TAX FREE MMKT INST SWEEP FD (cash)	A	Interest	K	T					
125. NM ST UNIV RGTS IMPT R PREDERED REF & IMPT SER A (647421-CT-1)	A	Interest			Redeemed	04/02/18	J		
126. NM ST RGTS IMPT R UNREFDED - REF & IMPT SER A (647421-CU-8)	A	Interest			Redeemed	04/02/18	J		
127. HEWLETT WOODMERE NY UN FREE SCH DIST 428246-EV-0 NR /AA1	A	Interest			Redeemed	11/01/18	K		
128. RIVERHEAD NY 768738-UB-0 AA- /AA3	A	Interest			Redeemed	12/06/18	K		
129. METROPOLITAN TRANSPORTATION AUTH NY DEDICATED TAX FD (59259N-ZF-3)	A	Interest	K	T					
130. NASSAU CNTY NY INTERIM FIN AUTH 631663-NV-9 AAA /NR	B	Interest	K	T					
131. ERIE CNTY NY INDL DEV AGY SCHFAC REV 29509P-KD-0 AA /AA2	B	Interest	K	T					

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
132. CLARKSTOWN NY REF-VAR PURP (182306-X7-0)	A	Interest	K	T	Buy	11/28/18	K		
133. CITY OF NEW YORK N Y 64966H-ED-8 AA /AA2	B	Interest			Redeemed	11/15/18	K		
134. SCHENECTADY CNTY NY VAR PURP (806415-V2-8)		None	K	T	Buy	12/07/18	K		
135. ROCKVILLE CENTRE NY (774132-W3-4) AAA /NR	A	Interest	K	T					
136. EDGEMONT NY UN FREE SCH DIST OF GREENBURGH 280101-DR-4 NR /AA2	A	Interest	K	T					
137. NY ST BRDG AUTH 649807-CB-8 AA- / AA3	A	Interest	K	T					
138. BROOKHAVEN NY REF 113152-US-9 AA+ /AA2	A	Interest	K	T					
139. ERIE CNTY NY FISCAL STABILITYAUTH 29508R-GN-0 NR / AA1	A	Interest	K	T					
140. NY ST DORM AUTH ST PERSNL INC TAX 64990E-NF-0 AAA /AA1	B	Interest	K	T					
141. NASSAU CNTY NY SWR & STORM WTR FIN 63166Q-BY-5 AAA /AA3		None	K	T					
142. ORANGE CNTY NY REF-VAR PURP- SER A 684575-3M-3 AA /AA3	B	Interest	K	T					
143. NY CITY NY TRNSTIONAL FIN AUTH BLDG 64972H-XJ-6 AA /AA2	B	Interest	K	T					
144. PORT AUTH OF NY & NJ NY SER 179 73358W-QQ-0 AA- /AA3	A	Interest	K	T					
145. THREE VLG NY CENTRL SCH DIST REF 885766-NT-8 NR /AA2	A	Interest	K	T					
146. CHEEKTOWAGA NY VAR PURP LTD TAX (162879-P3-8)	A	Interest	K	T					
147. UTIL DEBT SECURITIZATION AUTH NY (91802R-BG-3)		None	K	T	Buy	04/25/18	K		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
148. NY ST DORM AUTH SALES TAX REV (64990A-EY-7)		None	K	T	Buy	11/19/18	K		

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

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

Part I, line 2: This trust contains no reportable assets.

Part VII, line 29: See 2017, line 34.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

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IX. CERTIFICATION.

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

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

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

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

Committee on Financial Disclosure
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