

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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

1. Person Reporting (last name, first, middle initial) Kaplan, Lewis A.	2. Court or Organization U.S. District Court, S.D.N.Y.	3. Date of Report 07/24/2015
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 01/01/2014 to 12/31/2014
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 for [REDACTED] (commencing 10/15/2012)
2. Trustee	Trust u/w/o [REDACTED]
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

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

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

1. Various

Pension and retirement plan pmts -pension plans for benefit of retirees of Random House, Inc.

2. _____

3. _____

4. _____

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*NONE *(No reportable reimbursements.)*SOURCEDATESLOCATIONPURPOSEITEMS 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.)*

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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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 accounts	A	Interest	J	T					
2. NYC Ser J 4.625 18	B	Interest			Sold	05/15/14	L	A	
3. MTA 4.75 26	D	Interest			Redeemed	09/08/14	N	D	
4. Long Island Pwr 4.75 24	C	Interest			Redeemed	09/02/14	L	A	
5. Port Auth NY&NJ 4.2 19 (E)	A	Interest			Redeemed	01/15/14	K	A	
6. JP Morgan Chase accts	A	Interest	J	T					
7. NY Life whole life policies	B	Dividend	L	T					
8. Ulster Co 4.25 21	C	Interest			Redeemed	11/17/14	L	A	
9. NYS Dorm 4.0 19 (E)	B	Interest	L	T					
10. New York NY Ser N 4.0 17	A	Interest	K	T					
11. Minisink CSD 4.0 12	A	Interest	K	T					
12. Wayne CSD 4.0 20	A	Interest			Sold	06/16/14	K	A	
13. Brookhaven CSD	A	Interest	K	T					
14. GECC 5.0 16	B	Interest	K	T					
15. NYS Dorm 4.0 19	A	Interest	K	T					
16. National Union Bank of Kinderhook	A	Int./Div.	J	T					
17. New York NY IDA 4.0 17	B	Interest	L	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code I (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)
18. Clarkstown 4.25 20 (E)	B	Interest	K	T					
19. NYC 5.0 21 (E)	B	Interest	L	T					
20. Port Auth 4.75 32	C	Interest	L	T					
21. NYS Twy 3.5 18	B	Interest	L	T					
22. NYS Twy 4.5 28	C	Interest	L	T					
23. JP Morgan Chase (IRA)	A	Interest	P1	T					
24. JP Morgan Tax Free Money Mkt (E)	A	Dividend	K	T					
25. Islip NY 5.0 14 (E)	A	Interest			Sold	01/15/14	K	A	
26. Nassau Co. NY 4.0 14 (E)	A	Interest			Redeemed	10/01/14	K	A	
27. Ithaca NY 4.0 16 (E)	A	Interest	K	T					
28. JP Morgan Treas Agy Fd	A	Distribution	K	T					
29. JP Morgan Strategic Inc Fd	D	Distribution	O	T					
30. JP Morgan US Equity Fd	E	Dividend	N	T					
31. JP Morgan Short Duration Bd Fd	C	Distribution	N	T					
32. JP Morgan brokerage accts	A	Interest							
33. JP Morgan Tax Free Money Mkt	A	Dividend	L	T					
34. Islip NY 5.0 14	B	Interest			Redeemed	01/15/14	K	A	

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) 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)

35. Nassau Co. NY 4.0 14	A	Interest			Redeemed	10/01/14	K	A	
36. Perinton NY 3.25 15	A	Interest	K	T					
37. Niskayuna NY 3.375 16	A	Interest	K	T					
38. Dutchess Co. NY 5.0 18	B	Interest	K	T					
39. Orange Co. NY 4.25 19	B	Interest	K	T					
40. JP Morgan Chase checking accounts	A	Interest	L	T					
41. JP Morgan Treas & Agency Fd	A	Int./Div.	K	T					
42. JP Morgan Strategic Income	C	Distribution	M	T					
43. JP Morgan International Value Fund	A	Distribution	K	T					
44. JP Morgan US Equity Fund	B	Distribution	L	T					
45. JP Morgan Short Duration Bond Fd	A	Distribution	K	T	Redeemed (part)	09/16/14	J	A	
46. JP Morgan brokerage accts	A	Interest	J	T					
47. JP Morgan Tax Free Money Market Fd	A	Int./Div.	J	T					
48. Unadilla NY 4.0 14	A	Interest			Redeemed	06/16/14	K	A	
49. Nassau Co. NY 4.0 14	A	Interest			Redeemed	10/01/14	K	A	
50. JP Morgan Intl Value	A	Dividend	K	T					
51. JP Morgan High Yield Bond	E	Distribution	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	
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52. JP Morgan Core Bond	D	Distribution	N	T					
53. Falconer CSD 4.0 15	C	Interest	L	T					
54. Falconer CSD 4.75 20	B	Interest	K	T					
55. Marietta Ga 4.0 16	B	Interest	L	T					
56. Nassau Co. 5.0 14	B	Interest			Redeemed	11/17/14	K	A	
57. Pembroke CSD 4.0 20	C	Interest	M	T					
58. Starpoint CSD 4.0 15	B	Interest	L	T					
59. JP Morgan High Yield Bond ()	B	Distribution	L	T					
60. Am Century Eq Inc Fd	B	Dividend	L	T					
61. JP Morgan Core Bond	B	Distribution	L	T					
62. Ellenville CSD 4.0 16	A	Interest	K	T					
63. Falconer CSD 4.75 20	B	Interest	K	T					
64. Hawaii 4.0 15	A	Interest	K	T					
65. Ozark Mo 4.0 18	A	Interest	K	T					
66. Port Jefferson 3.5 15	A	Interest	K	T					
67. Rocky Point CSD 4.0 16 ()	A	Interest	K	T					
68. New Mexico 4.0 18 (E)	A	Interest	K	T					

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69. Hewlett Woodmere 4.0 20 (E)	A	Interest	K	T					
70. Riverhead 4.0 18 (E)	A	Interest	K	T					
71. Rocky Point CSD 4.0 16 (E)	A	Interest	K	T					
72. Alpine Ut 4.0 13 (E)	A	Interest	K	T					
73. Dallas Tx Comm Coll 4.0 17	A	Interest	K	T					
74. Wallkill 3.5 17	A	Interest	K	T					
75. NYS Dorm 4.5 15	B	Interest	L	T					
76. NYS Env Fac 5.0 15 (E)	B	Interest	K	T					
77. Greece NY 4.125 17 (E)	B	Interest	K	T					
78. Am Century Eq Inc Fd	D	Distribution	N	T					
79. NYS Twy 4.0 14	A	Interest			Redeemed	04/01/14	K	A	
80. Plainview Old Beth 4.0 21	B	Interest	K	T					
81. Putnam Co NY 4.0 16	A	Interest	K	T					
82. Island Trees UFSD 4.0 22	B	Interest	K	T					
83. Triboro BTA 4.0 20	A	Interest	K	T					
84. Bethlehem CSD 4.0 17	C	Interest	L	T					
85. Westchester Co 3.0 18	B	Interest	L	T					

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86. Edgemont UFSD 4.0 20	A	Interest	K	T					
87. Edgemont 3.0 16	A	Interest	K	T					
88. Ontario Co 3.0 16	B	Interest	L	T					
89. Sachem CSD 3.0 18	B	Interest	K	T					
90. JP Morgan Equity Inc Fd	D	Distribution	N	T					
91. JP Morgan Unconstrained Bd Fd f/k/a Tr I Mlt SC Inc.	C	Distribution	L	T					
92. Rockville Centre 4.0 22 (E)	A	Interest	K	T					
93. Edgemont NY UFSD 4.0 22 (E)	A	Interest	K	T					
94. New Hyde Pk UFSD 4.0 22	A	Interest	K	T					
95. East Islip UFSD 4.0 21	A	Interest	K	T					
96. Roslyn NY UFSD 3.0 18	A	Interest	K	T					
97. NYS Env Facs 4.0 18	A	Interest	K	T					
98. JP Morgan Equity Inc	C	Distribution	M	T	Buy (add'l)	08/25/14	K		
99. JP Morgan Unconstrained Bd Fd f/k/a Tr I Mlt SC Inc.	B	Dividend	K	T					
100. Federated Tax Free Oblig Fd Inst Sh (T)	A	Interest	L	T					
101. Columbia Value and Restr. Fund Cl. Z (T)	A	Dividend			Sold	11/07/14	K	C	
102.	C	Distribution							

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103. Janus Enterprise Fd C11 (T)	A	Dividend	K	T	Sold (part)	11/07/14	K	B	
104.	B	Distribution							
105. Lazard Emerg. Mkts Eq Portfolio Inst C1 (T)		None			Redeemed	03/31/14	K	A	
106. Oppenheimer Intl Growth Fd C1 Y	A	Dividend	K	T	Buy (add'l)	03/31/14	K		
107.					Sold (part)	11/07/14	K	A	
108. Weingarten Rlty Invs Sh Ben Int (T)	A	Dividend	K	T					
109. JP Morgan Floating Rate Inc. Fund	D	Distribution	N	T					
110. JP Morgan Large Cap Growth Fd	D	Distribution	N	T	Buy (add'l)	08/25/14	M		
111. JP Morgan Floating Rate Inc Fd	B	Dividend	L	T					
112. JP Morgan Large Cap Growth Fd	A	Distribution	L	T					
113. Erie Co. 5.0 23 (E)	B	Interest	K	T					
114. NYS Bridge Auth 4.0 23 (E)	A	Interest	K	T					
115. Cold Spring Hrbr 2.1 20	B	Interest	K	T					
116. North Shore CSD 4.0 19	B	Interest	L	T					
117. North Shore CSD 4.0 21	A	Interest	K	T					
118. Nassau Co. 4.0 21	A	Interest	K	T	Buy	09/23/14	K		
119. Saratoga Springs 5.0 23		None	L	T	Buy	10/14/14	K		

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) 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)
120. Port Wash UFSC 5.0 19	B	Interest	L	T	Buy	05/20/14	L		
121. Arlington UFSD 5.0 19	B	Interest	L	T	Buy	09/30/14	L		
122. NYC Mun Wtr 3.25 18	A	Interest	K	T	Buy	07/25/14	K		
123. NYC Mun Wtr 5.0 22	A	Interest	K	T	Buy	04/03/14	K		
124. NYC Trans Fin 5.0 23		None	L	T	Buy	09/16/14	L		
125. NYS Dorm Gt Neck 5.0 24		None	L	T	Buy	12/11/14	L		
126. NYS Dorm 5.0 21		None	K	T	Buy	09/16/14	K		
127. NYS Env Fac 5.0 24	B	Interest	L	T	Buy	09/29/14	L		
128. NYS 5.0 19	A	Interest	K	T	Buy	08/14/14	K		
129. Pittsford UFSD 4.0 22	A	Interest	K	T	Buy	09/17/14	K		
130. Westchester Co. 4.0 21	A	Interest	K	T	Buy	04/17/14	K		
131. Halfmoon NY 4.0 19	A	Interest	K	T	Buy	07/31/14	K		
132. JP Morgan Value Adv Fd	A	Distribution	K	T	Buy	08/25/14	K		
133. NYC Tr for Cult. 4.0 21		None	K	T	Buy	10/07/14	K		
134. NYS Dorm 5.0 22		None	K	T	Buy	08/05/14	K		
135. Pine Bush CSD 5.0 23	B	Interest	K	T	Buy	01/10/14	K		
136. Pittsford CSD 4.0 22	A	Interest	K	T	Buy	08/05/14	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 \$5,000,000	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)
137. Nassau Co. 5.0 24 (E)		None	K	T	Buy	11/18/14	K		
138. NYS Dorm 5.0 24 (E)	A	Interest	K	T	Buy	03/21/14	K		
139. Brookhaven 5.0 23 (E)	A	Interest	K	T	Buy	04/15/14	K		
140. Columbia Contrarian Core Fd (T)	A	Dividend	L	T	Buy	03/31/14	K		
141.	C	Distribution							
142. Legg Mason Clearbridge Sm Cap Growth Fd (T)	A	Distribution	J	T	Buy	03/31/14	K		
143.		Dividend			Sold (part)	11/07/14	J	A	
144. Columbia Emg Mkts Fd (T)	A	Dividend	J	T	Buy	03/31/14	J		
145. Prudential Global Real Est Fd (T)	A	Dividend	J	T	Buy	03/31/14	K		
146.					Sold (part)	11/07/14	J	A	

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

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Name of Person Reporting

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

1. (E) designates assets held as trustee u/w/o [REDACTED], and (T) assets held as trustee f/b/o [REDACTED]. These designations are very helpful to me in reporting properly. They may be redacted for any public release.
2. The listings at Part VII, pages 6 and 7, lines 32 and 46, for "JP Morgan brokerage accounts" reflect only cash balances and interest thereon. The individual non-cash assets are mutual funds listed elsewhere in the report.

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Name of Person Reporting

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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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