

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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 09/25/2013
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 01/01/2012 to 12/31/2012
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.	Partner	Handy Place Investment Partnership [check]
2.	Trustee	Trust u/w/o [REDACTED]
3.	Trustee	Trust f/b/o [REDACTED]
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 12

Name of Person Reporting

Kaplan, Lewis A.

Date of Report

09/25/2013

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.	check on tax refund	
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. 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.)*

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

FINANCIAL DISCLOSURE REPORT

Page 3 of 12

Name of Person Reporting

Kaplan, Lewis A.

Date of Report

09/25/2013

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.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 12

Name of Person Reporting

Kaplan, Lewis A.

Date of Report

09/25/2013

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. PW 1986 EES lim ptn		None	J	W					
3. Handy Place Invest Part		None			Closed		J	A	
4. NYS MCFFA 5.125 12	B	Interest	J	T					
5. MTA 5.0 23	C	Interest	M	T					
6. GECC 4.75 13	D	Interest	M	T					
7. NYC Ser J 4.625 18	C	Interest	M	T					
8. NYS Dorm 5.0 19 (mult. issues)	D	Interest	M	T					
9. MTA 4.75 26	D	Interest	N	T					
10. Long Island Pwr 4.75 24	D	Interest	M	T					
11. NYS Dorm 4.75 25	A	Interest	J	T					
12. Port Auth NY&NJ 4.2 19 (E)	B	Interest	K	T					
13. JP Morgan Chase accts	A	Interest	K	T					
14. NY Life whole life policies	B	Dividend	L	T					
15. Ulster Co 4.25 21	C	Interest	L	T					
16. NYS Dorm 4.0 19 (E)	B	Interest	L	T					
17. New York NY Ser N 4.0 17	A	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 = \$250,000.01 - \$500,000.00	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 12

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Kaplan, Lewis 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)

18. Minisink CSD 4.0 12	A	Interest	K	T					
19. Wayne CSD 4.0 20	A	Interest	K	T					
20. Brookhaven CSD	A	Interest	K	T					
21. GECC 5.0 16	B	Interest	K	T					
22. NYS Dorm 4.0 19	A	Interest	K	T					
23. National Union Bank of [locality]	A	Int./Div.	J	T					
24. New York NY IDA 4.0 17	B	Interest	K	T					
25. Clarkstown 4.25 20 (E)	B	Interest	K	T					
26. NYC 5.0 21 (E)	B	Int./Div.	L	T					
27. Port Auth 4.75 32	C	Int./Div.	L	T					
28. NYS Twy 3.5 18	B	Int./Div.	L	T					
29. NYS Twy 4.5 28	C	Int./Div.	L	T					
30. JP Morgan Chase (IRA)	A	Int./Div.	N	T					
31. Pimco Fds Total Return	E	Distribution	O	T					
32. JP Morgan Tax Free Money Mkt (E)	A	Interest	L	T					
33. NYC Trans Fin 5.25 12 (E)	B	Interest	K	T					
34. Unadilla NY 4.0 13 (E)	A	Interest	K	T					

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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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FINANCIAL DISCLOSURE REPORT

Page 6 of 12

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Date of Report

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

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35. Islip NY 5.0 14 (E)	B	Interest	K	T					
36. Nassau Co. NY 4.0 14 (E)	A	Interest	K	T					
37. Perinton NY 3.25 15 (E)	A	Interest	K	T					
38. Ithaca NY 4.0 16 (E)	B	Interest	K	T					
39. JP Morgan Treas Agy Fd	A	Distribution	K	T					
40. JP Morgan Strategic Inc Fd	D	Distribution	O	T					
41. JP Morgan Int'l Currency Fd	B	Distribution	M	T					
42. JP Morgan US Equity Fd	B	Distribution	M	T					
43. JP Morgan Short Duration Bd Fd	D	Distribution	N	T					
44. JP Morgan brokerage accts	A	Interest	O	T					
45. JP Morgan Tax Free Money Mkt	A	Int./Div.	K	T					
46. Ithaca NY 4.0 13	B	Interest	K	T					
47. Islip NY 5.0 14	C	Interest	L	T					
48. Nassau Co. NY 4.0 14	A	Interest	K	T					
49. Perinton NY 3.25 15	A	Interest	K	T					
50. Niskayuna NY 3.375 16	A	Interest	K	T					
51. Dutchess Co. NY 5.0 18	B	Interest	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 7 of 12

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Kaplan, Lewis A.

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52. Orange Co. NY 4.25 19	B	Interest	K	T					
53. JP Morgan Chase checking accounts	A	Interest	K	T					
54. JP Morgan Treas & Agency Fd	A	Int./Div.	K	T					
55. Pimco Funds Total Return	C	Distribution	M	T					
56. JP Morgan Strategic Income	D	Distribution	M	T					
57. JP Morgan International Value Fund	A	Distribution	J	T					
58. JP Morgan US Equity Fund	A	Distribution	K	T					
59. JP Morgan Short Duration Bond Fd	A	Distribution	K	T					
60. JP Morgan brokerage accts	A	Interest	M	T					
61. JP Morgan Tax Free Money Market Fd	A	Int./Div.	L	T					
62. Ithaca NY 4.0 12	B	Interest	K	T					
63. Clarkstown NY 3.5 12	A	Interest	K	T					
64. Perinton NY 3.25 13	A	Interest	K	T					
65. Unadilla NY 4.0 14	A	Interest	K	T					
66. Nassau Co. NY 4.0 14	A	Interest	K	T					
67. Artio Intl Eq II	A	Distribution	L	T					
68. JP Morgan Intl Value	B	Distribution	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 12

Name of Person Reporting

Kaplan, Lewis A.

Date of Report

09/25/2013

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69. JP Morgan High Yield Bond	D	Distribution	M	T					
70. JP Morgan Core Bond	C	Distribution	M	T					
71. Falconer CSD 4.0 15	C	Interest	L	T					
72. Albany Co. 4.0 13	B	Interest	L	T					
73. Falconer CSD 4.75 20	B	Interest	K	T					
74. Marietta Ga 4.0 16	B	Interest	L	T					
75. Nassau Co. 5.0 14	C	Interest	L	T					
76. Pembroke CSD 4.0 20	C	Interest	M	T					
77. Skaneateles CSD 4.5 19	B	Interest	L	T					
78. Starpoint CSD 4.0 15	C	Interest	L	T					
79. JP Morgan Int'l Currency	A	Distribution	K	T					
80. Artio Intl Eq II	A	Distribution	J	T					
81. JP Morgan High Yield Bond	B	Distribution	K	T					
82. Am Century Eq Inc Fd	B	Distribution	L	T					
83. JP Morgan Core Bond	A	Distribution	K	T					
84. Ellenville CSD 4.0 16	A	Interest	K	T					
85. Falconer CSD 4.75 20	B	Interest	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 9 of 12

Name of Person Reporting

Kaplan, Lewis A.

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86. Hawaii 4.0 15	A	Interest	K	T					
87. Ozark Mo 4.0 18	A	Interest	K	T					
88. Port Jefferson 3.5 15	A	Interest	K	T					
89. Rocky Point CSD 4.0 16	A	Interest	K	T					
90. Three Village CSD 3.0 13	A	Interest	K	T					
91. New Mexico 4.0 18 (E)	A	Interest	K	T					
92. Hewlett Woodmere 4.0 20 (E)	A	Interest	K	T					
93. Riverhead 4.0 18 (E)	A	Interest	K	T					
94. Rocky Point CSD 4.0 16 (E)	A	Interest	K	T					
95. Alpine Ut 4.0 13 (E)	A	Interest	K	T					
96. Dallas Tx Comm Coll 4.0 17	A	Interest	K	T					
97. Walkill 3.5 17	B	Interest	K	T					
98. NYS Dorm 4.5 15	C	Interest	L	T					
99. No. Colonie CSD 4.0 12	A	Interest	K	T					
100. Oldham Ky 4.0 17 (E)	A	Interest	K	T					
101. NYS Dorm 4.0 12 (E)		None	K	T					
102. NYS Env Fac 5.0 15 (E)	B	Interest	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 10 of 12

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103. Albany Co. 4.0 13 (E)	B	Interest	K	T					
104. Greece NY 4.125 17 (E)	A	Interest	K	T					
105. Babylon 4.0 21 (E)	A	Interest	K	T					
106. Am Century Eq Inc Fd	D	Distribution	M	T					
107. NYS Twy 4.0 14	A	Interest	K	T					
108. NYC 3.625 13	A	Interest	K	T					
109. Plainview Old Beth 4.0 21		None	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
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FINANCIAL DISCLOSURE REPORT

Page 11 of 12

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]
2. Part VII, line 29
- name of locality omitted for security reasons
3. Income for 1986 EES and Handy Place partnerships equals distributions
4. (T) designates assets held as trustee f/b/o [REDACTED]
5. Part VII, line 3 - partnership wound up at unknown date during 2012 without any distribution to me

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

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