

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 08/10/2017
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 01/01/2016 to 12/31/2016
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 16

Name of Person Reporting

Kaplan, Lewis A.

Date of Report

08/10/2017

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. 2016

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 16

Name of Person Reporting

Kaplan, Lewis A.

Date of Report

08/10/2017

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 16

Name of Person Reporting

Kaplan, Lewis A.

Date of Report

08/10/2017

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 (various accounts)	A	Interest	J	T					1
2. JP MORGAN CHASE (various accounts)	A	Interest	M	T					2, 30
3. NATIONAL UNION BANK	A	Dividend	L	T					10
4. NY LIFE INS. (whole life policies)	B	Int./Div.	L	T					3
5. BROKERAGE ACCOUNT #1 (H)									
6. JPM TAX FREE MMKT INST SWEEP FD (cash)	A	Interest	K	T					24, 25, 36, 37
7. CITY OF NISKAYUNA NEW YORK CENTRAL SCH DIST 654727-EM-4 NR / AA3	A	Int./Div.			Redeemed	04/15/16	K		27
8. EDGEMONT NY UN FREE SCH DIST OF GREENBURGH 280101-DK-9 NR /AA2	A	Int./Div.			Redeemed	07/22/16	K		73
9. PUTNAM CNTY NY REF PUBLIC IMPT 746639-SU-8 NR /AA2	A	Int./Div.			Redeemed	12/15/16	K		67
10. BETHLEHEM NY CENTRL SCH DIST 087329-LE-6 NR /AA3	B	Int./Div.	K	T					70
11. WALLKILL NEW YORK PUB IMPT 932610-MC-9 AA /A2	A	Int./Div.	K	T					61
12. COUNTY OF DALLAS TEXAS COMMUNITY COLLEGE DIST 234685-JS-5 AAA /AAA	A	Int./Div.	K	T					60
13. COUNTY OF ORANGE NEW YORK VAR PURP 684575-R9-6 NR /AA3	A	Int./Div.	K	T					29
14. STATE OF NEW YORK TOLLWAY AUTHORITY ST PERS 650028-NX-7 AAA /AA1	B	Int./Div.	K	T					15
15. NY CITY NY MUNI WTR FIN AUTH WTR & SWR SYS 64972F-A5-5 AA+ / AA1	A	Int./Div.	K	T					105
16. COUNTY OF DUTCHESS NEW YORK 267039-K5-3 NR /AA2	B	Int./Div.	K	T					28

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 = \$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	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) U = Book Value	V = Other	S = Assessment W = Estimated	T = Cash Market

FINANCIAL DISCLOSURE REPORT

Page 5 of 16

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17. NY ST REF-SER C 649791-JB-7 AA+ / AA1	B	Int./Div.	K	T					111
18. PORT WA NY UN FREE SCH DIST REF 735581-LU-2 NR /AA2	B	Int./Div.	K	T					103
19. NORTH SHORE NY CENTRL SCH DIST 662323-HJ-6 NR /AA1	A	Int./Div.	K	T					99
20. FALCONER NEW YORK CENTRAL SCHOOL 306117-CU-4 AA /A2	B	Int./Div.	K	T					42
21. PEMBROKE NEW YORK CENTRAL SCHOOL 706427-BY-6 AA- /NR	B	Int./Div.	L	T					44
22. TRIBOROUGH NY BRIDGE & TUNNEL AUTH REVENUES 89602N-ZB-3 AA- /AA3	A	Int./Div.	K	T					69
23. WESTCHESTER CNTY NY SER B 95736U-ZS-6 AAA /AA1	A	Int./Div.	K	T					113
24. PLAINVIEW OLD BETHPAGE NY CENTRL SCH 726715-HX-6 AAA /NR	B	Int./Div.	K	T					66
25. NASSAU CNTY NY INTERIM FIN AUTH 631663-NN-7 AAA /NR	A	Int./Div.	K	T					101
26. SHENENDEHOWA NY CENTRL SCH DIST REF 823194-F2-6 AA /NR	B	Int./Div.	K	T					129
27. ISLAND TREES NY UNION FREE 464568-GK-4 NR /AA2	B	Int./Div.	K	T					68
28. SARATOGA SPRINGS NY REF-PUB IMPT 803531-TR-3 AA+ /NR	B	Int./Div.	K	T					102
29. NY CITY NY TRNSTIONAL FIN AUTH REV FUTURE 64971W-FV-7 AAA /AA1	B	Int./Div.	K	T					107
30. NY ST DORM AUTH ST PERSNL INC TAX 64990E-3R-6 AAA /AA1		None	K	T	Buy	12/19/16	K		
31. NY ST DORM AUTH REVS NON ST SUPPORTED DEBT GR NECK 649907-Z3-9 NR/AAA	B	Int./Div.	K	T					108, 130
32. NY ST ENVRNMNTL FACS CORP ST CLEAN WTR & DRINKING 64986A-Z6-1 AAA /AAA	B	Int./Div.	K	T					63, 110

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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FINANCIAL DISCLOSURE REPORT

Page 6 of 16

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33. NY ST DORM AUTH SALES TAX REV 64990A-DR-3 AAA /AA1	B	Int./Div.	K	T					132
34. SALES TAX ASSET RECEIVABLE CORP NY 794665-FM-6 AAA /AA1	A	Int./Div.	K	T	Buy	05/12/16	K		
35. PORT AUTHORITY NEW YORK & NEW JERSEY CONS 73358T-M2-4 AA- /AA3	B	Int./Div.	L	T					14
36. BROKERAGE ACCOUNT #2 (H)									
37. JPM TAX FREE MMKT INST SWEEP FD (cash)	A	Interest	K	T					24, 25, 36, 37
38. ONTARIO CNTY NY 683055-WC-7 NR / AA1	A	Int./Div.			Redeemed (part)	04/20/16	J		74
39.					Redeemed	06/15/16	K		
40. BETHLEHEM NY CENTRL SCH DIST 087329-LE-6 NR /AA3	B	Int./Div.	L	T					70
41. CITY OF NEW YORK N Y REF 64966G-AK-8 AA /AA2	B	Int./Div.	K	T					128
42. STATE OF NEW YORK TOLLWAY AUTHORITY ST PERS 650028-NX-7 AAA /AA1	A	Int./Div.			Redeemed	05/24/16	K	B	15
43. WESTCHESTER CNTY NY LIMITED 95736U-YW-8 AAA /AA1	B	Int./Div.	L	T					71
44. SACHEM NY CENTRL SCH DIST OF HOLBROOK 785721-TR-2 AA /NR	B	Int./Div.	K	T					75
45. ARLINGTON NEW YORK CENTRAL SCHOOL 041717-LD-9 AA- /NR	B	Int./Div.	L	T					104
46. PORT WA NY UN FREE SCH DIST REF 735581-LU-2 NR /AA2	B	Int./Div.	K	T					103
47. COLD SPRING HBR NY CENTRL SCH DIST REF 192867-FM-6 AAA /NR	B	Int./Div.	K	T					98
48. PEMBROKE NEW YORK CENTRAL SCHOOL 706427-BY-6 AA- /NR	B	Int./Div.	L	T					44

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FINANCIAL DISCLOSURE REPORT

Page 7 of 16

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49. EDMONT NY UN FREE SCH DIST OF GREENBURGH 280101-DP-8 NR /AA2	A	Int./Div.	K	T					72
50. ISLIP NY REF 464722-6W-2 AA+ /AA1	B	Int./Div.	K	T					131
51. NY ST DORM AUTH SALES TAX REV 64990A-BA-2 AAA /AA1	B	Int./Div.	K	T					132
52. NORTH SHORE NY CENTRL SCH DIST 662323-HL-1 NR /AA1	A	Int./Div.	K	T					100
53. SHENENDEHOWA NY CENTRL SCH DIST REF 823194-F2-6 AA /NR	B	Int./Div.	K	T					129
54. NY CITY NY MUNI WTR FINAUTH WTR & SWR SYS REV 64972G-DT-8 AA+ /AA1	B	Int./Div.	K	T					106
55. PITTSFORD NY CENTRL SCH DIST 725635-EJ-1 NR /AA1	A	Int./Div.	K	T					119
56. SARATOGA SPRINGS NY REF-PUB IMPT 803531-TR-3 AA+ /NR	B	Int./Div.	K	T					102
57. NY CITY NY TRNSTIONAL FIN AUTH REV 64971W-FV-7 AAA /AA1	B	Int./Div.	K	T					107
58. NY ST ENVRNMNTL FACS CORP ST CLEAN WTR & DRINKING 64986A-Z6-1 AAA /AA	B	Int./Div.	K	T					110
59. NY CITY NY TRNSTIONALFIN AUTH BLDG AID REV 64972H-VC-3 AA /AA2	A	Int./Div.	K	T	Buy	01/19/16	K		
60. NY ST DORM AUTH REVS NON ST 649907-Z4-7 NR /AAA	B	Int./Div.	K	T					4, 9, 121
61. ONONDAGA CNTY NY 682745-7H-1 AA+ /AA2		None	K	T	Buy	06/22/16	K		
62. UTIL DEBT SECURITIZATION AUTH NY 91802R-BZ-1 AAA /AAA	A	Int./Div.	K	T	Buy	03/02/16	K		
63. PORT CHESTER NY REF-PUBLIC IMPT-SER 733760-US-9 NR /AA3	A	Int./Div.	K	T	Buy	02/03/16	K		
64. STATE OF NEW YORK THRUWAY AUTHORITY ST PERS 650028-PM-9 AAA /AA1	B	Int./Div.	K	T	Redeemed (part)	01/04/16	L	C	16

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FINANCIAL DISCLOSURE REPORT

Page 8 of 16

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65. PORT AUTHORITY NEW YORK & NEW JERSEY CONS 73358T-M2-4 AA- /AA3	B	Int./Div.	K	T					14
66. BROKERAGE ACCOUNT #3 (H)									
67. JPM TAX FREE MMKT INST SWEEP FD (cash)	A	Interest	K	T					24, 25, 36, 37
68. CITY OF NEW YORK N Y INDUSTRIAL 64971C-7R-9 NR /NR (X)	A	Int./Div.			Redeemed	02/01/16	K	A	
69. ELLENVILLE NEW YORK CENTRAL SCHOOL 288372-DP-7 AA /NR	A	Int./Div.			Redeemed	05/02/16	K		49
70. ROCKY POINT NEW YORK UNION FREE 774766-KE-8 AA /NR	A	Int./Div.			Redeemed	06/01/16	K		54
71. MAHOPAC NY CENT SCH DIST 560177-GW-1 NR /AA2	B	Int./Div.	K	T	Buy	05/16/16	K		
72. OZARK MISSOURI REORG SCHOOL DISTRICT 692634-CZ-9 AA+ /NR	A	Int./Div.	K	T					52
73. ROSLYN NY UN FREE SCH DIST 778190-FY-9 NR /AA1	A	Int./Div.	K	T					82
74. NY ST ENVRNMNTL FACS CORP REV 64985H-JV-0 AAA /AAA	A	Int./Div.	K	T					83
75. HALFMOON NY REF-PUB IMPT 405729-LR-3 AA /NR	A	Int./Div.	K	T					114
76. HILTON NY CENTRL SCH DIST 432884-MJ-0 AA- /NR (X)	A	Int./Div.	K	T					
77. FALCONER NEW YORK CENTRAL SCHOOL 306117-CU-4 AA /A2	B	Int./Div.	K	T					50
78. SHENENDEHOWA NY CENTRL SCH DIST REF 823194-E7-6 AA /NR	A	Int./Div.	K	T					129
79. NY CITY NY TR FOR CULTURAL RES 649717-RK-3 AA /AA2	A	Int./Div.	K	T					116
80. EAST ISLIP NY UNION FREE SCH DIST 273173-KC-7 AA /NR	A	Int./Div.	K	T					81
81. PITTSFORD NY CENTRL SCH DIST 725635-EJ-1 NR /AA1	A	Int./Div.	K	T					112

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FINANCIAL DISCLOSURE REPORT

Page 9 of 16

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82. NY ST DORM AUTH REVS NON ST 649907-A7-7 AA /NR	A	Int./Div.	K	T					117
83. NEW HYDE PARK & GARDEN CITY PARK NY 645541-CY-7 NR /AA2	A	Int./Div.	K	T					80
84. HAVERSTRAW-STONY POINT NY CENTRL SCH 419578-RM-3 NR/AA2 (X)	A	Int./Div.	K	T					
85. PINE BUSH NY CENTRL SCH DIST 722477-LQ-7 NR /AA3	B	Int./Div.	K	T					118
86. NY ST UNLIMITED TAX A 649791-HH-6 AA+ /AA1 (X)	A	Int./Div.	K	T					
87. CLARKSTOWN NY CENTRL SCH DIST 182324-UU-5 NR /AA2	A	Int./Div.	K	T	Buy	06/16/16	K		
88. NY ST DORM AUTH REVS NON ST 649907-Z3-9 NR /AAA	A	Int./Div.	K	T					109
89. NY ST DORM AUTH ST PERSNL INC TAX 64990E-YE-1 AAA /AA1	A	Int./Div.	K	T	Buy	02/23/16	K		
90. PORT AUTH OF NY & NJ NY CONSOL- ONE 73358W-RR-7 AA- /AA3 (X)	B	Int./Div.	K	T					
91. UTIL DEBT SECURITIZATION AUTH NY 91802R-BZ-1 AAA /AAA	A	Int./Div.	K	T	Buy	03/02/16	K		
92. IRA #1 (H)									
93. JPM CHASE (cash)	A	Interest	N	T					17
94. AMER CENTURY EQUITY INCOME- INV	D	Int./Div.	N	T	Redeemed (part)	12/15/16	J		65
95. JPM EQUITY INCOME FD 4812C0-49-8 HLIE X	D	Int./Div.	O	T	Redeemed (part)	12/15/16	J		76
96. JPM LARGE CAP GROWTH FD		None	N	T	Redeemed (part)	12/15/16	K		93
97. JPM US EQUITY FD	D	Int./Div.	O	T	Redeemed (part)	12/15/16	K		22
98. JPM VALUE ADVANTAGE FD	C	Int./Div.	N	T					133

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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 16

Name of Person Reporting

Kaplan, Lewis A.

Date of Report

08/10/2017

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 INTL VALUE FD		None			Redeemed	03/29/16	K		38
100. JPM STRATEGIC INCOME OPPORTUNITIES FD	D	Int./Div.	N	T	Redeemed (part)	03/29/16	N		21
101. JPM CORE BOND FD	D	Int./Div.	O	T	Buy (add'l)	03/29/16	N		40
102.					Redeemed (part)	12/15/16	J		
103. JPM SHORT DURATION BOND FD	D	Int./Div.	O	T	Buy (add'l)	03/29/16	N		23
104.					Redeemed (part)	12/15/16	J		
105. JPM UNCONSTRAINED DEBT FD	C	Int./Div.	M	T	Buy (add'l)	03/29/16	K		77
106. JPM FLOATING RATE INCOME FD	B	Int./Div.	J	T	Redeemed (part)	03/29/16	M		92
107. JPM MANAGED INCOME FD	B	Int./Div.	M	T	Buy	03/29/16	M		
108. IRA #2 (H)									
109. JPM CHASE (cash)	A	Interest	K	T					17
110. AMER CENTURY EQUITY INCOME- INV	D	Int./Div.	L	T					47
111. JPM EQUITY INCOME FD	C	Int./Div.	M	T					84
112. JPM LARGE CAP GROWTH FD	C	Int./Div.	K	T					95
113. JPM US EQUITY FD	C	Int./Div.	K	T					34
114. JPM VALUE ADVANTAGE FD - SEL FUND 1399 4812A2-59-5 JVAS X	A	Int./Div.	K	T					115
115. JPM INTL VALUE FD		None			Redeemed	03/29/16	J		33

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	

FINANCIAL DISCLOSURE REPORT

Page 11 of 16

Name of Person Reporting

Kaplan, Lewis A.

Date of Report

08/10/2017

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. GENERAL ELECTRIC CAP CORP	B	Int./Div.			Redeemed	04/15/16	K		8
117. JPM STRATEGIC INCOME OPPORTUNITIES FD	C	Int./Div.	L	T	Redeemed (part)	03/29/16	L		32
118. JPM CORE BOND FD	C	Int./Div.	M	T	Buy (add'l)	03/29/16	K		48
119. JPM SHORT DURATION BOND FD	B	Int./Div.	M	T	Buy (add'l)	03/29/16	L		35
120. JPM UNCONSTRAINED DEBT FD	A	Int./Div.	K	T	Buy (add'l)	03/29/16	J		85
121. JPM FLOATING RATE INCOME FD	A	Int./Div.	J	T	Redeemed (part)	03/29/16	L		94
122. IRA #3 (H)									
123. JPM EQUITY INCOME FD	A	Int./Div.	J	T					76
124. JPM CORE BOND FD	A	Int./Div.	J	T					48
125. JPM TREASURY & AGENCY FD	A	Int./Div.	K	T					20, 31
126. JPM UNCONSTRAINED DEBT FD	A	Int./Div.	K	T					85
127. TRUST #1 (H)									
128. JPM TAX FREE MMKT INST SWEEP FD (cash) (X)	A	Interest	J	T					
129. ROCKY POINT NEW YORK UNION FREE 774766-KE-8 AA /NR	A	Int./Div.			Redeemed	06/01/16	K		58
130. GREECE NY 392442-XG-9 AA /AA2	B	Int./Div.			Redeemed	09/01/16	K		64
131. ALPINE UTAH SCH DIST REF 021087- QJ-3 NR /AAA	A	Int./Div.	K	T					59
132. STATE NEW MEXICO UNIVERSITY 647421-BD-7 AA- /AA3	A	Int./Div.	K	T					55

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	

FINANCIAL DISCLOSURE REPORT

Page 12 of 16

Name of Person Reporting

Kaplan, Lewis A.

Date of Report

08/10/2017

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)
133. RIVERHEAD NY 768738-UB-0 AA- /AA3	A	Int./Div.	K	T					57
134. NASSAU CNTY NY INTERIM FIN AUTH 631663-NV-9 AAA /NR (X)	B	Int./Div.	K	T					
135. CLARKSTOWN NEW YORK 182306- XX-3 AA+ /AA3	B	Int./Div.	K	T					12
136. ERIE CNTY NY INDL DEV AGY SCHFAC REV 29509P-KD-0 AA /AA2	A	Int./Div.	K	T	Buy	06/23/16	K		
137. HEWLETT WOODMERE NY UN FREE SCH DIST 428246-EV-0 NR /AA1	A	Int./Div.	K	T					56
138. CITY OF NEW YORK NY 64966H-ED-8 AA /AA2 (X)	B	Int./Div.	K	T					
139. ROCKVILLE CENTRE NY 774132-W3-4 AAA /NR	A	Int./Div.	K	T					78
140. EDGEMONT NY UN FREE SCH DIST OF GREENBURGH 280101-DR-4 NR /AA2	A	Int./Div.	K	T					79
141. NY ST BRDG AUTH 649807-CB-8 AA- / AA3	A	Int./Div.	K	T					97
142. BROOKHAVEN NY REF 113152-US-9 AA+ /AA2	A	Int./Div.	K	T					7, 122
143. ERIE CNTY NY FISCAL STABILITYAUTH 29508R-GN-0 NR / AA1	B	Int./Div.	K	T					96
144. NY ST DORM AUTH ST PERSNL INC TAX 64990E-NF-0 AAA /AA1	B	Int./Div.	K	T					4, 9, 121
145. NASSAU CNTY NY SWR & STORM WTR FIN 63166Q-BY-5 AAA /AA3	B	Int./Div.	K	T					120
146. ORANGE CNTY NY REF-VAR PURP- SER A 684575-3M-3 AA /AA3 (X)	B	Int./Div.	K	T					
147. NY CITY NY TRNSTIONALFIN AUTH BLDG 64972H-XJ-6 AA /AA2	B	Int./Div.	K	T	Buy	01/07/16	K		
148. PORT AUTH OF NY & NJ NY SER 179 73358W-QQ-0 AA- /AA3	A	Int./Div.	K	T	Buy	09/26/16	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
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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 13 of 16

Name of Person Reporting

Kaplan, Lewis A.

Date of Report

08/10/2017

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)
149. THREE VLG NY CENTRL SCH DIST REF 885766-NT-8 NR /AA2	A	Int./Div.	K	T	Buy	02/25/16	K		
150. TRUST #2 (H)									
151. FEDERATED TAX FREE OBLIG FUND INSTL SHARES 60934N401	A	Interest			Closed	09/19/16	J		86
152. COLUMBIA CONTRARIAN CORE FUND SMGI X		None			Redeemed (part)	05/02/16	K	A	123
153.					Redeemed	08/11/16	K	B	
154. COLUMBIA DIVIDEND AND INCOME FUND GSFT X		None			Buy	04/26/16	K		
155.					Redeemed	08/11/16	K	A	
156. COLUMBIA VALUE AND RESTRUCTURING FUND UMBI X (X)		None			Redeemed (part)	04/26/16	J		
157.					Redeemed	05/02/16	J		
158. JANUS ENTERPRISE FUND JMGR X		None			Redeemed (part)	04/26/16	J	C	87
159.					Redeemed (part)	05/02/16	J	B	
160.					Redeemed	08/11/16	J		
161. ISHARES RUSSELL 2000 ETF IWM		None			Buy	04/28/16	J		
162.					Redeemed	08/15/16	J	A	
163. LEGG MASON CLEARBRIDGE SMALL CAP GROWTH FUND SBPY X		None			Redeemed (part)	04/26/16	J		125
164.					Redeemed (part)	05/02/16	J		
165.					Redeemed	08/11/16	J		

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	

FINANCIAL DISCLOSURE REPORT

Page 14 of 16

Name of Person Reporting

Kaplan, Lewis A.

Date of Report

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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)
166. OPPENHEIMER INT'L GROWTH FUND OIGY X		None			Redeemed (part)	04/26/16	J		89
167.					Redeemed (part)	05/02/16	J		
168.					Redeemed	08/11/16	J	A	
169. COLUMBIA EMERGING MARKETS FUND UMEM X		None			Redeemed (part)	05/02/16	J		126
170.					Redeemed	08/11/16	J		

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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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 15 of 16

Name of Person Reporting

Kaplan, Lewis A.

Date of Report

08/10/2017

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

To facilitate reporting, holdings now are now listed by account. Names of assets have been updated to provide a more detailed description, and excess information has been removed. To facilitate this reporting transition, corresponding 2015 lines are identified in Column D(5).

The items listed in 2015, lines 5, 6, 11, 13, 18, 19, 39, 43, 46, 51, and 53 are not reportable in 2016 (Y).

FINANCIAL DISCLOSURE REPORT

Page 16 of 16

Name of Person Reporting

Kaplan, Lewis A.

Date of Report

08/10/2017

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
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Washington, D.C. 20544