

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 8/10/2016
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 01/01/2015 to 12/31/2015
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 family member
2.	Trustee	Trust u/w/o deceased relative
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. 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. Georgetown Law Center

Feb. 10-11, 2015

Washington, DC

speak at J Nat'l Sec. L. &
Policy symposium

Transportation, lodging,

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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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. JP Morgan Chase acct (S)	A	Interest	J	T					
3. NY Life whole life policies	B	Dividend	L	T					
4. NYS Dorm 4.0 19 (E)	B	Interest	L	T					
5. New York NY Ser N 4.0 17 (S)	A	Interest	K	T					
6. Minisink CSD 4.0 12 (S)	A	Interest	K	T					
7. Brookhaven CSD (S)	A	Interest	K	T					
8. GECC 5.0 16 (S)	B	Interest	K	T					
9. NYS Dorm 4.0 19 (S)	A	Interest	K	T					
10. National Union Bank of Kinderhook	A	Int./Div.	J	T					
11. New York NY IDA 4.0 17 (S)	B	Interest	L	T					
12. Clarkstown 4.25 20 (E)	B	Interest	K	T					
13. NYC 5.0 21 (E)	B	Interest	L	T					
14. Port Auth 4.75 32	C	Interest	L	T					
15. NYS Twy 3.5 18	B	Interest	L	T					
16. NYS Twy 4.5 28	C	Interest	K	T					
17. JP Morgan Chase (IRA)	A	Interest	O	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 = \$250,000.001 - \$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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18. JP Morgan Tax Free Money Mkt (E)	A	Dividend	K	T					
19. Ithaca NY 4.0 16 (E)	A	Interest	K	T					
20. JP Morgan Treas Agy Fd (S)	A	Distribution	K	T					
21. JP Morgan Strategic Inc Fd	D	Distribution	O	T					
22. JP Morgan US Equity Fd	E	Dividend	N	T					
23. JP Morgan Short Duration Bd Fd	C	Distribution	N	T					
24. JP Morgan brokerage accts	A	Interest							
25. JP Morgan Tax Free Money Mkt	A	Dividend	L	T					
26. Perinton NY 3.25 15	A	Interest			Redeemed	12/16/15	K	A	
27. Niskayuna NY 3.375 16	A	Interest	K	T					
28. Dutchess Co. NY 5.0 18	B	Interest	K	T					
29. Orange Co. NY 4.25 19	B	Interest	K	T					
30. JP Morgan Chase checking accounts	A	Interest	L	T					
31. JP Morgan Treas & Agency Fd (S)	A	Int./Div.	K	T					
32. JP Morgan Strategic Income (S)	C	Distribution	M	T					
33. JP Morgan International Value Fund (S)	A	Distribution	K	T					
34. JP Morgan US Equity Fund (S)	B	Distribution	L	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		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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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)

35. JP Morgan Short Duration Bond Fd (S)	A	Distribution	K	T					
36. JP Morgan brokerage accts (S)	A	Interest	J	T					
37. JP Morgan Tax Free Money Market Fd (S)	A	Int./Div.	J	T					
38. JP Morgan Intl Value	A	Dividend	K	T					
39. JP Morgan High Yield Bond	E	Distribution	M	T					
40. JP Morgan Core Bond	D	Distribution	N	T					
41. Falconer CSD 4.0 15	B	Interest			Redeemed	06/15/15	L	A	
42. Falconer CSD 4.75 20	B	Interest	K	T					
43. Marietta Ga 4.0 16	B	Interest	K	T					
44. Pembroke CSD 4.0 20	C	Interest	M	T					
45. Starpoint CSD 4.0 15	A	Interest			Redeemed	06/15/15	K	A	
46. JP Morgan High Yield Bond (S)	B	Distribution	L	T					
47. Am Century Eq Inc Fd (S)	B	Dividend	L	T					
48. JP Morgan Core Bond (S)	B	Distribution	L	T					
49. Ellenville CSD 4.0 16 (S)	A	Interest	K	T					
50. Falconer CSD 4.75 20 (S)	B	Interest	K	T					
51. Hawaii 4.0 15 (S)	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. Ozark Mo 4.0 18 (S)	A	Interest	K	T					
53. Port Jefferson 3.5 15 (S)	A	Interest	K	T					
54. Rocky Point CSD 4.0 16 (S)	A	Interest	K	T					
55. New Mexico 4.0 18 (E)	A	Interest	K	T					
56. Hewlett Woodmere 4.0 20 (E)	A	Interest	K	T					
57. Riverhead 4.0 18 (E)	A	Interest	K	T					
58. Rocky Point CSD 4.0 16 (E)	A	Interest	K	T					
59. Alpine Ut 4.0 13 (E)	A	Interest	K	T					
60. Dallas Tx Comm Coll 4.0 17	A	Interest	K	T					
61. Walkill 3.5 17	A	Interest	K	T					
62. NYS Dorm 4.5 15	B	Interest			Redeemed	10/15/15	K	A	
63. NYS Env Fac 5.0 15 (E)	B	Interest	K	T					
64. Greece NY 4.125 17 (E)	B	Interest	K	T					
65. Am Century Eq Inc Fd	D	Distribution	N	T					
66. Plainview Old Beth 4.0 21	B	Interest	K	T					
67. Putnam Co NY 4.0 16	A	Interest	K	T					
68. Island Trees UFSD 4.0 22	B	Interest	K	T					

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69. Triboro BTA 4.0 20	A	Interest	K	T					
70. Bethlehem CSD 4.0 17	C	Interest	L	T					
71. Westchester Co 3.0 18	B	Interest	L	T					
72. Edgemont UFSD 4.0 20	A	Interest	K	T					
73. Edgemont 3.0 16	A	Interest	K	T					
74. Ontario Co 3.0 16	B	Interest	L	T					
75. Sachem CSD 3.0 18	B	Interest	K	T					
76. JP Morgan Equity Inc Fd	D	Distribution	N	T					
77. JP Morgan Unconstrained Bd Fd f/k/a Tr I Mlt SC Inc.	C	Distribution	L	T					
78. Rockville Centre 4.0 22 (E)	A	Interest	K	T					
79. Edgemont NY UFSD 4.0 22 (E)	A	Interest	K	T					
80. New Hyde Pk UFSD 4.0 22 (S)	A	Interest	K	T					
81. East Islip UFSD 4.0 21 (S)	A	Interest	K	T					
82. Roslyn NY UFSD 3.0 18 (S)	A	Interest	K	T					
83. NYS Env Facs 4.0 18 (S)	A	Interest	K	T					
84. JP Morgan Equity Inc (S)	C	Distribution	M	T	Buy (add'l)	08/24/15	K		
85. JP Morgan Unconstrained Bd Fd f/k/a Tr I Mlt SC Inc (S)	B	Dividend	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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86. Federated Tax Free Oblig Fd Inst Sh (T)	A	Interest	J	T					
87. Janus Enterprise Fd Cl 1 (T)	A	Dividend	K	T					
88.	A	Distribution							
89. Oppenheimer Intl Growth Fd Cl Y	A	Dividend	K	T					
90. Weingarten Rlty Invs Sh Ben Int (T)	A	Dividend			Sold	10/02/15	K	D	
91.	A	Distribution							
92. JP Morgan Floating Rate Inc. Fund	D	Distribution	N	T					
93. JP Morgan Large Cap Growth Fd	D	Distribution	N	T					
94. JP Morgan Floating Rate Inc Fd (S)	B	Dividend	L	T					
95. JP Morgan Large Cap Growth Fd (S)	A	Distribution	L	T					
96. Erie Co. 5.0 23 (E)	B	Interest	K	T					
97. NYS Bridge Auth 4.0 23 (E)	A	Interest	K	T					
98. Cold Spring Hrbr 4.25 20	B	Interest	K	T					
99. North Shore CSD 4.0 19	B	Interest	K	T					
100. North Shore CSD 4.0 21	A	Interest	K	T					
101. Nassau Co. 4.0 21	A	Interest	K	T					
102. Saratoga Springs 5.0 23	A	Interest	K	T					

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103. Port Wash UFSC 5.0 19	B	Interest	L	T					
104. Arlington UFSD 5.0 19	B	Interest	L	T					
105. NYC Mun Wtr 3.25 18	A	Interest	K	T					
106. NYC Mun Wtr 5.0 22	B	Interest	K	T					
107. NYC Trans Fin 5.0 23	C	Interest	L	T					
108. NYS Dorm Gt Neck 5.0 24	B	Interest	K	T					
109. NYS Dorm 5.0 21	B	Interest	K	T					
110. NYS Env Fac 5.0 24	C	Interest	L	T					
111. NYS Ser. C 5.0 19	A	Interest	K	T					
112. Pittsford UFSD 4.0 22	A	Interest	K	T					
113. Westchester Co. 4.0 21	C	Interest	K	T					
114. Halfmoon NY 4.0 19	A	Interest	K	T					
115. JP Morgan Value Adv Fd (S)	A	Distribution	K	T					
116. NYC Tr for Cult. 4.0 21 (S)	A	Interest	K	T					
117. NYS Dorm 5.0 22 (S)	A	Interest	K	T					
118. Pine Bush CSD 5.0 23 (S)	B	Interest	K	T					
119. Pittsford CSD 4.0 22 (S)	A	Interest	K	T					

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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 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. Nassau Co. 5.0 24 (E)		None	K	T					
121. NYS Dorm 5.0 24 (E)	A	Interest	K	T					
122. Brookhaven 5.0 23 (E)	A	Interest	K	T					
123. Columbia Contrarian Core Fd (T)	B	Dividend	L	T					
124.	B	Distribution							
125. Legg Mason Clearbridge Sm Cap Growth Fd (T)	A	Distribution	J	T					
126. Columbia Emg Mkts Fd (T)	A	Dividend	J	T					
127. Prudential Global Real Est Fd (T)	A	Dividend			Sold	10/02/15	J	A	
128. NYC Ref 5.0 17	A	Interest	K	T	Buy	06/24/15	K		
129. Shenendehowa CSD 4.0 22	A	Interest	K	T	Buy	07/02/15	K		
130. NYS Dorm Gt Neck 5.0 25	B	Interest	K	T					
131. Islip 5.0 21	B	Interest	K	T					
132. NYS Dorm Sales Tax 5.0 25		None	K	T	Buy	07/02/15	K		
133. JP Morgan Value Adv Fd	C	Distribution	M	T	Buy	08/27/15	K		
134.					Buy	09/01/15	K		
135. Perinton 3.25 15 (E)	A	Interest			Redeemed	12/15/15	K	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

Kaplan, Lewis A.

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8/10/2016

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

1. (E) designates assets held as trustee u/w/o deceased relative , (S) assets held by spouse, and (T) assets held as trustee f/b/o family member, 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

Kaplan, Lewis A.

Date of Report

8/10/2016

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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