AO 10
Rev. 1/2021

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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)	2. Court or Organization	3. Date of Report
Kaplan, Lewis A.	U.S. District Court, Southern District of New York	07/11/2022
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
United States District Judge (Senior)	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
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.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Trustee	Trust #1 (reportable assets are listed in Part VII)
2.	Trustee	Trust #2 (no reportable assets)
3.		
4.		
5.		

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

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

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.	2021	Pension and retirement plan pmts-pension plans for benefit of retirees of Random House, Inc.
2.	2021	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.					

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.			

Name of Person Reporting	Date of Report
Kaplan, Lewis A.	07/11/2022

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. Individual Assets (H)									
2. CITIBANK (cash)	A	Interest	J	T					
3. JP MORGAN CHASE (cash)	A	Interest	N	T					
4. COMMUNITY BANK (cash)	A	Interest	J	T					
5. NY LIFE INS. (whole life policies)	C	Dividend	L	T					
6. Account #1 (H)									
7. JPM EQUITY INCOME FD (HLIEX)	E	Dividend	O	T	Buy (add'l)	03/05/21	M		
8.					Buy (add'l)	04/08/21	N		
9.					Buy (add'l)	09/29/21	J		
10.					Buy (add'l)	12/14/21	J		
11.					Buy (add'l)	12/30/21	J		
12. US TREAS BILL 03/25/21 (912796-2F-5)	A	Dividend			Redeemed	03/25/21	P1		
13. U S A TREAS BILLS 06/24/2021	A	Dividend			Buy	03/25/21	P1		
14.					Redeemed	06/24/21	P1		
15. U S A TREAS BILLS 09/23/202	A	Dividend			Buy	06/29/21	P1		
16.					Redeemed	09/23/21	P1		
17. JPM CORE BOND FD (PGBOX)	E	Dividend	O	T					

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

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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.)*

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	A	B		C		D				
	Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
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18.						Buy (add'l)	12/14/21	J		
19.						Buy (add'l)	12/30/21	J		
20.	JPM SHORT DURATION BOND FD (HLLVX)	E	Dividend	P1	T	Buy (add'l)	04/08/21	M		
21.						Buy (add'l)	06/29/21	N		
22.						Buy (add'l)	10/20/21	P1		
23.						Sold (part)	12/10/21	K		
24.						Buy (add'l)	12/14/21	J		
25.						Buy (add'l)	12/30/21	J		
26.	JPM MANAGED INCOME FD (JMGIX)	A	Dividend			Sold	04/08/21	M	A	
27.	JPM LARGE CAP GRWTH FD - CL I FUND (OLGAX)	E	Dividend	M	T	Buy	04/08/21	M		
28.						Buy (add'l)	12/14/21	K		
29.	Account #2 (H)									
30.	JPM CHASE 100% US TREAS FUND PREMIER FUND 0.01% (VHPXX) (cash eq.)	A	Int./Div.	L	T					
31.	JPM EQ INC FD - CL I FUND 3128 (HLIEX)	B	Dividend	L	T	Buy	03/05/21	K		
32.	US TREAS BILL 03/25/21 (912796-2F-5)	A	Dividend			Redeemed	03/25/21	N		
33.	U S A TREAS BILLS 06/24/2021	A	Dividend			Buy	03/26/21	N		

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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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34.					Redeemed	06/24/21	N		
35. U S A TREAS BILLS 09/23/202	A	Dividend			Buy	06/29/21	N		
36.					Redeemed	09/23/21	N		
37. JPM CORE BOND FD (WOBDX)	C	Dividend	M	T					
38. JPM SHORT DURATION BOND FD (HLLVX)	C	Dividend	O	T	Buy (add'l)	10/20/21	N		
39. Account #3 (H)									
40. JPM EQUITY INCOME FD (HLIEX)	A	Dividend	K	T					
41. JPM CORE BOND FD (PGBOX)	A	Dividend	J	T					
42. JPM UNCONSTRAINED DEBT FD (JSISX)	A	Dividend	J	T					
43. Account #4 (H)									
44. CLARKSTOWN NY REF-VAR PURP (182306X70)	A	Interest			Sold	06/15/21	K		
45. SCHENECTADY CNTY NY VAR PURP (806415V28)	A	Interest			Sold	12/15/21	K		
46. ROCKVILLE CENTRE NY (774132W34)	A	Interest	K	T					
47. EDGEMONT NY UN FREE SCH DIST OF GREENBURGH (280101DR4)	A	Interest	K	T					
48. NY ST BRDG AUTH (649807CB8)	A	Interest	K	T					
49. BROOKHAVEN NY REF (113152US9)	A	Interest	K	T					
50. ERIE CNTY NY FISCAL STABILITYAUTH (29508RGN0)	B	Interest	K	T					

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	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
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51. NY ST DORM AUTH ST PERSNL INC TAX (64990ENF0)	B	Interest	K	T					
52. NASSAU CNTY NY SWR & STORM WTR FIN (63166QBY5)	B	Interest	K	T					
53. ORANGE CNTY NY REF-VAR PURP-SER A (6845753M3)	B	Interest	K	T					
54. NY CITY NY TRNSTIONAL FIN AUTH BLDG (64972HXJ6)	B	Interest	K	T					
55. PORT AUTH OF NY & NJ NY SER 179 (73358WQQ0)	B	Interest	K	T					
56. THREE VLG NY CENTRL SCH DIST REF (885766NT8)	A	Interest	K	T					
57. CHEEKTOWAGA NY VAR PURP LTD TAX (162879P38)	A	Interest	K	T					
58. UTIL DEBT SECURITIZATION AUTH NY (91802RBG3)	B	Interest	K	T					
59. NY ST DORM AUTH SALES TAX REV (64990AEY7)	B	Interest	K	T					
60. MT VERNON NY CITY SCH DIST (623606D72)	A	Interest	K	T					
61. WAYNE CITY NY REF LTD TAX (945829EN5)	A	Interest	K	T					
62. NY NY FISCAL 2020-SER B-1 (64966Q-FC-9)	A	Interest	K	T					
63. NY ST ENVRNMNTL FACS CORP REV 5.0% 10/15/2032		None	K	T	Buy	12/21/21	K		
64. SCARSDALE NY UN FREE SCH DIST UNLTD TAX 4.0% 06/15/2030		None	K	T	Buy	06/29/21	K		
65. Account #5 (H)									
66. JPM TAX FREE MMKT INST SWEEP (cash)	A	Interest	J	T					
67. WESTCHESTER CNTY NY SER B (95736UZS6)	A	Interest			Sold	07/01/21	K		

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	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	
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68.	PLAINVIEW OLD BETHPAGE NY CENTRL SCH (726715HX6)	B	Interest			Sold	11/01/21	K		
69.	NASSAU CNTY NY INTERIM FIN AUTH (631663NN7)	A	Interest			Sold	11/15/21	K		
70.	ISLAND TREES NY UNION FREE (464568GK4)	B	Interest	K	T					
71.	SARATOGA SPRINGS NY REF-PUB IMPT (803531TR3)	B	Interest	K	T					
72.	SHENENDEHOWA NY CENTRL SCH DIST REF (823194F26)	B	Interest	K	T					
73.	ALBANY NY LTD TAX (012429AE6)	A	Interest	K	T					
74.	ARLINGTON NY CENTRAL SCH DIST REF UNLTD TAX (041717NR6)	A	Interest	K	T					
75.	HAVERSTRAW TOWN NY REF (419583AL3)	B	Interest	K	T					
76.	HUDSON YDS INFRASTRUCTURE CORP NY 2ND INDENT (44420RAH3)	B	Interest	K	T					
77.	MET TRANSPRTN AUTH REV GREEN BDS REF SER C (59261APX9)	B	Interest	K	T					
78.	MONROE CNTY NY INDL DEN CORP REV REF - U OF ROCHESTER PR (61075TRY6)	B	Interest	K	T					
79.	MT VERNON NY CITY CENTRL SCH DIST (623606C24)	B	Interest	K	T					
80.	NASSAU CNTY NY INTERIM FIN AUTH REF-SALES TAX SECURED-SER A (631663QW4	A	Interest	K	T	Buy	11/04/21	K		
81.	NY CTY NY TR CULTURAL RES REF - MUSEUM OF MODERN ART (649717SZ9)	A	Interest	K	T					
82.	NY CITY NY TRNSTIONAL FIN AUTH REV FUTURE (64971WFV7)	B	Interest	K	T					
83.	NY CITY NY MUNI WTR FIN AUTH WTR (64972GUK8)	A	Interest	K	T					

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
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84. NY ST ENVRNMNTL FACS CORP ST CLEAN WTR & DRINKING (64986AZ61)	B	Interest	K	T					
85. NY ST DORM AUTH REVS NON ST SUPPORTED DEBT GR NECK (649907Z39)	B	Interest	K	T					
86. NY ST DORM AUTH ST PERSNL INC TAX (64990E3R6)	B	Interest	K	T					
87. NY ST DORM AUTH REVENUES NON ST SUPPORTED DEBT (64990GF56)		None	K	T	Buy	11/22/21	K		
88. N TX ST MUNI WTR DIST REGL WSTWTR (662835M95)	B	Interest	K	T					
89. ORCHARD PK NY CENTRL SCH DIST (685644TP1)	B	Interest	K	T					
90. RIVERHEAD NY PUB IMPT-SER A LTD (768738XQ4)	A	Interest	K	T					
91. SALES TAX ASSET RECEIVABLE CORP NY (794665FM6)	B	Interest	K	T					
92. SOUTHAMPTON NY UN FREE SCHOOL REF UNLIMITED TAX (841098DS2)	A	Interest	K	T					
93. THREE VLG NY CENTRL SCH DIST (885766NW1)	B	Interest	K	T					
94. UTIL DEBT SECURITIZATION AUTH NY REF RESTR SER A (91802RCK3)	B	Interest	K	T					
95. WEST ISLIP NY UN FREE SCH DIST UNLTD (953429LB1)		None	K	T	Buy	07/22/21	K		
96. Account #6 (H)									
97. JPM TAX FREE MMKT INST SWEEP (cash)	A	Interest	K	T					
98. ISLIP NY REF (4647226W2)	A	Interest			Sold	02/01/21	K		
99. NEW YORK ST DORM AUTH SALES (1) (64990A-PW-9)		None			Sold	03/15/21	J		

1 Income Gain Codes: (See Columns B1 and D4)	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
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100. NEW YORK ST DORM AUTH SALES (2) (64990A-PY-5)		None			Sold	03/15/21	K		
101. NORTH SHORE NY CENTRL SCH DIST (662323HL1)		None			Sold	07/15/21	K		
102. NY CITY NY MUNI WTR FINAUTH WTR & SWR SYS REV (2) (64972G-XK-5)	A	Interest	J	T					
103. NY CITY NY MUNI WTR FINAUTH WTR & SWR SYS REV (1) (64972G-XL-3)	A	Interest	K	T					
104. PITTSFORD NY CENTRL SCH DIST (725635EJ1)	A	Interest	K	T					
105. SARATOGA SPRINGS NY REF-PUB IMPT (803531TR3)	B	Interest	K	T					
106. SHENENDEHOWA NY CENTRL SCH DIST REF (823194F26)	B	Interest	K	T					
107. ALBANY NY LTD TAX 4.0% (012429AE6)	A	Interest	K	T					
108. DALLAS TX WTRWKS & SWR SYS REV SER C (23542JJU0)	B	Interest	K	T					
109. ELMSFORD NY UN FREE SCH DIST (290011BC8)	B	Interest	K	T					
110. HUDSON YDS INFRASTRUCTURE CORP NY 2ND INDENT (44420RAM2)	B	Interest	K	T					
111. LANCASTER NY CENTRL SCH DIST SER A (514224-PS-7)	B	Interest	K	T					
112. NASSAU CNTY NY INTERIM FIN AUTH REF	A	Interest	K	T	Buy	02/17/21	K		
113. NY CITY NY TRNSTIONAL FIN AUTH REV (64971WFV7)	B	Interest	K	T					
114. NY CITY NY TRNSTIONAL FIN AUTH BLDG AID REV (64972HVC3)	B	Interest	K	T					
115. NY ST REF SER C UNLTD TAX (649791ME7)	B	Interest	K	T					

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Kaplan, Lewis A.	07/11/2022

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. NY ST ENVRNMNTL FACS CORP ST CLEAN WTR & DRINKING (64986AZ61)	B	Interest	K	T					
117. NY ST DORM AUTH REVS NON ST (649907Z47)	A	Interest	K	T					
118. NY ST URBAN DEV CORP REF PERS INCOME TAX SER A (650035T99)	B	Interest	K	T					
119. NYACK NY UN FREE SCH DIST UNLTD (670658KE2)	A	Interest	K	T					
120. ONONDAGA CNTY NY (6827457H1)	A	Interest	K	T					
121. PORT AUTH OF NY & NJ NY REF (73358W-V3-5)	B	Interest	K	T					
122. PORT CHESTER NY REF-PUBLIC IMPT-SER (733760US9)	A	Interest	K	T					
123. RYE NECK NY UN FREE SCH DIST SER A (783583GA9)	A	Interest	K	T					
124. SILVER CREEK NY CENTRL SCH DIST UNLTD		None	K	T	Buy	04/15/21	K		
125. UTIL DEBT SECURITIZATION AUTH NY (91802RBX6)	B	Interest	K	T					
126. UTIL DEBT SECURITIZATION AUTH NY (91802RBZ1)	B	Interest	K	T					
127. Account #7 (H)									
128. JPM TAX FREE MMKT INST SWEEP (cash)	A	Interest	J	T					
129. NY CITY NY TR FOR CULTURAL RES (649717RK3)	A	Interest			Sold	04/01/21	K		
130. EAST ISLIP NY UNION FREE SCH DIST (273173KC7)	A	Interest			Sold	06/15/21	K		
131. PITTSFORD NY CENTRL SCH DIST (725635EJ1)	A	Interest	K	T					
132. NY ST DORM AUTH REVS NON ST (649907A77)	A	Interest	K	T					

1 Income Gain Codes: (See Columns B1 and D4) — 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; 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 (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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 (See Column C2) — Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

Name of Person Reporting	Date of Report
Kaplan, Lewis A.	07/11/2022

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. NEW HYDE PARK & GARDEN CITY PARK NY (645541CY7)	A	Interest	K	T					
134. HAVERSTRAW-STONY POINT NY CENTRL SCH (419578RM3)	A	Interest	K	T					
135. PINE BUSH NY CENTRL SCH DIST (722477LQ7)	B	Interest	K	T					
136. NY ST UNLIMITED TAX A (649791HH6)	A	Interest	K	T					
137. CLARKSTOWN NY CENTRL SCH DIST (182324UU5)	A	Interest	K	T					
138. NY ST DORM AUTH REVS NON ST (649907Z39)	A	Interest	K	T					
139. NY ST DORM AUTH ST PERSNL INC TAX (64990EYE1)	A	Interest	K	T					
140. PORT AUTH OF NY & NJ NY CONSOL-ONE (73358WRR7)	B	Interest	K	T					
141. UTIL DEBT SECURITIZATION AUTH NY (91802RBZ1)	B	Interest	K	T					
142. HUDSON YDS INFRASTRUCTURE CORP NY 2ND INDENT (44420RAM2)	A	Interest	K	T					
143. DUTCHESS CNTY NY PUB IMPT SER B (2670397K5)	A	Interest	K	T					
144. MAMARONECK VLG NY REF LTD (561501PX9)	A	Interest	J	T					
145. CLARKSTOWN NY PUB IMPT (1823062Q2)	A	Interest	K	T					
146. WESTCHESTER CNTY NY SER A (95736U4U5)	A	Interest	K	T					
147. COLUMBIA CNTY NY SER B LTD (197504SU8)	A	Interest	K	T					
148. NYACK NY UN FREE SCH DIST (670658KE2)	A	Interest	K	T					
149. NY ST URBAN DEV CORP REV SER A (650036-AC-0)	A	Interest	K	T					

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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Name of Person Reporting	Date of Report
Kaplan, Lewis A.	07/11/2022

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)
150. N TX ST MUNI WTR DIST REGL WSTWTR (662835M95)	A	Interest	K	T					
151. OH ST REF-COMMON SCH-SER B UNLTD (6775227Y4)	A	Interest	K	T	Buy	04/15/21	K		
152. HEMPSTEAD TOWN NY LTD (424672G98)		None	K	T	Buy	07/31/21	K		

1 Income Gain Codes: (See Columns B1 and D4)	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
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
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	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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Name of Person Reporting	Date of Report
Kaplan, Lewis A.	07/11/2022

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

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.

Parenthetical numbers in Part VII are CUSIP numbers.

Name of Person Reporting	Date of Report
Kaplan, Lewis A.	07/11/2022

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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