AO 10
Rev. 1/2021

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2022

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	05/15/2023
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	01/01/2022 **to** 12/31/2022
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.		

Name of Person Reporting	Date of Report
Kaplan, Lewis A.	05/15/2023

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.	2022	Pension and retirement plan pmts-pension plans for benefit of retirees of Random House, Inc.
2.	2022	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.	05/15/2023

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	L	T					
3. JP MORGAN CHASE (cash)	A	Interest	J	T					
4. COMMUNITY BANK (cash)	A	Interest	J	T					
5. MORGAN STANLEY BANK (cash)	A	Interest	N	T	Open	12/15/22	J		
6. NY LIFE INS. (whole life policies)	B	Dividend	L	T					
7. Account #1 (H)									
8. JPM EQUITY INCOME FD (HLIEX)	E	Dividend	O	T					
9. JPM LARGE CAP GRWTH FD - CL I FUND (OLGAX)	C	Dividend	M	T					
10. JPM CORE BOND FD (PGBOX)	E	Dividend	N	T	Sold (part)	12/05/22	M		
11. JPM SHORT DURATION BOND FD (HLLVX)	E	Dividend	P1	T					
12. Account #2 (H)									
13. JPM EQ INC FD - CL I FUND 3128 (HLIEX)	B	Dividend	L	T					
14. JPM CHASE 100% US TREAS FUND PREMIER FUND 0.01% (VHPXX) (cash eq.)	A	Int./Div.	K	T	Sold (part)	12/05/22	K		
15. JPM CORE BOND FD (WOBDX)	C	Dividend	M	T					
16. JPM SHORT DURATION BOND FD (HLLVX)	D	Dividend	N	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.	05/15/2023

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)
17. Account #3 (H)									
18. JPM EQUITY INCOME FD (HLIEX)	A	Dividend	K	T					
19. JPM CORE BOND FD (PGBOX)	B	Dividend	J	T	Sold (part)	12/05/22	J		
20. JPM UNCONSTRAINED DEBT FD (JSISX)	A	Dividend	J	T					
21. Account #4 (H)									
22. JPM DEPOSIT SWEEP INCOME (cash)	A	Interest	K	T					
23. JPM TAX FREE MMKT INST SWEEP (VTMXX) (cash eq.)	A	Interest			Buy	01/03/22	J		
24.					Sold (part)	01/19/22	J		
25.					Buy (add'l)	06/15/22	K		
26.					Sold (part)	06/23/22	K		
27.					Buy (add'l)	08/15/22	K		
28.					Sold (part)	08/18/22	K		
29.					Buy (add'l)	12/01/22	J		
30.					Sold	12/15/22	J		
31. ROCKVILLE CENTRE NY (774132W34)	A	Interest			Redeemed	06/15/22	K		
32. EDGEMONT NY UN FREE SCH DIST OF GREENBURGH (280101DR4)	A	Interest			Redeemed	08/15/22	K		
33. NY ST BRDG AUTH (649807CB8)	A	Interest			Redeemed	01/03/22	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
	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.	05/15/2023

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)
34. BROOKHAVEN NY REF (113152US9)	A	Interest	K	T					
35. ERIE CNTY NY FISCAL STABILITYAUTH (29508RGN0)	B	Interest	K	T					
36. NY ST DORM AUTH ST PERSNL INC TAX (64990ENF0)	B	Interest	K	T					
37. NASSAU CNTY NY SWR & STORM WTR FIN (63166QBY5)	B	Interest	K	T					
38. ORANGE CNTY NY REF-VAR PURP-SER A (6845753M3)	B	Interest	K	T					
39. NY CITY NY TRANSITIONAL FIN AUTH BLDG AID REV (64972H6C1)	A	Interest	J	T					
40. NY CITY NY TRANSITIONAL FIN AUTH BLDG AID REV (64972H6D9)	A	Interest	K	T					
41. NY CITY NY TRNSTIONAL FIN AUTH BLDG (64972HXJ6) (Y)									
42. PORT AUTH OF NY & NJ NY SER 179 (73358WQQ0)	B	Interest	K	T					
43. THREE VLG NY CENTRL SCH DIST REF (885766NT8)	A	Interest	K	T					
44. CHEEKTOWAGA NY VAR PURP LTD TAX (162879P38)	A	Interest	K	T					
45. UTIL DEBT SECURITIZATION AUTH NY (91802RBG3)	B	Interest	K	T					
46. NY ST DORM AUTH SALES TAX REV (64990AEY7)	B	Interest	K	T					
47. NY CITY NY TRANSITIONAL FIN AUTH REV (64971XZB7)	A	Interest	J	T	Buy	01/14/22	J		
48. MT VERNON NY CITY SCH DIST (623606D72)	A	Interest	K	T					
49. WAYNE CITY NY REF LTD TAX (945829EN5)	A	Interest	K	T					
50. SCARSDALE NY UN FREE SCH DIST UNLTD TAX 4.0% (806160NJ2)	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.	05/15/2023

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)
51. NY NY FISCAL 2020-SER B-1 (64966Q-FC-9)	A	Interest	K	T					
52. EDEN NY CENTRL SCH DIST (279466EW2)	A	Interest	K	T	Buy	06/16/22	K		
53. NY ST ENVRNMNTL FACS CORP REV 5.0% (64985HF51)	A	Interest	K	T					
54. NY ST DORM AUTH ST PERSNL INCOME TAX (64990FYA6)	A	Interest	J	T	Buy	08/16/22	J		
55. NASSAU CNTY NY INTERIM FIN AUTH (631663QX2)	A	Interest	K	T	Buy	08/16/22	K		
56. Account #5 (H)									
57. JPM TAX FREE MMKT INST FUND (VTMXX) (cash eq.)	A	Dividend			Sold (part)	01/19/22	J		
58.					Sold (part)	04/19/22	J		
59.					Buy (add'l)	06/15/22	K		
60.					Sold (part)	06/22/22	K		
61.					Buy (add'l)	08/01/22	K		
62.					Sold (part)	08/02/22	K		
63.					Buy (add'l)	12/01/22	J		
64.					Sold	12/15/22	J		
65. MORGAN STANLEY BANK (cash)	A	Interest	J	T	Open	12/27/22	J		
66. ISLAND TREES NY UNION FREE (464568GK4)	B	Interest			Redeemed	08/01/22	K		
67. SARATOGA SPRINGS NY REF-PUB IMPT (803531TR3)	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		

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)
68.	SHENENDEHOWA NY CENTRL SCH DIST REF (823194F26)	A	Interest			Sold	06/15/22	K		
69.	ALBANY NY LTD TAX (012429AE6)	A	Interest	K	T					
70.	NY CITY NY TRNSTIONAL FIN AUTH REV FUTURE (64971WFV7)	B	Interest	K	T					
71.	NY ST DORM AUTH ST PERSNL INCOME TAX REV REFUNDED-SER A (64990FZ64)	A	Interest	J	T					
72.	NY ST DORM AUTH ST PERSNL INCOME TAX REV UNFUNDED SER A (64990FZ72)	A	Interest	K	T					
73.	NY ST DORM AUTH REVS GREAT NECK (649907Z39)	B	Interest	K	T					
74.	NY ST ENVRNMNTL FACS CORP ST CLEAN WTR & DRINKING (64986AZ61)	B	Interest	K	T					
75.	SALES TAX ASSET RECEIVABLE CORP NY (794665FM6)	B	Interest	K	T					
76.	HUDSON YDS INFRASTRUCTURE CORP NY 2ND INDENT (44420RAH3)	B	Interest	K	T					
77.	NY CITY NY MUNI WTR FIN AUTH WTR (64972GUK8)	A	Interest	K	T					
78.	NY CTY NY TR CULTURAL RES REF - MUSEUM OF MODERN ART (649717SZ9)	A	Interest	K	T					
79.	ARLINGTON NY CENTRAL SCH DIST REF UNLTD TAX (041717NR6)	A	Interest	K	T					
80.	SOUTHAMPTON NY UN FREE SCHOOL REF UNLIMITED TAX (841098DS2)	A	Interest	K	T					
81.	MONROE CNTY NY INDL DEN CORP REV REF - U OF ROCHESTER PR (61075TRY6)	B	Interest	K	T					
82.	MET TRANSPRTN AUTH REV GREEN BDS REF SER C (59261APX9)	B	Interest	K	T					
83.	UTIL DEBT SECURITIZATION AUTH NY REF RESTR SER A (91802RCK3)	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.	05/15/2023

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)
84.	ORCHARD PK NY CENTRL SCH DIST (685644TP1)	B	Interest	K	T					
85.	MT VERNON NY CITY CENTRL SCH DIST (623606C24)	B	Interest	K	T					
86.	RIVERHEAD NY PUB IMPT-SER A LTD (768738XQ4)	A	Interest	K	T					
87.	THREE VLG NY CENTRL SCH DIST (885766NW1)	B	Interest	K	T					
88.	HAVERSTRAW TOWN NY REF (419583AL3)	B	Interest	K	T					
89.	N TX ST MUNI WTR DIST REGL WSTWTR (662835M95)	B	Interest	K	T					
90.	WEST ISLIP NY UN FREE SCH DIST UNLTD (953429LB1)	B	Interest	K	T					
91.	NY ST DORM AUTH REVENUES NON ST SUPPORTED DEBT (64990GF56)	B	Interest	K	T					
92.	NY CITY NY TRANSITIONAL FIN AUTH (64972H6Z0)		None	K	T	Buy	08/02/22	K		
93.	LONG ISLD NY PWR AUTH ELEC SYS REV (542691EL0)	A	Interest	K	T	Buy	06/17/22	K		
94.	NASSAU CNTY NY INTERIM FIN AUTH REF-SALES TAX SEC-SER A (631663QW4)	A	Interest	K	T					
95.	Account #6 (H)									
96.	JPM TAX FREE MMKT INST FUND (VTMXX) (cash eq.)	A	Dividend			Sold (part)	01/18/22	K		
97.						Buy (add'l)	06/15/22	L		
98.						Sold (part)	06/22/22	L		
99.						Buy (add'l)	10/03/22	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

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.	05/15/2023

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)
100.					Sold (part)	10/06/22	K		
101.					Sold	12/15/22	J		
102. MORGAN STANLEY BANK (cash)	A	Interest	J	T	Open	12/27/22	J		
103. NY CITY NY MUNI WTR FINAUTH WTR & SWR SYS REV (2) (64972G-XK-5)	A	Interest			Sold	06/15/22	J		
104. NY CITY NY MUNI WTR FINAUTH WTR & SWR SYS REV (1) (64972G-XL-3)	A	Interest			Sold	06/15/22	J		
105. PITTSFORD NY CENTRL SCH DIST (725635EJ1)	A	Interest			Redeemed	10/03/22	K		
106. SARATOGA SPRINGS NY REF-PUB IMPT (803531TR3)	B	Interest	K	T					
107. SHENENDEHOWA NY CENTRL SCH DIST REF (823194F26)	A	Interest			Sold	06/15/22	K		
108. ALBANY NY LTD TAX 4.0% (012429AE6)	A	Interest	K	T					
109. NY CITY NY TRNSTIONAL FIN AUTH REV (64971WFV7)	B	Interest	K	T					
110. NY ST REF SER C UNLTD TAX (649791ME7)	B	Interest	K	T					
111. NY ST ENVRNMNTL FACS CORP ST CLEAN WTR & DRINKING (64986AZ61)	B	Interest	K	T					
112. NY CITY NY TRANSITIONALFIN AUTH BLDG (64972H-7H-9)	A	Interest	K	T					
113. NY CITY NY TRANSITIONALFIN AUTH BLDG (64972H7J5)	A	Interest	K	T					
114. NY ST DORM AUTH REVS NON ST (649907Z47)	B	Interest	K	T					
115. UTIL DEBT SECURITIZATION AUTH NY (91802RBX6)	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.	05/15/2023

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. ELMSFORD NY UN FREE SCH DIST (290011BC8)	B	Interest	K	T					
117. NY ST URBAN DEV CORP REF PERS INCOME TAX SER A (650035T99)	B	Interest	K	T					
118. ONONDAGA CNTY NY (6827457H1)	A	Interest	K	T					
119. UTIL DEBT SECURITIZATION AUTH NY (91802RBZ1)	B	Interest	K	T					
120. PORT CHESTER NY REF-PUBLIC IMPT-SER (733760US9)	A	Interest	K	T					
121. HUDSON YDS INFRASTRUCTURE CORP NY 2ND INDENT (44420RAM2)	B	Interest	K	T					
122. RYE NECK NY UN FREE SCH DIST SER A (783583GA9)	A	Interest	K	T					
123. SILVER CREEK NY CENTRL SCH DIST UNLTD (827589GQ9)	B	Interest	K	T					
124. LANCASTER NY CENTRL SCH DIST SER A (514224-PS-7)	A	Interest	K	T					
125. NY CITY NY MUNI WTR FIN AUTH WTR & SWR SYS (64972GUU6)	A	Interest	K	T	Buy	01/13/22	K		
126. NYACK NY UN FREE SCH DIST UNLTD (670658KE2)	A	Interest	K	T					
127. PORT AUTH OF NY & NJ NY REF (73358W-V3-5)	B	Interest	K	T					
128. TRIBOROUGH NY BRDG & TUNL AUTH (89602HCV7)	A	Interest	K	T	Buy	10/04/22	K		
129. DALLAS TX WTRWKS & SWR SYS REV SER C (23542JJU0)	B	Interest	K	T					
130. NASSAU CNTY NY INTERIM FIN AUTH REF (631663-QU-8)	B	Interest	K	T					
131. LONG ISLD NY PWR AUTH ELEC SYS REV (542691EL0)	A	Interest	K	T	Buy	06/17/22	K		
132. NY ST DORM AUTH ST PERSNL INCOME TAX (64990FZN7)	A	Interest	K	T	Buy	06/17/22	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

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.	05/15/2023

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. Account #7 (H)									
134. JPM TAX FREE MMKT INST FUND (VTMXX) (cash eq.)	A	Interest	K	T	Buy (add'l)	05/02/22	K		
135.					Sold (part)	05/05/22	K		
136.					Buy (add'l)	10/03/22	K		
137.					Sold (part)	10/07/22	K		
138.					Buy (add'l)	11/15/22	K		
139.					Sold (part)	11/18/22	K		
140.					Sold (part)	12/15/22	J		
141. PITTSFORD NY CENTRL SCH DIST (725635EJ1)	A	Interest			Redeemed	10/03/22	K		
142. NY ST DORM AUTH REVS NON ST (649907A77)	A	Interest			Redeemed	10/03/22	J		
143. NEW HYDE PARK & GARDEN CITY PARK NY (645541CY7)	A	Interest			Redeemed	11/15/22	K		
144. NY ST UNLIMITED TAX A (649791HH6)	A	Interest	K	T					
145. HAVERSTRAW-STONY POINT NY CENTRL SCH (419578RM3)	A	Interest			Sold	05/02/22	K		
146. PINE BUSH NY CENTRL SCH DIST (722477LQ7)	B	Interest	K	T					
147. CLARKSTOWN NY CENTRL SCH DIST (182324UU5)	A	Interest	K	T					
148. NY ST DORM AUTH REVS NON ST (649907Z39)	A	Interest	K	T					
149. NY ST DORM AUTH ST PERSNL INC TAX (64990EYE1)	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.	05/15/2023

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. PORT AUTH OF NY & NJ NY CONSOL-ONE (73358WRR7)	B	Interest	K	T					
151. UTIL DEBT SECURITIZATION AUTH NY (91802RBZ1)	B	Interest	K	T					
152. HUDSON YDS INFRASTRUCTURE CORP NY 2ND INDENT (44420RAM2)	A	Interest	K	T					
153. DUTCHESS CNTY NY PUB IMPT SER B (2670397K5)	A	Interest	K	T					
154. MAMARONECK VLG NY REF LTD (561501PX9)	A	Interest	J	T					
155. CLARKSTOWN NY PUB IMPT (1823062Q2)	A	Interest	K	T					
156. WESTCHESTER CNTY NY SER A (95736U4U5)	A	Interest	K	T					
157. COLUMBIA CNTY NY SER B LTD (197504SU8)	A	Interest	K	T					
158. NYACK NY UN FREE SCH DIST (670658KE2)	A	Interest	K	T					
159. NY ST URBAN DEV CORP REV SER A (650036-AC-0)	A	Interest	K	T					
160. N TX ST MUNI WTR DIST REGL WSTWTR (662835M95)	A	Interest	K	T					
161. TRIBOROUGH NY BRDG & TUNL AUTH (89602REM3)	A	Interest	K	T	Buy	05/03/22	K		
162. HEMPSTEAD TOWN NY LTD (424672G98)	B	Interest	K	T					
163. OH ST REF-COMMON SCH-SER B UNLTD (6775227Y4)	A	Interest	K	T					
164. NY ST ENVRNMNTL FACS CORP REV (64985HF77)	A	Interest	K	T	Buy	10/05/22	K		
165. NY CITY NY TRANSITIONAL FIN AUTH REV (64971X-P2-8)	A	Interest	K	T	Buy	11/16/22	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	
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.	05/15/2023

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 45 of the filing instructions.

Parenthetical numbers in Part VII are CUSIP numbers.

Name of Person Reporting	Date of Report
Kaplan, Lewis A.	05/15/2023

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