AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

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	05/15/2024
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	01/01/2023 **to** 12/31/2023
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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ 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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements.)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

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
1.	2023	Pension and retirement plan pmts-pension plans for benefit of retirees of Random House, Inc.
2.	2023	Newspaper Guild NY - NY Times pension
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ 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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Kaplan, Lewis A.	05/15/2024

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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)	
1.	INDIVIDUAL ASSETS (H)									
2.	CITIBANK (cash)	A	Interest	J	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					
6.	NY LIFE INS. (whole life policies)	B	Dividend	L	T					
7.	ACCOUNT #1 (H)									
8.	MORGAN STANLEY PRIVATE BANK NA (cash)	A	Interest	K	T	Open	05/24/23	P1		
9.	ISHARES RUSSELL 1000 GRW ETF (IWF)	B	Dividend	N	T	Buy	05/23/23	N		
10.						Sold (part)	11/21/23	K	D	
11.	ISHARES RUSSELL 1000 VALUE ETF (IWD)	D	Dividend	N	T	Buy	05/23/23	N		
12.	VANGUARD FTSE DEVELOPED MKTS E (VEA)	C	Dividend	M	T	Buy	05/23/23	M		
13.	VANGUARD MID-CAP ETF INDEX (VO)	B	Dividend	M	T	Buy	05/23/23	M		
14.	LORD ABBETT SHT DURATION INC I (LLDYX)	E	Dividend	O	T	Buy	05/24/23	O		
15.	WESTERN ASSET CORE PLUS BD I (WACPX)	F	Dividend	P1	T	Buy	05/24/23	P1		
16.						Sold (part)	11/21/23	M		
17.	JPM EQUITY INCOME FD (HLIEX)	D	Dividend			Sold	05/23/23	O	E	

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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Kaplan, Lewis A.	05/15/2024

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure		B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
		(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	
18.	JPM LARGE CAP GRWTH FD - CL I FUND (OLGAX)		None			Sold	05/23/23	M		
19.	JPM CORE BOND FD (PGBOX)	C	Dividend			Sold	05/23/23	N		
20.	JPM SHORT DURATION BOND FD (HLLVX)	E	Dividend			Sold	05/23/23	P1		
21.	ACCOUNT #2 (H)									
22.	MORGAN STANLEY PRIVATE BANK NA (cash)	A	Interest	J	T	Open	05/15/23	K		
23.	ISHARES RUSSELL 1000 GRW ETF (IWF)	A	Dividend	L	T	Buy	05/24/23	L		
24.						Sold (part)	11/21/23	J	A	
25.	ISHARES RUSSELL 1000 VALUE ETF (IWD)	B	Dividend	L	T	Buy	05/24/23	L		
26.	VANGUARD FTSE DEVELOPED MKTS E (VEA)	A	Dividend	K	T	Buy	05/24/23	K		
27.	VANGUARD MID-CAP ETF INDEX (VO)	A	Dividend	K	T	Buy	05/24/23	K		
28.	LORD ABBETT SHT DURATION INC I (LLDYX)	C	Dividend	M	T	Buy	05/24/23	M		
29.	WESTERN ASSET CORE PLUS BD I (WACPX)	D	Dividend	N	T	Buy	05/24/23	N		
30.						Sold (part)	11/21/23	K		
31.	JPM CHASE 100% US TREAS FUND PREMIER FUND 0.01% (VHPXX) (cash eq.)	A	Int./Div.			Sold	05/10/23	K		
32.	JPM EQ INC FD - CL I FUND 3128 (HLIEX)	A	Dividend			Sold	05/23/23	L	C	
33.	JPM CORE BOND FD (WOBDX)	B	Dividend			Sold	05/23/23	M		

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
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3. Value Method Codes (See Column C2)
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☐ NONE *(No reportable income, assets, or transactions.)*

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure		B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
34.	JPM SHORT DURATION BOND FD (HLLVX)	C	Dividend			Sold	05/23/23	O		
35.	ACCOUNT #3 (H)									
36.	JPM CORE BOND FD (PGBOX)	A	Dividend	J	T					
37.	JPM EQUITY INCOME FD (HLIEX)	A	Dividend	K	T					
38.	JPM UNCONSTRAINED DEBT FD (JSISX)	A	Dividend	J	T	Sold (part)	11/21/23	J		
39.	ACCOUNT #4 (H)									
40.	JPM DEPOSIT SWEEP INCOME (cash)	A	Interest			Closed	01/13/23	J		
41.	MORGAN STANLEY PRIVATE BANK NA (cash)	A	Interest	J	T	Open	05/15/23	K		
42.	BROOKHAVEN NY REF (113152US9)	A	Interest			Redeemed	05/01/23	K		
43.	ERIE CNTY NY FISCAL STABILITYAUTH (29508RGN0)	B	Interest			Redeemed	08/15/23	K		
44.	NY ST DORM AUTH ST PERSNL INC TAX (64990ENF0)	B	Interest	K	T					
45.	NASSAU CNTY NY SWR & STORM WTR FIN (63166QBY5)	B	Interest			Sold	12/13/23	K		
46.	MINNESOTA PUB FACS AUTH ST REVOLVING FD (604115CG8)	A	Interest			Buy	10/23/23	K		
47.						Sold	12/01/23	K	A	
48.	ORANGE CNTY NY REF-VAR PURP-SER A (6845753M3)	A	Interest			Sold	05/22/23	K		
49.	NY CITY NY TRANSITIONAL FIN AUTH BLDG AID REV (64972H6C1)	D	Interest	J	T					
50.	NY CITY NY TRANSITIONAL FIN AUTH BLDG AID REV (64972H6D9)	A	Interest	K	T					

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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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51.	SOUTH-WESTERN CITY SCH DIST OH FRANKLIN & PICKWAY CNTY (840658NM6)	A	Interest	K	T	Buy	10/11/23	K		
52.	PORT AUTH OF NY & NJ NY SER 179 (73358WQQ0)	B	Interest			Redeemed	12/14/23	K		
53.	PORT AUTH N Y & N J (73358XKS0)		None	K	T	Buy	09/08/23	K		
54.	FRISCO TEX ID (358776YU0)	A	Interest	K	T	Buy	05/22/23	K		
55.	CHAMBERS CNTY TEX ID (157789MM7)		None	K	T	Buy	06/13/23	K		
56.	CYPRESS-FAIRBANKS TEX INDPT SCH DIST (232769MS5)		None	J	T	Buy	10/26/23	J		
57.	MARYLAND ST (574193VF2)	A	Interest	K	T	Buy	10/02/23	K		
58.	OREGON ST GENL OBLIG SER-A (68609TD70)	A	Interest			Buy	05/23/23	K		
59.						Sold	10/02/23	K		
60.	RALEIGH N C COMB ENTERPRISE SY (751100MX3)	A	Interest	K	T	Buy	06/02/23	K		
61.	NY NY FISCAL 2020-SER B-1 (64966Q-FC-9)	A	Interest	K	T					
62.	MINNESOTA PUB FACS AUTH ST REVOLVING FD (604115DW2)		None	K	T	Buy	12/19/23	K		
63.	OHIO ST (677523HC9)		None	K	T	Buy	12/13/23	K		
64.	OHIO ST WTR DEV AUTH WTR POLLUTN CTL REV GREEN (67766WM25)		None	K	T	Buy	12/12/23	K		
65.	KINGKING CNTY WASH SCH DIST (495098ZS7)	A	Interest	K	T	Buy	06/14/23	K		
66.	CARMEL CLAY IND SCH BLDG CORP (143249DC1)	A	Interest			Buy	05/25/23	K		

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67.					Sold	10/23/23	K		
68. CLARK CNTY WASH SCH DIST NO 11 (181234P66)	A	Interest	K	T	Buy	06/13/23	K		
69. SIOUX CITY IOWA (829458PW2)	A	Interest	K	T	Buy	05/24/23	K		
70. THREE VLG NY CENTRL SCH DIST REF (885766NT8)	A	Interest			Sold	05/22/23	K		
71. CHEEKTOWAGA NY VAR PURP LTD TAX (162879P38)	A	Interest			Sold	05/23/23	K		
72. UTIL DEBT SECURITIZATION AUTH NY (91802RBG3)	A	Interest			Sold	05/22/23	K		
73. NY ST DORM AUTH SALES TAX REV (64990AEY7)	A	Interest			Sold	05/22/23	K		
74. NY CITY NY TRANSITIONAL FIN AUTH REV (64971XZB7)	A	Interest			Sold	05/22/23	J		
75. MT VERNON NY CITY SCH DIST (623606D72)	A	Interest			Sold	05/23/23	K		
76. WAYNE CITY NY REF LTD TAX (945829EN5)	A	Interest			Sold	05/23/23	K		
77. SCARSDALE NY UN FREE SCH DIST UNLTD TAX 4.0% (806160NJ2)	A	Interest			Sold	05/22/23	K		
78. EDEN NY CENTRL SCH DIST (279466EW2)	A	Interest			Sold	05/22/23	K		
79. NY ST ENVRNMNTL FACS CORP REV 5.0% (64985HF51)	A	Interest			Sold	05/23/23	K		
80. NY ST DORM AUTH ST PERSNL INCOME TAX (64990FYA6)	A	Interest			Sold	05/22/23	J		
81. NASSAU CNTY NY INTERIM FIN AUTH (631663QX2)	A	Interest			Sold	05/22/23	K		
82. UNITED STATES TREASURY NOTES (X)		None	J	T					
83. ACCOUNT #5 (H)									

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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84.	MORGAN STANLEY BANK (cash)	A	Interest	J	T					
85.	SARATOGA SPRINGS NY REF-PUB IMPT (803531TR3)	A	Interest			Redeemed	02/15/23	K		
86.	ALBANY NY LTD TAX (012429AE6)		None			Redeemed	06/15/23	J		
87.	NY CITY NY TRNSTIONAL FIN AUTH REV FUTURE (64971WFV7)	B	Interest			Redeemed	08/01/23	K		
88.	NY ST DORM AUTH ST PERSNL INCOME TAX REV REFUNDED-SER A (64990FZ64)	A	Interest	J	T					
89.	NY ST DORM AUTH ST PERSNL INCOME TAX REV UNFUNDED SER A (64990FZ72)	A	Interest	K	T					
90.	NY ST DORM AUTH REVS GREAT NECK (649907Z39)	B	Interest	K	T					
91.	NY ST ENVRNMNTL FACS CORP ST CLEAN WTR & DRINKING (64986AZ61)	A	Interest			Redeemed	06/29/23	K		
92.	SALES TAX ASSET RECEIVABLE CORP NY (794665FM6)	B	Interest	K	T					
93.	HUDSON YDS INFRASTRUCTURE CORP NY 2ND INDENT (44420RAH3)	A	Interest			Sold	05/31/23	K		
94.	NY CITY NY MUNI WTR FIN AUTH WTR (64972GUK8)	A	Interest			Redeemed	12/15/23	K		
95.	NY CTY NY TR CULTURAL RES REF - MUSEUM OF MODERN ART (649717SZ9)	A	Interest	K	T					
96.	ARLINGTON NY CENTRAL SCH DIST REF UNLTD TAX (041717NR6)	A	Interest	K	T					
97.	SOUTHAMPTON NY UN FREE SCHOOL REF UNLIMITED TAX (841098DS2)	A	Interest			Sold	05/31/23	K		
98.	MONROE CNTY NY INDL DEN CORP REV REF - U OF ROCHESTER PR (61075TRY6)	B	Interest	K	T					
99.	MET TRANSPRTN AUTH REV GREEN BDS REF SER C (59261APX9)	A	Interest			Sold	06/02/23	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		
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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
100. UTIL DEBT SECURITIZATION AUTH NY REF RESTR SER A (91802RCK3)	A	Interest			Sold	05/31/23	K		
101. ORCHARD PK NY CENTRL SCH DIST (685644TP1)	A	Interest			Sold	05/31/23	K		
102. MT VERNON NY CITY CENTRL SCH DIST (623606C24)	A	Interest			Sold	06/01/23	K		
103. RIVERHEAD NY PUB IMPT-SER A LTD (768738XQ4)	A	Interest			Sold	06/01/23	K		
104. THREE VLG NY CENTRL SCH DIST (885766NW1)	A	Interest			Sold	06/01/23	K		
105. HAVERSTRAW TOWN NY REF (419583AL3)	B	Interest			Sold	05/31/23	K		
106. WEST BLOOMFIELD MICH SCH DIST (951452SJ1)	A	Interest			Buy	06/13/23	L		
107.					Sold	10/02/23	L		
108. UNIV PITTSBURGH OF THE COMWLTH SYS OF HI (91335VKY1)		None	L	T	Buy	11/07/23	L		
109. RALEIGH N C COMB ENTERPRISE SY (751100MX3)	A	Interest	L	T	Buy	06/02/23	L		
110. CHAMBERS CNTY TEX ID (157789MQ8)		None	L	T	Buy	06/13/23	L		
111. NEW YORK ST (649791TJ9)		None	K	T	Buy	10/11/23	K		
112. FLORIDA ST BRD ED PUB ED CAP (34153QER3)	A	Interest	K	T	Buy	09/14/23	K		
113. N TX ST MUNI WTR DIST REGL WSTWTR (662835M95)	A	Interest			Sold	09/14/23	K		
114. WEST ISLIP NY UN FREE SCH DIST UNLTD (953429LB1)	A	Interest			Sold	05/31/23	K		
115. NY ST DORM AUTH REVENUES NON ST SUPPORTED DEBT (64990GF56)	A	Interest			Sold	05/31/23	K		
116. KING CNTY WASH SCH DIST (495206QF4)	B	Interest	L	T	Buy	06/20/23	L		

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
117. AMARILLO TEX INDPT SCH DIST (023051WB7)	B	Interest	L	T	Buy	06/21/23	L		
118. MINNESOTA PUB FACS AUTH ST REVOLVING FD (604115DW2)	A	Interest	K	T	Buy	12/19/23	K		
119. GREENE CNTY OHIO VOCATIONAL SC (39466HAN7)	B	Interest	L	T	Buy	06/20/23	L		
120. NY CITY NY TRANSITIONAL FIN AUTH (64972H6Z0)	B	Interest	K	T					
121. TOOELE CNTY UTAH SALES TAX REV (890345BF7)		None	K	T	Buy	10/12/23	K		
122. LONG ISLD NY PWR AUTH ELEC SYS REV (542691EL0)	B	Interest			Sold	06/06/23	K	B	
123. NASSAU CNTY NY INTERIM FIN AUTH REF-SALES TAX SEC-SER A (631663QW4)	A	Interest			Sold	05/31/23	K		
124. UNITED STATES TREASURY NOTES (X)	B	Interest	J	T					
125. ACCOUNT #6 (H)									
126. MORGAN STANLEY BANK (cash)	A	Interest	J	T					
127. SARATOGA SPRINGS NY REF-PUB IMPT (803531TR3)	A	Interest			Redeemed	02/15/23	K		
128. ALBANY NY LTD TAX 4.0% (012429AE6)	A	Interest			Redeemed	06/15/23	J		
129. NY CITY NY TRNSTIONAL FIN AUTH REV (64971WFV7)	A	Interest			Redeemed	08/01/23	K		
130. NY ST REF SER C UNLTD TAX (649791ME7)	B	Interest	K	T					
131. NY ST ENVRNMNTL FACS CORP ST CLEAN WTR & DRINKING (64986AZ61)	A	Interest			Redeemed	06/29/23	K		
132. NY CITY NY TRANSITIONALFIN AUTH BLDG (64972H-7H-9)	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

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133. NY CITY NY TRANSITIONALFIN AUTH BLDG (64972H7J5)	A	Interest			Sold	05/23/23	K		
134. NY ST DORM AUTH REVS NON ST (649907Z47)	A	Interest			Sold	05/22/23	K		
135. UTIL DEBT SECURITIZATION AUTH NY (91802RBX6)	A	Interest			Redeemed	06/15/23	K		
136. NEVADA ST (641462RT5)	A	Interest			Buy	11/01/23	L		
137.					Sold	12/06/23	L	A	
138. ELMSFORD NY UN FREE SCH DIST (290011BC8)	B	Interest	K	T					
139. DELAWARE ST (246381SY4)	B	Interest			Buy	10/27/23	K		
140.					Sold	12/04/23	L	A	
141. NY ST URBAN DEV CORP REF PERS INCOME TAX SER A (650035T99)	B	Interest			Sold	05/23/23	K		
142. ONONDAGA CNTY NY (6827457H1)	A	Interest			Sold	05/22/23	K		
143. UTIL DEBT SECURITIZATION AUTH NY (91802RBZ1)	B	Interest	K	T					
144. PORT CHESTER NY REF-PUBLIC IMPT-SER (733760US9)	A	Interest			Sold	05/22/23	K		
145. FRISCO TEX (358776YU0)	C	Interest	L	T	Buy	05/22/23	L		
146. HUDSON YDS INFRASTRUCTURE CORP NY 2ND INDENT (44420RAM2)	B	Interest	K	T					
147. CYPRESS-FAIRBANKS TEX INDPT SCH DIST (232769MS5)		None	L	T	Buy	10/26/23	L		
148. PRINCE GEORGES CNTY MD GENL (741702AG9)	C	Interest			Buy	05/23/23	L		
149.					Sold	10/18/23	L		

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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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150. RYE NECK NY UN FREE SCH DIST SER A (783583GA9)	A	Interest			Sold	05/23/23	K		
151. SILVER CREEK NY CENTRL SCH DIST UNLTD (827589GQ9)	A	Interest			Sold	05/22/23	K		
152. LANCASTER NY CENTRL SCH DIST SER A (514224-PS-7)	A	Interest			Sold	05/22/23	K		
153. NY CITY NY MUNI WTR FIN AUTH WTR & SWR SYS (64972GUU6)	A	Interest			Sold	05/22/23	K		
154. NYACK NY UN FREE SCH DIST UNLTD (670658KE2)	A	Interest			Sold	05/23/23	K		
155. PORT AUTH OF NY & NJ NY REF (73358W-V3-5)	B	Interest			Sold	05/23/23	K		
156. TRIBOROUGH NY BRDG & TUNL AUTH (89602HCV7)	B	Interest			Sold	05/22/23	K	A	
157. DALLAS TX WTRWKS & SWR SYS REV SER C (23542JJU0)	B	Interest			Sold	09/18/23	K		
158. NASSAU CNTY NY INTERIM FIN AUTH REF (631663-QU-8)	A	Interest			Sold	05/22/23	K		
159. LONG ISLD NY PWR AUTH ELEC SYS REV (642691EL0)	B	Interest			Sold	05/22/23	K	B	
160. NY ST DORM AUTH ST PERSNL INCOME TAX (64990FZN7)	A	Interest			Sold	05/22/23	K	B	
161. OREGON ST GENL OBLIG (68609TD70)	A	Interest			Buy	05/23/23	K		
162.					Sold	10/02/23	K		
163. CARROLLTON TEX FMRS BRH INDPT SC (145628N66)		None	K	T	Buy	09/18/23	K		
164. CHAMBERS CNTY (157789MQ8)		None	L	T	Buy	06/13/23	L		
165. TOOELE CNTY UTAH SALES TAX REV (890345BC4)		None	K	T	Buy	10/12/23	K		
166. KING CNTY WASH SCH DIST (495206QF4)	A	Interest	K	T	Buy	06/20/23	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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167. NEW YORK ST (649791ST8)		None	K	T	Buy	10/11/23	K		
168. CARMEL CLAY IND SCH BLDG CORP (143249DC1)	B	Interest			Buy	05/25/23	L		
169.					Sold	10/23/23	L		
170. SIOUX CITY IOWA (829458PV4)	B	Interest	L	T	Buy	05/24/23	L		
171. CLARK CNTY WASH SCH DIST (181234P66)	A	Interest	K	T	Buy	06/13/23	K		
172. WASHINGTON ST (93974D7P7)	A	Interest	L	T	Buy	12/06/23	L		
173. UNITED STATES TREASURY NOTES (X)	C	Interest	L	T					
174. RALEIGH N C COMB ENTERPRISE (751100MY1)	A	Interest			Buy	06/02/23	K		
175.					Sold	10/02/23	K		
176. ACCOUNT #7 (H)									
177. MORGAN STANLEY BANK (cash)	A	Interest	J	T					
178. JPM TAX FREE MMKT INST FUND (VTMXX) (cash eq.) (Y)									
179. NY ST UNLIMITED TAX A (649791HH6)	A	Interest			Redeemed	03/01/23	J		
180. PINE BUSH NY CENTRL SCH DIST (722477LQ7)	A	Interest			Redeemed	05/15/23	K		
181. CLARKSTOWN NY CENTRL SCH DIST (182324UU5)	A	Interest	K	T					
182. NY ST DORM AUTH REVS NON ST (649907Z39)	B	Interest	K	T					
183. NY ST DORM AUTH ST PERSNL INC TAX (64990EYE1)	A	Interest			Sold	12/07/23	K		

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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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184. SOUTH-WESTERN CITY SCH DIST OH FRANKLIN & PICKWAY CNTY (840658NM6)	A	Interest	K	T	Buy	10/11/23	K		
185. PORT AUTH OF NY & NJ NY CONSOL-ONE (73358WRR7)	A	Interest	K	T					
186. UTIL DEBT SECURITIZATION AUTH NY (91802RBZ1)	B	Interest	K	T					
187. HUDSON YDS INFRASTRUCTURE CORP NY 2ND INDENT (44420RAM2)	A	Interest	K	T					
188. CHAMBERS CNTY (157789MM7)		None	K	T	Buy	06/13/23	K		
189. DUTCHESS CNTY NY PUB IMPT SER B (2670397K5)	A	Interest	K	T					
190. CYPRESS-FAIRBANKS TEX INDPT SCH DIST ID (232769MS5)		None	K	T	Buy	10/26/23	K		
191. TYLER TEX JR COLLEGE DIST (902299CN4)		None	K	T	Buy	10/02/23	K		
192. MAMARONECK VLG NY REF LTD (561501PX9)	A	Interest			Sold	05/24/23	J		
193. CLARKSTOWN NY PUB IMPT (1823062Q2)	A	Interest			Sold	05/24/23	K		
194. WESTCHESTER CNTY NY SER A (95736U4U5)	A	Interest			Sold	05/24/23	K		
195. COLUMBIA CNTY NY SER B LTD (197504SU8)	A	Interest			Sold	05/24/23	K		
196. NYACK NY UN FREE SCH DIST (670658KE2)	A	Interest	J	T					
197. NY ST URBAN DEV CORP REV SER A (650036-AC-0)	A	Interest			Sold	05/24/23	K		
198. N TX ST MUNI WTR DIST REGL WSTWTR (662835M95)	A	Interest			Sold	09/20/23	K		
199. TRIBOROUGH NY BRDG & TUNL AUTH (89602REM3)	A	Interest			Sold	05/24/23	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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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
200. HEMPSTEAD TOWN NY LTD (424672G98)	A	Interest			Sold	05/24/23	K		
201. RALEIGH N C COMB ENTERPRISE (751100MX3)	A	Interest	K	T	Buy	06/02/23	K		
202. SAN ANTONIO TEX ELEC & GAS REVRE (79625GBJ1)	A	Interest	K	T	Buy	09/20/23	K		
203. CORPUS CHRISTI TEX INDPT SCH DIST REF PSF-GTD ID (2201477D8)	A	Interest	J	T	Buy	11/16/23	J		
204. OH ST REF-COMMON SCH-SER B UNLTD (6775227Y4)	A	Interest	K	T					
205. NY ST ENVRNMNTL FACS CORP REV (64985HF77)	A	Interest			Sold	05/24/23	K	A	
206. NY CITY NY TRANSITIONAL FIN AUTH REV (64971X-P2-8)	A	Interest			Sold	05/24/23	K	A	
207. CARMEL CLAY IND SCH BLDG CORP (143249DC1)	A	Interest			Buy	05/25/23	K		
208.					Sold	10/23/23	K		
209. CLARK CNTY WASH SCH DIST (181234P66)	A	Interest	K	T	Buy	06/13/23	K		
210. SIOUX CITY IOWA (829458PW2)	A	Interest	K	T	Buy	05/24/23	K		
211. OHIO ST WTR DEV AUTH REV (67765QNR3)		None	K	T	Buy	12/08/23	K		
212. WEST BLOOMFIELD MICH SCH DIST (951452SJ1)	A	Interest			Buy	06/13/23	K		
213.					Sold	10/02/23	K		
214. UNITED STATES TREASURY BILLS (X) (Y)									

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.	05/15/2024

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.

Parenthetical numbers in Part VII are CUSIP numbers.

Name of Person Reporting	Date of Report
Kaplan, Lewis A.	05/15/2024

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. § 13141 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. § 13106)

Committee on Financial Disclosure
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