AO-10T
Rev. 01/2023

# FINANCIAL DISCLOSURE
# PERIODIC TRANSACTION REPORT

*Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 101-111)*

| *1. First Name | *2. Middle Initial | *3. Last Name | 4. Suffix |
|---|---|---|---|
| Lewis | A. | Kaplan | |
| *5. Title | *6. District/Court/Unit | | *7. Circuit |
| United States District Judge | NEW YORK SOUTHERN | | 02 |
| 8. Report Type | 9. Calendar Year | *10. Date Filed | ☐ 11. Check box if amending prior report and enter date of prior submission. |
| Periodic Transaction Report | 2023 | 07/01/2023 | |
| *12. Date of First Transaction on this Report | | *13. Date of Last Transaction on this Report | |
| 05/22/2023 | | 05/31/2023 | |

## TRANSACTIONS

*Any purchase, sale, or exchange that exceeds $1,000 in stocks, bonds, commodities futures, and other securities (Includes those of spouse and dependent children)*

| A. Description of Assets | B. Transaction Type | C. Date of Transaction | D. Date Notified of Transaction | E. Amount of Transaction |
|---|---|---|---|---|
| 1. Utility Debt Securitization 5% (91802RBG3) | Sold | 05/22/2023 | 06/05/2023 | $15,001 - $50,000 |
| 2. New York St Dorm Auth Sales Tax (64990AEY7) | Sold | 05/22/2023 | 06/05/2023 | $15,001 - $50,000 |
| 3. Three Vlg Cent Sch Dist (885766NT8) | Sold | 05/22/2023 | 06/05/2023 | $15,001 - $50,000 |
| 4. Orange County NY (6845753M3) | Sold | 05/22/2023 | 06/05/2023 | $15,001 - $50,000 |
| 5. Scarsdale NY Un Free Sch Dist (806160NJ2) | Sold | 05/22/2023 | 06/05/2023 | $15,001 - $50,000 |
| 6. Eden NY Cent Sch Dist (279466EW2) | Sold | 05/22/2023 | 06/05/2023 | $15,001 - $50,000 |
| 7. Nassau County NY Interim Fin (631663QX2) | Sold | 05/22/2023 | 06/05/2023 | $15,001 - $50,000 |
| 8. New York St Dorm Auth St Pers (64990FYA6) | Sold | 05/22/2023 | 06/05/2023 | $1,000 - $15,000 |
| 9. New York NY City Transitional (64971XZB7) | Sold | 05/22/2023 | 06/05/2023 | $1,000 - $15,000 |
| 10. Frisco Tex ID 09-01-20 (358776YU0) | Buy | 05/22/2023 | 06/05/2023 | $15,001 - $50,000 |
| 11. Mount Vernon NY City School Dist (623606D72) | Sold | 05/23/2023 | 06/05/2023 | $15,001 - $50,000 |
| 12. Cheektowaga NY Genl Oblig (162879P38) | Sold | 05/23/2023 | 06/05/2023 | $15,001 - $50,000 |
| 13. Wayne County NY Genl Oblig (945829EN5) | Sold | 05/23/2023 | 06/05/2023 | $15,001 - $50,000 |
| 14. New York St Environmental Facs (64985HF51) | Sold | 05/23/2023 | 06/05/2023 | $15,001 - $50,000 |
| 15. Oregon St Genl Oblig Ser A (68609TD70) | Buy | 05/23/2023 | 06/05/2023 | $15,001 - $50,000 |

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| First Name Lewis | Middle Initial A. | Last Name Kaplan | Suffix |
|---|---|---|---|

| A. Description of Assets | B. Transaction Type | C. Date of Transaction | D. Date Notified of Transaction | E. Amount of Transaction |
|---|---|---|---|---|
| 16. Sioux City Iowa (829458PW2) | Buy | 05/24/2023 | 06/05/2023 | $15,001 - $50,000 |
| 17. Carmel Clay Ind Sch Bldg (143249DC1) | Buy | 05/25/2023 | 06/05/2023 | $15,001 - $50,000 |
| 18. New York St Envir Facs (64985HF77) | Sold | 05/24/2023 | 06/05/2023 | $15,001 - $50,000 |
| 19. Hempstead Town NY Pub (424672G98) | Sold | 05/24/2023 | 06/05/2023 | $15,001 - $50,000 |
| 20. New York NY City Trans (64971XP28) | Sold | 05/24/2023 | 06/05/2023 | $15,001 - $50,000 |
| 21. Triborough Bridge & Tunl (89602REM3) | Sold | 05/24/2023 | 06/05/2023 | $15,001 - $50,000 |
| 22. New York St Urban Dev (650036AC0) | Sold | 05/24/2023 | 06/05/2023 | $15,001 - $50,000 |
| 23. Westchester Cnty NY (95736U4U5) | Sold | 05/24/2023 | 06/05/2023 | $15,001 - $50,000 |
| 24. Columbia County NY Pub (197504SU8) | Sold | 05/24/2023 | 06/05/2023 | $15,001 - $50,000 |
| 25. Clarkstown NY Pub (1823062Q2) | Sold | 05/24/2023 | 06/05/2023 | $15,001 - $50,000 |
| 26. Mamaroneck Vlg NY Pub (561501PX9) | Sold | 05/24/2023 | 06/05/2023 | $1,000 - $15,000 |
| 27. Sioux City Iowa (829458PW2) | Buy | 05/24/2023 | 06/05/2023 | $15,001 - $50,000 |
| 28. Carmel Clay Ind Sch Bldg (143249DC1) | Buy | 05/25/2023 | 06/05/2023 | $15,001 - $50,000 |
| 29. Haverstraw Town NY (419583AL3) | Sold | 05/31/2023 | 06/05/2023 | $15,001 - $50,000 |
| 30. Orchard Park NY Cent (685644TP1) | Sold | 05/31/2023 | 06/05/2023 | $15,001 - $50,000 |
| 31. Hudson Yds Infrastr Corp (44420RAH3) | Sold | 05/31/2023 | 06/05/2023 | $15,001 - $50,000 |
| 32. New York St Dorm Auth (64990GF56) | Sold | 05/31/2023 | 06/05/2023 | $15,001 - $50,000 |
| 33. Nassau County NY Inter (631663QW4) | Sold | 05/31/2023 | 06/05/2023 | $15,001 - $50,000 |
| 34. Utility Debt Secure Auth (91802RCK3) | Sold | 05/31/2023 | 06/05/2023 | $15,001 - $50,000 |
| 35. West Islip NY Un Free (953429LB1) | Sold | 05/31/2023 | 06/05/2023 | $15,001 - $50,000 |
| 36. Southampton NY Un Free (841098DS2) | Sold | 05/31/2023 | 06/05/2023 | $15,001 - $50,000 |
| 37. Long Island Pwr Auth (642691EL0) | Sold | 05/22/2023 | 06/05/2023 | $15,001 - $50,000 |
| 38. Nassau County NY Inter (631663QU8) | Sold | 05/22/2023 | 06/05/2023 | $15,001 - $50,000 |
| 39. New York St Dorm Auth (64990FZN7) | Sold | 05/22/2023 | 06/05/2023 | $15,001 - $50,000 |
| 40. Triborough Bridge & Tunl (89602HCV7) | Sold | 05/22/2023 | 06/05/2023 | $15,001 - $50,000 |

| First Name Lewis | Middle Initial A. | Last Name Kaplan | Suffix |
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|---|---|---|---|---|
| 41. Lancaster NY Cent Sch (514224PS7) | Sold | 05/22/2023 | 06/05/2023 | $15,001 - $50,000 |
| 42. Onondaga Cnty NY Gen (6827457H1) | Sold | 05/22/2023 | 06/05/2023 | $15,001 - $50,000 |
| 43. Port Chester NY Genl (733760US9) | Sold | 05/22/2023 | 06/05/2023 | $15,001 - $50,000 |
| 44. New York St Dorm Auth (649907Z47) | Sold | 05/22/2023 | 06/05/2023 | $15,001 - $50,000 |
| 45. Silver Creek NY Cent (827589GQ9) | Sold | 05/22/2023 | 06/05/2023 | $15,001 - $50,000 |
| 46. New York NY City Mun (64972GUU6) | Sold | 05/22/2023 | 06/05/2023 | $15,001 - $50,000 |
| 47. Frisco Tex ID 9-1-2020 (358776YU0) | Buy | 05/22/2023 | 06/05/2023 | $50,001 - $100,000 |
| 48. NY St Urban Dev Corp (650035T99) | Sold | 05/23/2023 | 06/05/2023 | $15,001 - $50,000 |
| 49. Rye Neck NY Un Free (783583GA9) | Sold | 05/23/2023 | 06/05/2023 | $15,001 - $50,000 |
| 50. Nyack NY Un Free Sch (670658KE2) | Sold | 05/23/2023 | 06/05/2023 | $15,001 - $50,000 |
| 51. Port Auth NY & NJ (73358WV35) | Sold | 05/23/2023 | 06/05/2023 | $15,001 - $50,000 |
| 52. New York NY City Trans (64972H7J5) | Sold | 05/23/2023 | 06/05/2023 | $15,001 - $50,000 |
| 53. Prince Georges Cnty MD (741702AG9) | Buy | 05/23/2023 | 06/05/2023 | $50,001 - $100,000 |
| 54. Oregon St Genl Oblig (68609TD70) | Buy | 05/23/2023 | 06/05/2023 | $15,001 - $50,000 |
| 55. Sioux City Iowa (829458PV4) | Buy | 05/24/2023 | 06/05/2023 | $50,001 - $100,000 |
| 56. Carmel Clay Ind Sch (143249DC1) | Buy | 05/25/2023 | 06/05/2023 | $50,001 - $100,000 |
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**TRANSACTIONS** *Any purchase, sale, or exchange that exceeds $1,000 in stocks, bonds, commodities futures, and other securities (Includes those of spouse and dependent children).*

| First Name Lewis | Middle Initial A. | Last Name Kaplan | Suffix |
|---|---|---|---|

| A. Description of Assets | B. Transaction Type | C. Date of Transaction | D. Date Notified of Transaction | E. Amount of Transaction |
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| First Name Lewis | Middle Initial A. | Last name Kaplan | Suffix |
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## ADDITIONAL INFORMATION OR EXPLANATIONS

Mirrored transactions in separate accounts are reported separately.

*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.*

*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)*

**SIGNATURE:*

s/ Lewis A. Kaplan

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544