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 | 12/31/2023 | |
| ***12. Date of First Transaction on this Report** | | ***13. Date of Last Transaction on this Report** | |
| 11/01/2023 | | 11/21/2023 | |

## 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. CYPRESS FAIRBANKS (232769MS5) | Buy | 11/21/2023 | 12/05/2023 | $50,001 - $100,000 |
| 2. NEVADA ST (641462RT5) | Buy | 11/01/2023 | 12/05/2023 | $50,001 - $100,000 |
| 3. CYPRESS FAIRBANKS (232769MS5) | Buy | 11/21/2023 | 12/05/2023 | $15,001 - $50,000 |
| 4. CYPRESS FAIRBANKS (232769MS5) | Buy | 11/21/2023 | 12/05/2023 | $1,000 - $15,000 |
| 5. | | | | |
| 6. | | | | |
| 7. | | | | |
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| 14. | | | | |
| 15. | | | | |

**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 |
|---|---|---|---|---|
| 16. | | | | |
| 17. | | | | |
| 18. | | | | |
| 19. | | | | |
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| 40. | | | | |

**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 |
|---|---|---|---|---|
| 41. | | | | - |
| 42. | | | | - |
| 43. | | | | - |
| 44. | | | | - |
| 45. | | | | - |
| 46. | | | | - |
| 47. | | | | - |
| 48. | | | | - |
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| 50. | | | | - |
| 51. | | | | - |
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| 53. | | | | - |
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| 57. | | | | - |
| 58. | | | | - |
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| 60. | | | | - |
| 61. | | | | - |
| 62. | | | | - |
| 63. | | | | - |
| 64. | | | | - |
| 65. | | | | - |

**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 |
|---|---|---|---|---|---|
| 66. | | | | | |
| 67. | | | | | |
| 68. | | | | | |
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| 89. | | | | | |
| 90. | | | | | |

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

## ADDITIONAL INFORMATION OR EXPLANATIONS

*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
Suite G-330
One Columbus Circle, N.E.
Washington, D.C. 20544