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	11/16/2023
*12. Date of First Transaction on this Report		*13. Date of Last Transaction on this Report	
10/02/2023		10/27/2023	

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. MARYLAND ST (574193VF2)	Buy	10/02/2023	11/05/2023	$15,001 - $50,000
2. SOUTH-WESTERN CITY SCH DIST OHFR (840658NM6)	Buy	10/11/2023	11/05/2023	$15,001 - $50,000
3. CARMEL CLAY IND SCH BLDG CORP (143249DC1)	Sold	10/23/2023	11/05/2023	$15,001 - $50,000
4. MINNESOTA PUB FACS AUTH ST (604115CG8)	Buy	10/23/2023	11/05/2023	$15,001 - $50,000
5. TOOELE CNTY UTAH SALES TAX REV (890345BF7)	Buy	10/12/2023	11/05/2023	$15,001 - $50,000
6. TOOELE CNTY UTAH SALES TAX REV (890345BC4)	Buy	10/12/2023	11/05/2023	$15,001 - $50,000
7. PRINCE GEORGES CNTY MD GENL OB (741702AG9)	Sold	10/18/2023	11/05/2023	$50,001 - $100,000
8. CARMEL CLAY IND SCH BLDG CORP (143249DC1)	Sold	10/23/2023	11/05/2023	$50,001 - $100,000
9. CARMEL CLAY IND SCH BLDG CORP (143249DC1)	Sold	10/23/2023	11/05/2023	$15,001 - $50,000
10. SOUTH-WESTERN CITY SCH DIST OHFR (840658NM6)	Buy	10/11/2023	11/05/2023	$15,001 - $50,000
11. DELAWARE ST (246381SY4)	Buy	10/27/2023	11/05/2023	$50,001 - $100,000
12. TYLER TEX JR COLLEGE DIST ID 09 (902299CN4)	Buy	10/02/2023	11/05/2023	$15,001 - $50,000
13. WEST BLOOMFIELD MICH SCH DIST (951452SJ1)	Sold	10/02/2023	11/05/2023	$15,001 - $50,000
14. NEW YORK ST (649791ST8)	Buy	10/11/2023	11/05/2023	$15,001 - $50,000
15. OREGON ST GENL OBLIG SER-A (68609TD70)	Sold	10/02/2023	11/05/2023	$15,001 - $50,000

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	Middle Initial	Last Name	Suffix
Lewis	A.	Kaplan	

A. Description of Assets	B. Transaction Type	C. Date of Transaction	D. Date Notified of Transaction	E. Amount of Transaction
16. RALEIGH NC (751100MY1)	Sold	10/02/2023	11/05/2023	$15,001 - $50,000
17. NEW YORK ST (649791TJ9)	Buy	10/11/2023	11/05/2023	$15,001 - $50,000
18. WEST BLOOMFIELD MI (951452SJ1)	Sold	10/02/2023	11/05/2023	$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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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

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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One Columbus Circle, N.E.
Washington, D.C. 20544