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	01/12/2024	
*12. Date of First Transaction on this Report		*13. Date of Last Transaction on this Report	
12/01/2023		12/19/2023	

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. Minnesota Pub Facs Auth St Revolving Fd Rev-A (604115CG8)	Sold	12/01/2023	01/05/2024	$15,001 - $50,000
2. Ohio St Water Dev Auth (67766WM25)	Buy	12/12/2023	01/05/2024	$15,001 - $50,000
3. New York NY City Mun Fin Auth (64972GUK8)	Redeemed	12/15/2023	01/05/2024	$15,001 - $50,000
4. Minnesota Pub Facs Auth St (604115DW2)	Buy	12/19/2023	01/05/2024	$15,001 - $50,000
5. Delaware St Bond (246381SY4)	Sold	12/04/2023	01/05/2024	$50,001 - $100,000
6. Nevada St Bond (641462RT5)	Sold	12/06/2023	01/05/2024	$50,001 - $100,000
7. Washington St Bond (93974D7P7)	Buy	12/06/2023	01/05/2024	$50,001 - $100,000
8. NY St Dorm Auth (64990EYE1)	Sold	12/07/2023	01/05/2024	$15,001 - $50,000
9. Ohio St Water Dev Auth Rev (67765QNR3)	Buy	12/08/2023	01/05/2024	$15,001 - $50,000
10. Nassau County NY Sewer & Storm Water (63166QBY5)	Sold	12/13/2023	01/05/2024	$15,001 - $50,000
11. Ohio St Bond (677523HC9)	Buy	12/13/2023	01/05/2024	$15,001 - $50,000
12. New York & New Jersey Port Au (73358WQQ0)	Redeemed	12/14/2023	01/05/2024	$15,001 - $50,000
13. Minnesota Pub Facs Auth St (604115DW2)	Buy	12/19/2023	01/05/2024	$15,001 - $50,000
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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	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
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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	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
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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
Suite G-330
One Columbus Circle, N.E.
Washington, D.C. 20544