



Filing ID #10009813

FINANCIAL DISCLOSURE REPORT

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FILER INFORMATION

Name: Anna Kaplan
Status: Congressional Candidate
State/District: NY03

FILING INFORMATION

Filing Type: Candidate Report
Filing Year: 2016
Filing Date: 05/6/2016
Period Covered: 01/01/2015– 04/15/2016

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Activision Blizzard, Inc (ATVI)	JT	\$15,001 - \$50,000	Dividends	\$1 - \$200	\$201 - \$1,000
Alexion Pharmaceuticals, Inc. (ALXN)	JT	\$15,001 - \$50,000	None		
Alger Spectra Fund	DC	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000	\$1,001 - \$2,500
Alibaba Group Holding Limited American Depositary Shares each representing one Ordinary share (BABA)	JT	\$15,001 - \$50,000	None		
Alphabet Inc. - Class C Capital Stock (GOOG)	JT	\$15,001 - \$50,000	None		
American Growth Fund		\$50,001 - \$100,000	Capital Gains, Dividends	\$1 - \$200	\$5,001 - \$15,000
Anheuser-Busch Inbev SA Sponsored ADR (BUD)	JT	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Apache Corporation (APA)	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
AQR Multi-Strategy Alternative Fund	JT	\$50,001 - \$100,000	Capital Gains	\$1,001 - \$2,500	\$2,501 - \$5,000
ASCAP Royalties	SP	\$50,001 - \$100,000	Royalty Distributions	\$2,501 - \$5,000	\$5,001 - \$15,000
AXA Flexible Premium Variable Life Insurance ⇒ AXA Incentive Life Plus		\$50,001 - \$100,000	None		
AXA Flexible Premium Variable Life Insurance ⇒ AXA International Value Managed Volatility		\$1,001 - \$15,000	Capital Gains	\$1 - \$200	\$1 - \$200
AXA Flexible Premium Variable Life Insurance ⇒ AXA Large Cap Growth Managed Volatility		\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500	\$1,001 - \$2,500
AXA Flexible Premium Variable Life Insurance ⇒ AXA Large Cap Value Managed Volatility		\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500	\$201 - \$1,000
AXA Flexible Premium Variable Life Insurance ⇒ EQ/BlackRock Basic Value Equity		\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000	\$201 - \$1,000
AXA Flexible Premium Variable Life Insurance ⇒ EQ/Equity 500 Index		\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500	\$201 - \$1,000
Bank of America Checking Account	JT	\$15,001 - \$50,000	Interest	\$1 - \$200	\$1 - \$200
Bank of America Checking Account (Parent)	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	\$1 - \$200
Bank of America Money Market (Joint #2)	JT	\$250,001 - \$500,000	Interest	\$1 - \$200	\$201 - \$1,000
Bank of America Money Market (Joint)	JT	\$250,001 - \$500,000	Interest	\$1 - \$200	\$1,001 - \$2,500
Bank of America Money Market Savings (U.S. Trust)	JT	\$250,001 - \$500,000	Interest	\$1 - \$200	\$1 - \$200
Bank of America Savings Account (Parent)	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	\$1 - \$200
Berkshire Hathaway Inc. New (BRK.B)	JT	\$15,001 - \$50,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Blackrock S&P 500 Index		\$50,001 - \$100,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Broadcom Corporation - Class A (BRCM)	SP	None	Capital Gains	None	\$201 - \$1,000
Calamos Growth		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	\$1,001 - \$2,500
Calamos Growth & Income		\$50,001 - \$100,000	Capital Gains, Dividends	\$201 - \$1,000	\$2,501 - \$5,000
Chevron Corporation (CVX)	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$201 - \$1,000
Chitwood Harley Harnes LLP, 15% Interest LOCATION: Atlanta, GA, US DESCRIPTION: Law Firm in which spouse is an equity Partner.	SP	Undetermined	Ord. Business Income	\$100,001 - \$1,000,000	None
Citigroup, Inc. (C)	JT	\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1 - \$200
Columbia Acorn Fund		\$50,001 - \$100,000	Capital Gains	None	\$15,001 - \$50,000
Columbia AMT-Free Intermediate Muni Bond	JT	\$50,001 - \$100,000	Capital Gains, Interest	\$1,001 - \$2,500	\$2,501 - \$5,000
Columbia Emerging Markets	JT	\$15,001 - \$50,000	None		
Columbia Greater China	JT	\$50,001 - \$100,000	Dividends	\$1 - \$200	\$201 - \$1,000
Core Laboratories N.V. (CLB)	JT	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Danaher Corporation (DHR)	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$201 - \$1,000
Darren Kaplan Law Firm, P.C., 100% Interest LOCATION: New York, NY, US DESCRIPTION: Law Firm formed as professional corporation and filing as S Corp.	SP	Undetermined	Income from S Corp.	\$100,001 - \$1,000,000	None

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Doubleline Total Return Bond	JT	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500	\$2,501 - \$5,000
Dreyfus Small Cap Stock Index Fund	DC	\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
Facebook, Inc. - Class A (FB)	JT	\$50,001 - \$100,000	None		
Fanuc Corporation Unsponsored ADR (FANUY)	JT	\$15,001 - \$50,000	None		
Fidelity Advisor Floating Rate High Income	JT	\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$201 - \$1,000
Gilead Sciences, Inc. (GILD)	JT	\$15,001 - \$50,000	Dividends	\$1 - \$200	\$201 - \$1,000
Goldman Sachs Group, Inc. (GS)	JT	\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1 - \$200
Hanesbrands Inc. (HBI)	JT	\$15,001 - \$50,000	Dividends	\$1 - \$200	\$201 - \$1,000
Hospira Inc (HSP)	SP	None	Capital Gains	None	\$201 - \$1,000
Hotchkis & Wiley Mid Cap Value		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	\$1,001 - \$2,500
ICICI Bank Limited (IBN)	JT	\$15,001 - \$50,000	Dividends	\$1 - \$200	\$201 - \$1,000
JD.com, Inc. - American Depositary Shares (JD)	JT	\$15,001 - \$50,000	None		
JPMorgan Multi-Cap Market Neutral		\$15,001 - \$50,000	None		
Loan to Anna Kaplan for Congress	JT	\$50,001 - \$100,000	None		
Mastercard Incorporated (MA)	JT	\$15,001 - \$50,000	Dividends	\$1 - \$200	\$201 - \$1,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
MFS Research Intl.		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$201 - \$1,000
MFS Value		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	\$2,501 - \$5,000
ML Bank Deposit Program	DC	\$1,001 - \$15,000	Interest	\$1 - \$200	\$1 - \$200
Mobileye N.V. Ordinary Shares (MBLY)	JT	\$15,001 - \$50,000	None		
New York 529 Advisor Guided (DC1) LOCATION: NY	SP	\$1,001 - \$15,000	Tax-Deferred		
New York 529 Advisor Guided (DC2) LOCATION: NY	SP	\$15,001 - \$50,000	Tax-Deferred		
New York State Common Retirement Fund		Undetermined	None		
Next Gen College Savings Plan (DC1) LOCATION: ME		\$50,001 - \$100,000	Tax-Deferred		
Next Gen College Savings Plan (DC2) LOCATION: ME		\$50,001 - \$100,000	Tax-Deferred		
NXP Semiconductors N.V. (NXPI)	JT	\$15,001 - \$50,000	None		
Oppenheimer Int'l Growth	JT	\$15,001 - \$50,000	Dividends	\$1 - \$200	\$201 - \$1,000
Pimco Real Return		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1 - \$200
Pimco Total Return		\$100,001 - \$250,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$5,001 - \$15,000
Platinum Money Market Savings	DC	\$15,001 - \$50,000	Interest	\$1 - \$200	\$201 - \$1,000
Prudential Global Real Estate	JT	\$50,001 - \$100,000	Interest, Rent	\$201 - \$1,000	\$201 - \$1,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Regeneron Pharmaceuticals, Inc. (REGN)	JT	\$15,001 - \$50,000	None		
Robeco Boston Partners Long/Short Res	JT	\$50,001 - \$100,000	None		
Roche Holdings AG Basel Ordinary Shares (RHHBF)	JT	\$15,001 - \$50,000	None		
RS Growth Fund	DC	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000	\$201 - \$1,000
SanDisk Corporation (SNDK)	SP	None	Capital Gains	None	\$201 - \$1,000
ServiceNow, Inc. (NOW)	JT	\$15,001 - \$50,000	None		
SM Energy Company (SM)	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Templeton Global Bond Fund Advisor	JT	\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$201 - \$1,000
Tencent Holdings Limited Unsponsored ADR Representing B Shares (TCEHY)	JT	\$15,001 - \$50,000	None		
Tesla Motors, Inc. (TSLA)	SP	None	Capital Gains	None	\$2,501 - \$5,000
Toyota Motor Corp Ltd Ord Ordinary Shares (TOYOF)	JT	None	Capital Gains	None	\$201 - \$1,000
U.S. Trust IRA (AMK) ⇒ AQR Multi-Strategy Alternative		\$1,001 - \$15,000	Tax-Deferred		
U.S. Trust IRA (AMK) ⇒ Bank of America Money Market		\$1,001 - \$15,000	Tax-Deferred		
U.S. Trust IRA (AMK) ⇒ Columbia Emerging Markets		\$1,001 - \$15,000	None		
U.S. Trust IRA (AMK) ⇒ Columbia Greater China		\$1,001 - \$15,000	Tax-Deferred		
U.S. Trust IRA (AMK) ⇒ Doubleline Total Return Bond		\$1,001 - \$15,000	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
U.S. Trust IRA (AMK) ⇒ Goldman Sachs Growth Opportunities		\$1,001 - \$15,000	None		
U.S. Trust IRA (AMK) ⇒ Invesco Int'l Growth Fund		\$1,001 - \$15,000	Tax-Deferred		
U.S. Trust IRA (AMK) ⇒ John Hancock FDS III Disciplined Value Mid Cap		\$1,001 - \$15,000	Tax-Deferred		
U.S. Trust IRA (AMK) ⇒ Oakmark Select Fund		\$1,001 - \$15,000	Tax-Deferred		
U.S. Trust IRA (AMK) ⇒ Prudential Global Real Estate Fund		\$1,001 - \$15,000	Tax-Deferred		
U.S. Trust IRA (AMK) ⇒ Robeco Boston Partners Long/Short Res		\$1,001 - \$15,000	None		
U.S. Trust IRA (AMK) ⇒ Touchstone Sands Cap Select Growth		\$1,001 - \$15,000	None		
U.S. Trust IRA (AMK) ⇒ Undiscovered Managers FDS Behavioral Fund		\$1,001 - \$15,000	Tax-Deferred		
U.S. Trust IRA (DTK) ⇒ AQR Multi-Strategic Alternative	SP	\$1,001 - \$15,000	Tax-Deferred		
U.S. Trust IRA (DTK) ⇒ Bank of America Money Market Savings	SP	\$1,001 - \$15,000	Tax-Deferred		
U.S. Trust IRA (DTK) ⇒ Columbia Emerging Markets	SP	\$1,001 - \$15,000	None		
U.S. Trust IRA (DTK) ⇒ Columbia Greater China	SP	\$1,001 - \$15,000	Tax-Deferred		
U.S. Trust IRA (DTK) ⇒ Columbia Strategic Income	SP	\$1,001 - \$15,000	Tax-Deferred		
U.S. Trust IRA (DTK) ⇒ Doubleline Total Return Bond	SP	\$1,001 - \$15,000	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
U.S. Trust IRA (DTK) ⇒ Invesco Int'l Growth	SP	\$1,001 - \$15,000	Tax-Deferred		
U.S. Trust IRA (DTK) ⇒ iShares Core S&P 500 ETF	SP	\$15,001 - \$50,000	Tax-Deferred		
U.S. Trust IRA (DTK) ⇒ iShares Russell Mid-Cap	SP	\$1,001 - \$15,000	Tax-Deferred		
U.S. Trust IRA (DTK) ⇒ John Hancock FDS III Disciplined Value Mid Cap	SP	\$1,001 - \$15,000	Tax-Deferred		
U.S. Trust IRA (DTK) ⇒ Oakmark Select	SP	\$1,001 - \$15,000	Tax-Deferred		
U.S. Trust IRA (DTK) ⇒ Prudential Global Real Estate	SP	\$1,001 - \$15,000	Tax-Deferred		
U.S. Trust IRA (DTK) ⇒ Robeco Boston Partners Long/Short Res	SP	\$1,001 - \$15,000	None		
U.S. Trust IRA (DTK) ⇒ Undiscovered Managers FDS Behavioral Value	SP	\$1,001 - \$15,000	Tax-Deferred		
Undiscovered Mgrs FDS Behavioral Value	JT	\$50,001 - \$100,000	Dividends	\$1 - \$200	\$201 - \$1,000
Valeant Pharmaceuticals International, Inc. (VRX)	JT	\$1,001 - \$15,000	None		
Versailles Condominium Unit	SP	\$250,001 - \$500,000	None		
LOCATION: Newport Beach, CA, US					
W. Dempster		\$250,001 - \$500,000	Rent	None	\$5,001 - \$15,000
LOCATION: Northfield, IL, US					
Walt Disney Company (DIS)	JT	\$15,001 - \$50,000	Dividends	\$1 - \$200	\$201 - \$1,000
Wealth Management Money Market Savings (DC2)		\$15,001 - \$50,000	Interest	\$1 - \$200	\$1 - \$200
Wealth Management Money Market Savings (DC1)		\$15,001 - \$50,000	Interest	\$1 - \$200	\$1 - \$200

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Wells Fargo Special Small Cap Value		\$50,001 - \$100,000	Capital Gains	\$201 - \$1,000	\$201 - \$1,000
Wynn Macau Limited Ordinary Shares (WYNMF)	JT	\$1,001 - \$15,000	None		

* Asset class details available at the bottom of this form.

SCHEDULE C: EARNED INCOME

Source	Type	Amount Current Year to Filing	Amount Preceding Year
Town of North Hempstead	Councilwoman salary	\$45,221	\$45,221
Chitwood Harley Harnes LLP	Spouse law partnership income	N/A	N/A
Darren Kaplan Law Firm, P.C.	Spouse law firm S. Corp.	N/A	N/A
Stueve Siegel Hanson LLP	Income to spouse from "of counsel" relationship with law firm	N/A	N/A

SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
SP	Bank of America	February 2013	Mortgage on condominium for parent	\$100,001 - \$250,000
JT	American Express	January 2015	Purchases and charitable contributions	\$15,001 - \$50,000

SCHEDULE E: POSITIONS

Position	Name of Organization
Councilwoman	Town of North Hempstead
Trustee	Silverstein Hebrew Accademy

SCHEDULE F: AGREEMENTS

Date	Parties To	Terms of Agreement
October 2010	Anna Kaplan and the State of New York	Continued participation in New York State & Local Retirement System

SCHEDULE J: COMPENSATION IN EXCESS OF \$5,000 PAID BY ONE SOURCE

None disclosed.

SCHEDULE A ASSET CLASS DETAILS

- AXA Flexible Premium Variable Life Insurance
- U.S. Trust IRA (AMK)
- U.S. Trust IRA (DTK) (Owner: SP)

EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

Trusts: Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?

☐ Yes ☒ No

Exemption: Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?

☐ Yes ☒ No

CERTIFICATION AND SIGNATURE

☒ I CERTIFY that the statements I have made on the attached Financial Disclosure Report are true, complete, and correct to the best of my knowledge and belief.

Digitally Signed: Anna Kaplan , 05/6/2016