



Filing ID #10054291

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: 2023
Filing Date: 05/22/2023

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Alliance Bernstein Trust Co. ⇒ AB Large Cap Growth A [MF]		\$15,001 - \$50,000	Tax-Deferred		
Alliance Bernstein Trust Co. ⇒ AB Relative Value A [MF]		\$50,001 - \$100,000	Tax-Deferred		
Alliance Bernstein Trust Co. ⇒ AB Small Cap Growth A [MF]		\$15,001 - \$50,000	Tax-Deferred		
Alliance Bernstein Trust Co. ⇒ AB Sustainable Global Thematic A [MF]		\$15,001 - \$50,000	Tax-Deferred		
American Society of Composers, Authors and Publishers [IP]	SP	\$50,001 - \$100,000	Royalties	\$2,501 - \$5,000	\$5,001 - \$15,000
AXA Flexible Premium Variable Life Insurance ⇒ EQ/Equity 500 Index [MF]		\$15,001 - \$50,000	Tax-Deferred		
AXA Flexible Premium Variable Life Insurance ⇒ EQ/INTERNATIONAL VALUE MANAGED VOLATILITY [MF]		\$1,001 - \$15,000	Tax-Deferred		
AXA Flexible Premium Variable Life Insurance ⇒		\$15,001 - \$50,000	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
EQ/Large Cap Growth Managed Volatility [MF]					
AXA Flexible Premium Variable Life Insurance ⇒ EQ/LARGE CAP VALUE MANAGED VOLATILITY [MF]		\$15,001 - \$50,000	Tax-Deferred		
AXA Flexible Premium Variable Life Insurance ⇒ EQ/Value Equity [MF]		\$1,001 - \$15,000	Tax-Deferred		
Darren T. Kaplan, P.C., 100% Interest [OL] LOCATION: Lake Success, NY, US DESCRIPTION: Income from legal fees	SP	\$15,001 - \$50,000	Income from Legal Fees	None	\$100,001 - \$1,000,000
Greenpoint Diamonds LLC [OL] LOCATION: Great Neck, NY, US DESCRIPTION: Startup company selling jewelry via Internet		None	None		
Interest income from Internal Revenue Service [GS]	JT	None	Interest	None	\$201 - \$1,000
Kaplan Gore LLP, 31% Interest [OL] LOCATION: Atlanta, GA, US DESCRIPTION: Income from Law Firm	SP	\$1,000,001 - \$5,000,000	Income from Legal Fees	\$100,001 - \$1,000,000	\$100,001 - \$1,000,000
Personal Checking [BA]	JT	\$1,001 - \$15,000	Interest	\$1 - \$200	\$1 - \$200
VANGUARD 500 INDEX ADMIRAL CL [MF]	JT	\$250,001 - \$500,000	Dividends	\$1,001 - \$2,500	None
VANGUARD BAILLIE GIFFORD GLOBAL POSITIVE IMPACT STOCK INVESTOR CL [MF]	JT	\$15,001 - \$50,000	Dividends	\$1 - \$200	None
VANGUARD DIVIDEND GROWTH INVESTOR CL [MF]	JT	\$15,001 - \$50,000	Dividends	\$1 - \$200	None
Vanguard Federal Money Market Fund [BA]	JT	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	\$201 - \$1,000
VANGUARD GNMA INVESTOR CL [MF]	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	None
VANGUARD INTERMEDIATE TERM BOND INDEX ADMIRAL CL [MF]	JT	\$50,001 - \$100,000	Dividends	\$201 - \$1,000	None

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
VANGUARD LONG TERM TREASURY INDEX ADMIRAL CL [MF]	JT	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	None
VANGUARD STRATEGIC SMALL CAP EQUITY INVESTOR CL [MF]	JT	\$1,001 - \$15,000	Dividends	None	None
VANGUARD TARGET RETIREMENT 2030 INVESTOR CL [MF]		\$50,001 - \$100,000	Tax-Deferred		
VANGUARD TARGET RETIREMENT 2035 INVESTOR CL [MF]	SP	\$100,001 - \$250,000	Tax-Deferred		
Wealth Management MMS Money Market [BA]	JT	\$250,001 - \$500,000	Interest	\$1 - \$200	\$201 - \$1,000

* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

SCHEDULE C: EARNED INCOME

Source	Type	Amount Current Year to Filing	Amount Preceding Year
State of New York	Salary--New York State Senator	N/A	\$106,438.00

SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
SP	GM Financial Leasing	March 2023	Lease on personal vehicle	\$15,001 - \$50,000

SCHEDULE E: POSITIONS

Position	Name of Organization
Member	Greenpoint Diamonds LLC

SCHEDULE F: AGREEMENTS

Date	Parties To	Terms of Agreement
January 2012	New York State, current and former state and municipal employees	New York State Common Retirement Plan
January 2012	New York State, current and former state and municipal employees	New York State Health Insurance Program
January 2012	Town of North Hempstead, current and former town employees	Dental PPO Insurance
January 2019	New York State Dept. of Civil Service, current and former state employees	Retiree Life Insurance

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

None disclosed.

SCHEDULE A ASSET CLASS DETAILS

- o Alliance Bernstein Trust Co.
- o AXA Flexible Premium Variable Life Insurance

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 , 05/22/2023