

# FORM A

## Federal Reserve Bank of Dallas

### CONFIDENTIAL FINANCIAL DISCLOSURE REPORT

<b>Reporting Status</b> <small>(Check Appropriate Box)</small>	<input type="checkbox"/> Incumbent <input type="checkbox"/> New Filer <input type="checkbox"/> Termination Filer	Calendar Year Covered By Report	Date of Employment	Termination Date (if applicable)	<p><b>Reporting Period</b></p> <p><b>Incumbents</b> The reporting period is the preceding calendar year except Part II of Schedule C and Schedule D where you must also include the filing year up to the date you file.</p> <p><b>Termination Filers:</b> The reporting period begins at the end of the period covered by your previous filing and ends at the date of termination.</p> <p><b>New Filers:</b></p> <p><b>Schedule A</b> – The reporting period is the preceding calendar year and the current calendar year up to the date of filing.</p> <p><b>Schedule B</b> – Not applicable.</p> <p><b>Schedule C, Part I (Liabilities)</b> – The reporting period is the preceding calendar year and the current calendar year up to any date you choose that is within 31 days of the date filing.</p> <p><b>Schedule C, Part II (Agreement or Arrangement)</b> – Show any agreement or arrangement as of the date of filing.</p> <p><b>Schedule D</b> – The reporting period is the preceding two calendar years and the current calendar year up to the date of filing.</p>
		1/1/2019-12/31/2019	9/8/2015		
Last Name		First Name and Middle Initial			
KAPLAN		ROBERT S.			
Position				Telephone No. <i>(Include Area Code)</i>	
President and Chief Executive Officer					
Certification	Signature of Reporting Individual			Date	
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	[REDACTED]			[REDACTED]	
Ethics Officer's Review	Signature of Ethics Officer		Date		
I CERTIFY that I have reviewed the information contained in this report.	[REDACTED]		[REDACTED]		
Comments of Ethics Officer <i>(If additional space is required, use the reverse side of this sheet)</i>					

Check box if comments are continued on the reverse side

Assets and Income  Block A	Value of Assets At close of reporting period  Block B	Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.  Block C
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Identify each asset held for the production of income, which had a fair market value exceeding \$1,000 at the close of the reporting period.  See the instructions for special rule for reporting an interest in a depository institution and other entities regardless of value.  Identify each asset or source of income, which generated over \$200 in income during the reporting period.  <b>None Y</b>	O W N E R	Value of Assets						Type							Amount					Date  (Mo., Day, Yr.)  Only if Honoraria		
		None (or less than \$1,001)	\$1,001 - \$50,000	\$50,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000	Dividends	Rent and Royalties	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Trust	Other  (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$ 1,001 - \$25,000	\$25,001 - \$150,000		\$150,001 - \$500,000	Over \$500,000
		Examples:	Central Airlines Common	S	X				X							Law Partnership Income			X			
	Doe Jones & Smith, Hometown, USA	E									X						X					
	Kempstone Equity Fund	E		X							X						X					
1	Apple	E				X	X														X	
2	Alibaba	E				X									X							
3	Amazon	E				X									X							
4	Boeing	E				X	X													X		
5	Chevron	E				X	X														X	
6	Delta Airlines	E				X	X														X	
7	Enterprise Products, L.P.	E				X	X													X		
8	Facebook	E				X									X							
9	General Electric	E				X	X										X					
10	Google	E				X									X							
11	Kraft Heinz	E				X	X										X					
12	Magellan L.P.	E				X	X													X		
13	Occidental Petroleum	E				X	X													X		
14	Oracle	E				X									X							
15	S&P Index Futures	E				X									X							
16	Transdigm Group	E				X	X														X	
17	Valero Energy	E				X	X														X	



## Part I: Transactions

None

Report any purchase, sale or exchange by you, your spouse or dependent child during the reporting period of any real estate, stocks, bonds, commodity futures and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not report a transaction

involving real estate used solely as your personal residence (unless rented out), or a transaction solely between you, your spouse or dependent child. Check the "Required divestiture" block to indicate sales made pursuant to a divestiture required by the Bank.

Identification of Assets		O W N E R	Transaction Type (x)			Date (Mo., Day, Yr.)	Amount of Transaction (X)						Required divestiture
			Purchase	Sale	Exchange		\$1,000 - \$50,000	\$50,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000		
<b>Example:</b>	Central Airlines Common	<b>S</b>	x			2/1/93	x						
1	Apple	<b>E</b>	x	x		Multiple						x	
2	Alibaba	<b>E</b>	x	x		Multiple						x	
3	Amazon	<b>E</b>		x		Multiple						x	
4	Blackrock Floating Rate Income Trust	<b>E</b>	x	x		Multiple						x	
5	Chevron	<b>E</b>	x	x		Multiple						x	
6	Delta Airlines	<b>E</b>	x	x		Multiple						x	
7	Enterprise Products, L.P.	<b>E</b>	x	x		Multiple						x	
8	Facebook	<b>E</b>	x	x		Multiple						x	
9	General Electric	<b>E</b>	x	x		Multiple						x	
10	Google	<b>E</b>	x			Multiple						x	
11	Ishares Floating Rate Bond ETF	<b>E</b>	x	x		Multiple						x	
12	Kraft Heinz	<b>E</b>	x	x		Multiple						x	
13	Magellan L.P.	<b>E</b>	x	x		Multiple						x	
14	Occidental Petroleum	<b>E</b>	x	x		Multiple						x	
15	Oracle	<b>E</b>	x			Multiple						x	
16	S & P Index Futures	<b>E</b>	x	x		Multiple						x	
17	Transdigm	<b>E</b>	x	x		Multiple						x	
18	Valero Energy	<b>E</b>	x	x		Multiple						x	
19	Verizon	<b>E</b>	x	x		Multiple						x	
20	Westinghouse Air Brake Technology	<b>E</b>		x		Multiple					x		
21	Royal Blue L.P. (Kansas City Royals Baseball Team)	<b>E</b>	x			Multiple						x	
<b>Alternative Assets: Redemptions/Private Sales</b>													
1	GS Private Equity Fund 2000 Runoff	<b>E</b>		x		Multiple			x				

## Part II: Gifts

To the extent not previously reported in writing, report the source, a brief description, and the value of any gifts, as defined in the instructions, received by you, your spouse or dependent child from one source and totaling \$250 or more. Exclude gifts from relatives, gifts valued at

\$100 or less when aggregating gifts for the total from one source, and gifts received by your spouse or dependent child that were given totally independent of the relationship to you. See the instructions for further exclusions.

None ✓

	Source (Name and Address)	Brief Description	Value
1			
2			
3			
4			

### Part I: Liabilities

None

Report any liability owed during the reporting period to any of the following by you, your spouse or dependent child: a bank, credit union, savings and loan association, savings bank, trust company, bank holding company, thrift holding

company, an affiliate or subsidiary of any of the foregoing, and any entity which, to your knowledge, does or seeks to do business with the Bank. See the instructions for certain exclusions.

Creditor (Name and Address)		Type of Liability	D E B T O R	ID-RSSD	Category of Amount or Value (x)				
					\$0 - \$50,000	\$50,001 - \$150,000	\$150,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000
Example:	First District Bank, Washington, DC	Mortgage on rental property, Delaware	J		X				
1	Mortgage Wells Fargo	Cambridge, MA - Home					X		
2									
3									
4									
5									
6									
7									

To your knowledge, were any of the foregoing extensions of credit made on terms more favorable than offered to a person not employed by the Bank? **Y** Yes **Y** No If so, explain.

### Part II: Agreements or Arrangements

Report any agreement or arrangement for future employment, leave of absence from or continuation of payment by a former employer (including severance payments), or continuing

participation in an employee benefit plan. This part applies only to the person filing the report. See Instructions regarding the reporting of negotiations for any of these arrangements or benefits.

None

Status and Terms of any Agreement or Arrangement		Parties	Date
Example:	Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share calculated on service performed through 11/93 and retained pension benefits (independently managed, fully funded, defined contribution plan)	Doe Jones & Smith, Hometown, USA	7/85
1	None that I am aware of – Other than 401K and IRA		
2			
3			

**Part I: Positions Held Outside the Federal Reserve Bank**

None

Report any position held by you during the reporting period, whether compensated or not. A position includes but is not limited to employee, officer, owner, director, trustee, partner, advisor or consultant of any corporation, firm, partnership or other business enterprise, or any non-profit organization or educational institution. Exclude positions with religious, social, fraternal or political entities, and those solely of an honorary nature. Also report any position held by your spouse, a child, parent or sibling with a bank, credit union, savings and loan association, savings bank, trust company, bank holding company, thrift holding company, primary government securities dealer, an affiliate or subsidiary of any of the foregoing, and any entity which, to your knowledge, does or seeks to do business with the Bank.

	Organization (Name and Address)	Holder	Type of Organization	Position	From (Mo. Yr.)	To (Mo. Yr.)
<b>Examples:</b>	Mo. Bar Assoc., Jefferson, City MO	E	Professional	Director	9/93	Present
	ABC Bank, Hometown, USA	Brother	Bank	Loan Officer	7/85	Present
1	Harvard Medical School		Education	Board of Trustees	1/02	Present
2	Draper Richards Kaplan Foundation		Venture Philanthropy	Co-Chairman	1/10	Present
3	Project ALS		Medical Research	Chairman	1/01	Present
4	Dallas Symphony Orchestra		Civic	Board of Trustees	Fall 2017	Present
5	Commit!! (Education)		Civic	Board of Trustees	Fall 2018	Present
6	Alcuin (Education)		Civic	Board of Trustees	Fall 2018	Present
7						
8						
9						
10						

**Part II: Other Situations**

Describe any other relationship or circumstances that you believe might constitute an actual or apparent conflict of interest or violation of law or Bank policy. Provide all relevant information.

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