

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Thapar, Amul R.	2. Court or Organization U.S. District Court EDKY	3. Date of Report 6/27/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address United States District Court 35 W. Fifth Street Covington, Kentucky 41011		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. National Advisory Council	North American South Asian Bar Association
2.	
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2016	Chase College of Law Northern Kentucky University (Adjunct Professor)	\$10,000.00
2. 2016	University of Virginia Law School	\$4,000.00
3. 2016	Ohio Northern University Pettit College of Law	\$750.00
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2016	Self-employed Real Estate Agent -- commissions on sales and rentals
2.	
3.	
4.	

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☐ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. University of Virginia Law School	1/17/16 to 1/21/16	Charlottesville, VA	Teaching	Travel, meals, hotel
2. Federalist Society Student Symposium	2/26/16 to 2/28/16	Charlottesville, VA	Moderator	Travel, meals, hotel
3. University of Virginia Law School	4/8/16 to 4/10/16	Charlottesville, VA	Moot Court	Travel, meals, hotel
4. Yale Law School Federalist Society	4/14/16 to 4/15/16	New Haven, CT	Speaker	Travel, meals, hotel
5. Ohio Northern University Pettit College of Law	4/21/16 to 4/22/16	Ada, OH	Speaker	Travel, meals, hotel

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6.	Kentucky Bar Association	5/12/16	Louisville, KY	Panelist	Travel
7.	Notre Dame University	9/15/16 to 9/18/16	Notre Dame, IN	Speaker	Travel, meals, hotel
8.	Columbia Law School Federalist Society	10/23/16 to 10/24/16	New York, NY	Speaker	Travel, meals, hotel
9.	University of California Berkeley Federalist Society	11/6/16 to 11/8/16	Berkeley, CA	Speaker/Teaching	Travel, meals, hotel

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V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. (Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)

☒ NONE (No reportable liabilities.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

1. Capital One	A	Interest	K	T					
2. Vanguard Prime Money Market	A	Interest	J	T					
3. TD Bank USA (Ameritrade Money Market)	A	Interest	K	T					
4. Fifth Third Bank (Checking Acct.)	A	Interest	J	T					
5. Paypal Inc. (Money Market)	A	Interest	J	T					
6. Scottrade Cash Account (X)	A	Int./Div.	J	T					
7. Under Armour (UA) Common		None	J	T	Buy (add'l)	8/22/16	J		
8. Nuance Comm. Inc. (NUAN) Common		None	J	T					
9. Google (GOOG) Common		None	J	T					
10. Alphabet Inc. (GOOGL) Common (X)		None	J	T					
11. Dreamworks Animation (DWA) Common		None			Closed	8/24/16	J		
12. Tesla Corp. (TSLA) Common		None	J	T	Buy	9/14/16	J		
13. Kinder Morgan (KMI) Common	A	Dividend	J	T	Buy	8/25/16	J		
14. Nike Inc. (NKE) Common	A	Dividend	J	T	Buy (add'l)	09/28/16	J		
15. Borg Warner (BWA) Common	A	Dividend	J	T					
16. BJ Restaurants, Inc. (BJRI) Common		None	J	T					
17. LinkedIn (LNKD) Common		None			Closed	7/12/16	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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A. Description of Assets (including trust assets) Place "X" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
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18. Polaris Industries (PII) Common	A	Dividend	J	T					
19. Chipotle Mexican Grill Inc. (CMG/B) Common		None	J	T	Buy (add'l)	10/20/16	J		
20. Disney Corp (DIS) Common	A	Dividend	J	T					
21. Activision Blizzard, Inc. (ATVI) Common	A	Dividend	J	T					
22. Whole Foods Market (WFM) common	A	Dividend	J	T					
23. Vail Resorts (MTN) Common	A	Dividend	J	T					
24. Urban Outfitters (URBN) Common		None	J	T					
25. Texas Roudhouse (TXRH) Common	A	Dividend	J	T					
26. Starbucks (SBUX) Common	A	Dividend	J	T					
27. Sierra Wireless (SWIR) Common		None	J	T					
28. Match Group (MTCH) Common		None	J	T	Buy	08/26/16	J		
29. Gilead Sciences (GILD) Common	A	Dividend	J	T	Buy	8/25/16	J		
30. Fannie Mae (FNM) Common (Y)									
31. Facebook (FB) Common		None	J	T	Buy	8/25/16	J		
32. Hasbro Corp. (HAS) Common	A	Dividend	J	T					
33. National Grocers by Vitamin Cottage (NGVC) Common		None	J	T					
34. Apple Inc. (AAPL) Common	A	Dividend	J	T					

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35. Berkshire Hathaway Inc. Del Class B (BRK.B) Common		None	K	T					
36. Costco Wholesale Corp. (COST) Common	A	Dividend	J	T					
37. Exxon Mobil Corp (XOM) Common	A	Dividend	J	T					
38. Flamel Tech Spon ADR (FLML) Common		None	J	T					
39. Markel Corp. (MKL) Common		None	J	T					
40. Buffalo Wild Wings (BWLD) Common		None	J	T					
41. Altria Group Inc. (MO) Common	A	Dividend	J	T					
42. Chesapeake (CHK) (Y)									
43. Federated Investors Inc. (FII) Common	A	Dividend	J	T					
44. Phillip Morris International (PM)	A	Dividend	J	T					
45. Generac Holdings (GNRC) Common		None	J	T					
46. Mastercard (MA) Common	A	Dividend	J	T					
47. McDonalds (MCD) Common	A	Dividend	J	T					
48. National Oilwell Varco, Inc. (NOV) Common	A	Dividend	J	T					
49. The Container Store (TCS) Common (Y)									
50. Diplomat Pharmacy Inc (DPLO) Common		None	J	T					
51. Mylan NV SHS Euro (MYL) Common		None	J	T					

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52. Leucadia National Corp (LUK) Common	A	Dividend	J	T					
53. Trip Advisor (TRIP) Common		None	J	T					
54. Casey's General Store, Inc. (CASY) Common	A	Dividend	J	T					
55. Anheuser-Busch Inbev (BUD) Common	A	Dividend	J	T					
56. Vanguard 500 Index Funds	A	Dividend	J	T					
57. Vanguard Windsor Portfolio	A	Dividend	K	T					
58. Vanguard Value Index Portfolio	A	Dividend	J	T					

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

The Vanguard Windsor and Value funds are part of a 529 plan. We invest monthly in the plans, but the monthly amounts invested are less than the reporting requirement. Also, our McDonalds shares reinvest their dividends in McDonalds stocks, but this is well below the reporting requirements.

My children have Scottrade accounts for their Education IRA. When we sell stocks, the money goes into the account. I list the combined accounts in investments as a cash account. This was erroneously omitted in prior reports.

Google split in 2015. I previously missed that the split created a new company. I now list Alphabet, Inc. (GOOGL) in my report as well. The split was erroneously omitted in 2015.

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IX. 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.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ Amul R. Thapar

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)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544