

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

*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) Amon, Carol B.	2. Court or Organization U.S. District Court, EDNY	3. Date of Report 06/15/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address 225 Cadman Plaza East Room 908S Brooklyn, New York 11201		
IMPORTANT NOTES: <i>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>		

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

☒ NONE *(No reportable positions.)*

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.		
2.		
3.		
4.		
5.		

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

☒ NONE *(No reportable agreements.)*

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
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. 2013	Brooklyn Law School- Teaching	\$1,000.00
2.		
3.		
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. 2013	Self employed attorney - law partnership distribution
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.	Pepperdine University School of Law	03/13 - 03/15/13	Malibu, California	Lecturer	Transportation, lodging and food
2.	Federal Bar Council	05/01/13	New York, NY	Law Day dinner	Food
3.	New York Intellectual Property Law Association (NYIPLA)	03/22/13	New York, NY	Judges Dinner	Transportation and food
4.	NYU School of Law	05/02/13	New York, NY	Lecture and Dinner	Food
5.	NYS Bar Association	05/05/13	Saratoga Springs, NY	Award Recipient	Lodging and food
6.	NYCDL	09/20/13	Ryebrook, NY	Biennial Retreat	Lodging and food

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7.	Fordham-Stein	11/20/13	New York, NY	Dinner	Food
8.	NYCLA	12/17/13	New York, NY	Dinner	Food

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1. Passumpic Bank

Mortgage of rental property - Newport, Vermont (Part VII, Line 18)

M

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. IRA Accts Citibank, Bklyn, NY FidelityAd.DynamicCapAppFud	B	Dividend	K	T					
2. Law Partnership, Cap Acct.		None	M	T					
3. Thomas G. Amon Pension Plan	A	Interest	J	T					
4. Thomas G. Amon PrfShrPlan	A	Interest	J	T					
5. Citibank N.A. , Money Market	B	Interest	M	T					
6. FidelityContraFund II	A	Dividend	J	T					
7. Fidelity Independence Fund	A	Dividend	J	T					
8. Aim /Dynamics FD Class B (Name change Invesco/Aim)	A	Dividend	J	T					
9. Fidelity Ad. Equity Growth	A	Dividend	K	T					
10. Fidelity Ad Tech Fund	A	Dividend	J	T					
11. Legg Mason Partners Financial Services Fund B	A	Dividend	J	T					
12. Legg Mason Partners Large CapValue Fund B	A	Dividend	J	T					
13. MFS Moderate Allocation	B	Dividend	M	T					
14. Chase Select Checking	A	Interest	J	T					
15. Encore Networks, Inc. (Se VIII)		None	M	T					
16. Rental Property Newport, VT (See VIII)	D	Rent	M	R					
17. Equitable Variable Life Policy	B	Interest	J	T					

1. Income Gain Codes:
(See Columns B1 and D4)

2. Value Codes
(See Columns C1 and D3)

3. Value Method Codes
(See Column C2)

A = \$1,000 or less
F = \$50,001 - \$100,000

J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000

Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000

S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000

M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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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)
18. Rental Property Newport, VT (See VIII)	D	Rent	M	R					
19. Aim Technology FD	A	Dividend	J	T					
20. Sonic Moutain, Inc.		None	N	U					
21. Citibank CD	A	Interest	J	T					
22. Johnson & Johnson Stock	A	Dividend	J	T					
23. Spoleto Corp. (See VIII)	C	Interest	M	T					
24. Primco Total Return Fund (Bonds)	C	Interest	M	T					
25. Franklin NY Tax Free Income Bond Fund Class A	B	Interest	L	T	Sold	08/23/13	L	A	
26. Franklin Rising Dividends FD Class A	A	Dividend	L	T	Buy	08/23/13	L		
27. JPMorgan Chase Brokerage Acct #1 Header (See VIII)									
28. Williams Companies	A	Dividend	J	T	Sold (part)	06/03/13	J	A	
29. Williams Companies	A	Dividend	J	T					
30. Williams Companies	A	Dividend	J	T					
31. Abbott Labs	A	Dividend			Sold	03/14/13	J	A	
32. Abbott Labs	A	Dividend			Sold	03/18/13	J	A	
33. 3M Co.	A	Dividend	J	T					
34. 3M Co.	A	Dividend	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000 R = Cost (Real Estate Only) V = Other	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000 S = Assessment W = Estimated	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000 T = Cash Market	E = \$15,001 - \$50,000
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35. Arthur Gallagher Co.	A	Dividend	J	T					
36. Arthur Gallagher Co.	A	Dividend	J	T					
37. Arthur Gallagher Co.	A	Dividend	J	T					
38. AT&T, Inc.	A	Dividend			Sold	06/10/13	J	A	
39. AT&T, Inc.	A	Dividend			Sold	06/10/13	J	A	
40. ADP, Inc.	A	Dividend	J	T					
41. Century Link, Inc.		None			Sold	06/25/13	J	A	
42. Chevron Corp.	A	Dividend	J	T					
43. Chevron Corp.	A	Dividend	J	T					
44. Cincinnati Financial Corp	A	Dividend	J	T					
45. Cinemark Holdings, Inc.	A	Dividend	J	T					
46. Cinemark Holdings, Inc.	A	Dividend	J	T					
47. Cinemark Holdings, Inc.	A	Dividend	J	T					
48. CME Group, Inc.	A	Dividend	J	T					
49. CMS Energy Corp.	A	Dividend	J	T					
50. CMS Energy Corp.	A	Dividend	J	T					
51. Coca-Cola Co.	A	Dividend	J	T					

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

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P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

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R = Cost (Real Estate Only)

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L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

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52. Coca-Cola Co.	A	Dividend	J	T					
53. Conoco Phillips	A	Dividend	J	T					
54. Conoco Phillips	A	Dividend	J	T					
55. Cullen Frost Bankers	A	Dividend	J	T					
56. Emerson Electric Co.	A	Dividend	J	T	Sold	07/01/13	J	A	
57. Hershey Company	A	Dividend	J	T					
58. Home Depot, Inc.	A	Dividend	J	T					
59. Home Depot, Inc.	A	Dividend	J	T					
60. Home Depot, Inc.	A	Dividend	J	T					
61. Johnson & Johnson	A	Dividend	J	T					
62. Johnson & Johnson	A	Dividend	J	T					
63. KLA-Tencor Corp.	A	Dividend	J	T					
64. Limited Brands Inc.	A	Dividend	J	T					
65. M&T Bank Corp.	A	Dividend	J	T	Sold (part)	04/03/13	J	A	
66. M&T Bank Corp.	A	Dividend	J	T					
67. Merck & Co. Inc.	A	Dividend	J	T					
68. Merck & Co.	A	Dividend	J	T					

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69. McGraw Hill Co. Inc.	A	Dividend			Sold	02/08/13	J	A	
70. Merck & Co. Inc.	A	Dividend	J	T					
71. Microsoft Corp.	A	Dividend	J	T					
72. Microsoft Corp.	A	Dividend			Sold (part)	08/02/13	J	A	
73. Molex Inc.	A	Dividend			Sold	10/30/13	J	A	
74. Mondelez Int'l	A	Dividend	J	T					
75. Northeast Utilities	A	Dividend			Sold	07/31/13	J	A	
76. Northeast Utilities	A	Dividend			Sold	08/06/13	J	A	
77. Nisource Services Inc.	A	Dividend	J	T					
78. Pfizer Inc.	A	Dividend	J	T					
79. Phillip Morris Int'l	A	Dividend	J	T					
80. PPG Industries, Inc.	A	Dividend	J	T	Sold (part)	06/25/13	J	A	
81. Proctor & Gamble Co.	A	Dividend	J	T					
82. Proctor & Gamble Co.	A	Dividend	J	T					
83. Proctor & Gamble Co.	A	Dividend	J	T					
84. Sempra Energy	A	Dividend	J	T					
85. Sempra Energy	A	Dividend	J	T					

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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86. Sempra Energy	A	Dividend	J	T					
87. Sempra Energy	A	Dividend	J	T					
88. Sempra Energy	A	Dividend	J	T					
89. Snap On Inc.	A	Dividend	J	T					
90. Snap On Inc.	A	Dividend	J	T					
91. Snap On Inc.	A	Dividend	J	T					
92. Snap On Inc.	A	Dividend	J	T	Sold (part)	10/17/13	J	A	
93. Spectra Energy Corp.	A	Dividend			Sold	01/17/13	J	A	
94. Spectra Energy Corp.	A	Dividend			Sold	01/18/13	J	A	
95. T. Rowe Price Group Inc.	A	Dividend	J	T					
96. T. Rowe Price Group Inc.	A	Dividend	J	T					
97. The Travelers Companies Inc.	A	Dividend	J	T					
98. The Travelers Companies Inc.	A	Dividend	J	T					
99. Time Warner Inc.	A	Dividend	J	T	Sold (part)	11/27/13	J	A	
100. Time Warner Cable Inc.	A	Dividend	J	T	Sold (part)	10/30/13	J	A	
101. Tupperware Corp.	A	Dividend	J	T	Sold	01/04/13	J	A	
102. Validus Holdings Ltd.	A	Dividend	J	T					

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

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103. Validus Holdings Ltd.	A	Dividend	J	T					
104. Verizon Communications	A	Dividend	J	T					
105. Verizon Communications	A	Dividend	J	T					
106. Williams Sonoma Inc.	A	Dividend	J	T					
107. Williams Sonoma Inc.	A	Dividend	J	T					
108. Williams Sonoma Inc.	A	Dividend	J	T					
109. Wells Fargo & Co.	A	Dividend	J	T					
110. Wells Fargo & Co.	A	Dividend	J	T					
111. Yum Brands	A	Dividend	J	T					
112. NiSource Inc.	A	Dividend	J	T	Buy	01/03/13	J		
113. Williams Cos. Inc.	A	Dividend	J	T	Buy	01/23/13	J		
114. Texas Instruments	A	Dividend	J	T	Buy	03/12/13	J		
115. Johnson & Johnson	A	Dividend	J	T	Buy	03/19/13	J		
116. Abbvie, Inc.	A	Dividend	J	T	Buy	03/20/13	J		
117. Fidelity Nat'l Information	A	Dividend	J	T	Buy	04/09/13	J		
118. KLA-Tencor Corp	A	Dividend	J	T	Buy	01/12/13	J		
119. Yum Brands Inc.	A	Dividend	J	T	Buy	05/02/13	J		

1. Income Gain Codes:

(See Columns B1 and D4)

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(See Columns C1 and D3)

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(See Column C2)

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C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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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)
120. Proctor & Gamble Co.	A	Dividend	J	T	Buy	05/07/13	J		
121. Occidental Petroleum	A	Dividend	J	T	Buy	06/10/13	J		
122. Edison Int'l	A	Dividend	J	T	Buy	06/21/13	J		
123. PNC Fin. Services Inc.	A	Dividend	J	T	Buy	01/13/13	J		
124. Bristol Meyers Squibb	A	Dividend	J	T	Buy	06/27/13	J		
125. Illinois Tool Works	A	Dividend	J	T	Buy	07/05/13	J		
126. DTE Energy Co.	A	Dividend	J	T	Buy	08/29/13	J		
127. Accenture PLC	A	Dividend	J	T	Buy	11/01/13	J		
128. OmniCom Group Inc.	A	Dividend	J	T	Buy	11/06/13	J		
129. Air Products & Chemicals, Inc.	A	Dividend	J	T	Buy	06/28/13	J		
130. Analog Devices	A	Dividend	J	T	Buy	09/16/13	J		
131. BB&T Corp.	A	Dividend	J	T	Buy	02/15/13	J		
132. Marathon Petroleum	A	Dividend	J	T	Buy	12/18/13	J		
133. Northern Trust Corp.	A	Dividend	J	T	Buy	12/23/13	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Re: Part VII

Item 15 - Market value of vested options less exercise on 12/31/11.

Item 16 - Rental property located in City of New port, Chittendon County, Vermont, inherited by [REDACTED] in 1994. Value at date acquired - \$200,000.

Item 18 - Rental property located in City of New port, Chittendon County, Vermont acquired by spouse on September 5, 2005. Purchase price \$220,000.

Item 23 - Asset management company owned by [REDACTED]

Item 27 - Managed Asset Account of Spoleto Corp.

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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/ **Carol B. Amon**

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