

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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. Court of Appeals for the Sixth Circuit	3. Date of Report 05/15/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active Circuit Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. National Advisory Council	North American South Asian Bar Association
2. Board Member	Heyburn Initiative for Judicial Excellence
3. Trustee	Centre College
4. Advisory Board Member	Berkeley Judicial Institute
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. 2018	Chase College of Law Northern Kentucky University (Adjunct Professor)	\$10,000.00
2. 2018	University of Virginia Law School	\$3,960.00
3. 2018	Vanderbilt University Law School	\$10,000.00
4. 2018	The Aspen Institute	\$2,000.00

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. 2018	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	1/15/18 to 1/18/18	Charlottesville, VA	Teaching	Travel, meals, hotel
2. Knoxville Inn of Court	1/23/18 to 01/24/18	Knoxville, TN	Speaker	Travel, meals, hotel
3. Chattanooga Federalist Society	1/24/18 to 1/25/18	Chattanooga, TN	Speaker	Travel, meals, hotel
4. Notre Dame University Law School	2/15/18 to 2/16/18	South Bend, IN	Panelist	Travel, meals, hotel
5. Duke University Law School	2/19/18 to 2/21/18	Durham, NC	Speaker	Travel, meals, hotel

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6.	University of Chicago Law School Federalist Society	2/22/18 to 2/23/18	Chicago, IL	Speaker	Travel, meals, hotel
7.	University of Virginia Law School Federalist Society	2/27/18 to 2/28/18	Charlottesville, VA	Speaker	Travel, meals, hotel
8.	DC Federalist Society Student Symposium	3/8/18 to 3/11/18	Washington, D.C.	Speaker	Travel, meals, hotel
9.	University of Vanderbilt Law School	3/21/18 to 3/25/18	Nashville, TN	Teaching	Travel, meals, hotel
10.	Stanford University Law School Federalist Society	4/3/18 to 4/4/18	Stanford, CA	Speaker	Travel, meals, hotel
11.	California Law Review Symposium	4/5/18 to 4/6/18	Berkeley, CA	Panelist	Travel
12.	Yale University Law School Federalist Society	4/16/18 to 4/18/18	New Haven, CT	Speaker	Travel, meals, hotel
13.	Aspen Institute Justice & Society Seminar	7/5/18 to 7/12/18	Aspen, CO	Moderator	Travel, meals, hotel
14.	Federalist Society Student Leadership Conference	7/19/18 - 7/22/18	Washington, DC	Speaker	Travel, meals, hotel
15.	Federalist-Antifederalist Seminar (Federalist Society)	9/4/18 to 9/7/18	Avon, CO	Speaker	Travel, meals, hotel
16.	Cornell University Law School	9/10/18 to 9/12/18	Ithaca, NY	Speaker	Travel, meals, hotel
17.	Columbia University Law School Federalist Society	9/24/18 to 9/25/18	New York, NY	Speaker	Travel, meals, hotel
18.	Harvard University Law School Federalist Society	10/11/18 to 10/12/18	Cambridge, MA	Speaker	Travel, meals, hotel
19.	Yale University Law School Federalist Society	10/24/18 to 10/25/18	New Haven, CT	Speaker	Travel, meals, hotel
20.	Catholic University/Heritage Liberty Law Symposium	11/8/18 to 11/9/18	Washington, DC	Speaker	Travel, meals, hotel
21.	National Federalist Society Convention	11/14/18 to 11/18/18	Washington, DC	Panelist	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	L	T					
4. Fifth Third Bank (Checking Acct.)	A	Interest	J	T					
5. US Bank Checking & Savings Accounts	A	Interest	J	T					
6. Paypal Inc. (Money Market)	A	Interest	J	T					
7. Under Armour (UA) Common		None			Closed	01/05/18			
8. Under Armour (UAA) Common		None	J	T	Sold (part)	01/05/18			
9. Nuance Comm. Inc. (NUAN) Common		None			Closed	01/05/18			
10. Google (GOOG) Common		None			Closed	01/05/18			
11. Alphabet Inc. (GOOGL) Common (X)		None			Closed	01/05/18			
12. Tesla Corp. (TSLA) Common		None			Closed	01/05/18			
13. Kinder Morgan (KMI) Common	A	Dividend			Closed	01/05/18			
14. Nike Inc. (NKE) Common	A	Dividend			Closed	01/05/18			
15. Borg Warner (BWA) Common	A	Dividend			Closed	01/05/18			
16. BJ Restaurants Inc. (BJRI) Common		None			Closed	01/05/18			
17. Polaris Industries (PII) Common	A	Dividend			Closed	01/05/18			

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				
	(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. Chipotle Mexican Grill Inc. (CMG/B) Common		None	J	T	Sold (part)	01/05/18			
19. Disney Corp. (DIS) Common	A	Dividend			Closed	01/05/18			
20. Activision Blizzard, Inc. (ATVI) Common	A	Dividend			Closed	01/05/18			
21. Vail Resorts (MTN) Common	A	Dividend			Closed	01/05/18			
22. Urban Outfitters (URBN) Common		None			Closed	01/05/18			
23. Texas Roadhouse (TXRH) Common	A	Dividend			Closed	01/05/18			
24. Starbucks (SBUX) Common	A	Dividend			Closed	01/05/18			
25. Sierra Wireless (SWIR) Common		None			Closed	01/05/18			
26. Match Group (MTCH) Common		None			Closed	01/05/18			
27. Gilead Sciences (GILD) Common	A	Dividend			Closed	01/05/18			
28. Fannie Mae (FNM) Common (Y)					Closed	01/05/18			
29. Facebook (FB)	A	Dividend	J	T	Buy (add'l)	02/09/18			
30. Facebook (FB) Common		None	J	T	Sold (part)	03/16/18			
31. Hasbro Corp. (HAS) Common	A	Dividend			Closed	03/16/18			
32. National Grocers by Vitamin Cottage (NGVC) Common		None			Closed	03/16/18			
33. Apple Inc. (AAPL) Common	A	Dividend	J	T	Sold (part)	03/16/18			
34. Berkshire Hathaway Inc. Del Class B (BRK.B) Common		None	K	T	Buy (add'l)	02/09/18			

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35. Exxon Mobil Corp. (XOM) Common	A	Dividend			Closed	03/16/18			
36. Markel Corp. (MKL) Common		None			Closed	03/16/18			
37. Buffalo Wild Wings (BWLD) Common		None			Closed	01/05/18			
38. Altria Group Inc. (MO) Common	A	Dividend			Closed	03/16/18			
39. Chesapeake (CHK) (Y)	A	Dividend			Closed	03/16/18			
40. Federated Investors Inc. (FII) Common	A	Dividend			Closed	03/16/18			
41. Phillip Morris International (PM)	A	Dividend			Closed	03/16/18			
42. Generac Holdings (GNRC) Common		None			Closed	03/16/18			
43. Mastercard (MA) Common	A	Dividend			Closed	03/16/18			
44. National Oilwell Varco, Inc. (NOV) Common	A	Dividend			Closed	03/16/18			
45. The Container Store (TCS) Common		None			Closed	03/16/18			
46. Diplomat Pharmacy Inc. (DPLO) Common		None			Closed	03/16/18			
47. Mylan NV SHS Euro (MYL) Common		None			Closed	03/16/18			
48. Leucadia National Corp. (LUK) Common	A	Dividend			Closed	03/16/18			
49. Trip Advisor (TRIP) Common		None			Closed	03/16/18			
50. Casey's General Store, Inc. (CASY) Common	A	Dividend			Closed	03/16/18			
51. Anheuser-Busch Inbev (BUD) Common	A	Dividend			Closed	03/16/18			

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52. Costco Wholesale Corp. (COST) Common	A	Dividend			Closed	03/16/18			
53. Amazon (AMZN)	A	Dividend	J	T	Buy	02/09/18			
54. Vanguard 500 Index Funds	A	Dividend	J	T	Sold (part)	02/06/18			
55. Vanguard Windsor Portfolio	A	Dividend	K	T					
56. Vanguard Value Index Portfolio	A	Dividend			Closed	02/06/18			
57. Now, Inc. (DNOV) Common	A	Dividend			Closed	01/05/18			
58. McDonalds (MCD) Common	A	Dividend	J	T					
59. Avadel Pharmaceuticals (AVDL) Common (previously Flamel Tech Spon ADR)		None			Closed	03/16/18			
60. Vanguard Mid-Cap Index Portfolio (X)	A	Dividend	J	T					
61. Vanguard Small-Cap Index (X)	A	Dividend	J	T					
62. Vanguard Total International Stock Index Portfolio (X)	A	Dividend	J	T					
63. Vanguard Total Stock Market Portfolio (X)	A	Dividend	J	T					
64.									

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

The Vanguard Windsor, Mid-Cap Index, Small Cap Index, Total Stock Market Index, and Total International Stock Index are part of a 529 plan. We invest monthly in the plans, but the monthly amounts invested are less than the reporting requirement.

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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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544