

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) Amon, Carol B.	2. Court or Organization U.S. District Court, E.D.N.Y.	3. Date of Report 10/26/2020
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	6. Reporting Period 01/01/2018 to 12/31/2018
	5b. ☒ Amended Report	
7. Chambers or Office Address 225 Cadman Plaza East Room 9085 Brooklyn, NY 11201		
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.		
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. 1/1/2002	Law Office of Thomas G. Amon - Chase Manhattan Bank Defined Benefit Pension Plan
2. 1/1/2002	Law Office of Thomas G. Amon - Chase Manhattan Bank Defined Benefit Profit-Sharing Plan
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

Amon, Carol B.

Date of Report

10/26/2020

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.		
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. 2018	Self-employed attorney - law partnership distributions
2. 2018	Law Office Thomas G. Amon - Non-investment Income Pension Plan
3. 2018	Law Office Thomas G. Amon - Non-investment Income Profit-sharing Plan
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	March 14 - 16, 2018	Malibu, California	Lecturer - Byrne Clerk's Institute	Transportation, lodging and meals
2. Federal Bar Council	May 2, 2018	New York, NY	Law Day Dinner	Meals
3. University of Virginia	April 10 - 11, 2018	Charlottesville, VA	Lile Moot Court	Transportation, lodging and meals
4. E.D.N.Y. Association	February 8, 2018	New York, NY	Annual Dinner	Meals
5. George Mason University (Antonin Scalia School of Law)	January 25 - 26, 2018	Arlington, VA	1st Amendment Conference	Meals, transportation

Name of Person Reporting	Date of Report
Amon, Carol B.	10/26/2020

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. Passumpic Bank	Mortgage of rental property - Newport, VT - Rental income generated in 2018	M
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Amon, Carol B.

Date of Report

10/26/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)

1. IRA Accts Citibank, B'klyn, NY (See VIII)	C	Dividend	M	T					
2. Law Partnership, Cap Acct.		None	M	T					
3. Citibank N.A., Money Market	B	Interest	M	T					
4. Merrill Lynch CMA Account (See VIII)									
5. Invesco/Midcap Growth	A	Dividend	J	T					
6. Fidelity Ad. Equity Growth	A	Dividend	K	T					
7. Fidelity Ad. Tech Fund	A	Dividend	J	T					
8. MFS Moderate Allocation	B	Dividend	N	T					
9. Johnson & Johnson	A	Dividend	J	T					
10. 1919 Financial Services Fund Class C	A	Dividend	J	T	Buy	02/15/18	J	A	
11. ClearBridge Large Cap	A	Dividend	J	T	Buy	02/15/18	J	A	
12. Chase Select Checking	B	Interest	M	T					
13. Passumpsic Bank (See VIII)	A	Interest	J	T					
14. Encore Networks, Inc. (See VIII)		None	M	T					
15. Rental Property, Brooklyn, NY	D	Rent	P1	R					
16. Rental Property Newport, VT	D	Rent	N	R	Buy	05/15/18	N	A	CBA/TGA
17. AXA Equitable Variable Life Policy (See VIII)	B	Interest	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	
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FINANCIAL DISCLOSURE REPORT

Page 5 of 11

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18. Aim Technology	A	Dividend	J	T					
19. Sonic Mountain, Inc.		None	K	U					
20. Citibank CD	A	Interest	J	T					
21. Spoleto Corp. (See VIII)	C	Interest	N	T					
22. Pimco Total Return Fund (Bonds)	C	Interest	M	T					
23. Franklin Rising Dividends FD Class A	A	Dividend	L	T					
24. Walnut Street Finance, LLC	B	Interest	M	T					
25. Military Talent Group, Inc.		None	P1	T					
26. Airborne Wireless Network		None	J	T					
27. Wilson Davis Account # 1 Header (SeeVIII)									
28. Microsoft		None	J	T	Buy	12/15/18	J	A	
29. Apple		None	J	T	Buy	12/15/18	J	A	
30. JP Morgan Chase Brokerage Account # 2 Header (See VIII) (TGA)									
31. ACE Ltd	A	Dividend			Sold	01/15/18	J	A	
32. United Overseas Bank Ltd	A	Dividend	J	T	Sold	01/15/18	J	A	
33. Vermilion Energy Inc	A	Dividend	J	T	Sold	01/15/18	J	A	
34. Astrazeneca	A	Dividend	J	T	Sold	01/15/18	J	A	

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FINANCIAL DISCLOSURE REPORT

Page 6 of 11

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35. Roche Holdings	A	Dividend	J	T	Sold	01/15/18	J	A	
36. Smiths Group PLC	A	Dividend	J	T	Sold	01/15/18	J	A	
37. BHP Ltd	A	Dividend	J	T	Sold	01/15/18	J	A	
38. BNP Paribas	A	Dividend	J	T	Sold	01/15/18	J	A	
39. BOCHong Kong Holdings	A	Dividend	J	T	Sold	01/15/18	J	A	
40. British American Tobacco	A	Distribution	J	T	Sold	01/15/18	J	A	
41. Deutsche Telecom	A	Dividend	J	T	Sold	01/15/18	J	A	
42. Diageo PLC - Sponsored ADR	A	Dividend	J	T	Sold	01/15/18	J	A	
43. Engie	A	Dividend	J	T	Sold	01/15/18	J	A	
44. Glaxo Smith Kline	A	Dividend	J	T	Sold	01/15/18	J	A	
45. Imperial Brands PLC	A	Dividend	J	T	Sold	01/15/18	J	A	
46. ING Groep NV - Sponsored		None			Sold	01/15/18	J	A	
47. Japan Tobacco	A	Dividend	J	T	Sold	01/15/18	J	A	
48. JPM Tax Free	A	Dividend	J	T	Sold	01/15/18	J	A	
49. Nestles SA	A	Dividend	J	T	Sold	01/15/18	J	A	
50. Nippon Tel.	A	Dividend	J	T	Sold	01/15/18	J	A	
51. Novartis	A	Dividend	J	T	Sold	01/15/18	J	A	

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FINANCIAL DISCLOSURE REPORT

Page 7 of 11

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52. Orkla ASA	A	Dividend	J	T	Sold	01/15/18	J	A	
53. Royal Dutch Shell PLC	A	Dividend	J	T	Sold	01/15/18	J	A	
54. Siemens Ag.	A	Dividend	J	T	Sold	01/15/18	J	A	
55. Singapore Telecom	A	Dividend	J	T	Sold	01/15/18	J	A	
56. Sonic Healthcare Ltd	A	Dividend	J	T	Sold	01/15/18	J	A	
57. SSE PLC (See VIII)	A	Dividend	J	T	Sold	01/15/18	J	A	
58. Statoil ASA	A	Dividend	J	T	Sold	01/15/18	J	A	
59. Telefonica Brasil SA		None			Sold	01/15/18	J	A	
60. PT Telekomunikasi Ind	A	Dividend	J	T	Sold	01/15/18	J	A	
61. Total SA	A	Dividend	J	T	Sold	01/15/18	J	A	
62. Unilever NV	A	Dividend	J	T	Sold	01/15/18	J	A	
63. Vodafone Group, PLC	A	Dividend	J	T	Sold	01/15/18	J	A	
64. Zurich Insurance Group	A	Dividend	J	T	Sold	01/15/18	J	A	
65. Honda Motors	A	Dividend	J	T	Sold	01/15/18	J	A	
66. UBS Group	A	Dividend	J	T	Sold	01/15/18	J	A	
67. BCE Inc.	A	Dividend	J	T	Sold	01/15/18	J	A	
68. BAE Systems	A	Dividend	J	T	Sold	01/15/18	J	A	

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FINANCIAL DISCLOSURE REPORT

Page 8 of 11

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69. ABB Ltd	A	Dividend	J	T	Sold	01/15/18	J	A	
70. Manulife Financial Corp.	A	Dividend	J	T	Sold	01/15/18	J	A	
71. MMC Norilsk Nickel PJSC		None	J	T	Sold	01/15/18	J	A	
72. Chevron	A	Dividend			Sold	01/15/18	J	A	
73. CME Group, Inc.	A	Dividend			Sold	01/15/18	J	A	
74. Republic Services Inc.	A	Dividend			Sold	01/15/18	J	A	
75. U S Bancorp		None			Sold	01/15/18	J	A	
76. JP Morgan Brokerage Account # 3 Header(CBA)									
77. Treas Money Market	A	Dividend	L	T	Buy	01/15/18	J		
78. Advanced Semiconductor	A	Dividend			Sold	01/15/18	J	A	
79. Smurfit Karpa Group	A	Dividend			Sold	01/15/18	J	A	
80. NN Group NV	A	Dividend			Sold	01/15/18	J	A	
81. Muenchener	A	Dividend	J	T	Sold	01/15/18	J	A	
82. Allianz SE	A	Dividend	J	T	Sold	01/15/18	J	A	
83. Daimler AG	A	Dividend	J	T	Sold	01/15/18	J	A	
84. Michelin Co.	A	Dividend			Sold	01/15/18	J	A	
85. JP Morgan Advisory (See VII) HorizenAccount (CBA) # 4									

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FINANCIAL DISCLOSURE REPORT

Page 9 of 11

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86. Invesco Asia Pacific Growth	A	Dividend	J	T					
87. IShares Russell 2000 ETF	A	Dividend	K	T					
88. IShares New York Muni Bond	A	Dividend	J	T					
89. IShares IBOXX \$ High Yield CorporateBond ETF	A	Dividend	J	T					
90. IShares Select Dividend ETF	A	Dividend	J	T					
91. Lord Abbett Short Duration Income Fund	A	Dividend	K	T					
92. Pimco High Yield Fund Instl Cl	A	Dividend	J	T					
93. Vanguard S&P 500 ETF	A	Dividend	K	T					
94. Vanguard Total Bond Market ETF	A	Dividend	J	T					
95. Powershares QQQ Trust Series 1	A	Dividend	L	T					
96. Guggenheim S&P 500 Equal Weight ETF	A	Dividend	K	T					
97. JP Morgan Deposit Acct A	A	Interest	J	T					
98. DoubleLine FDS TR	A	Dividend	K	T					
99. Invesco Exchange Traded Fund	A	Dividend	J	T	Buy	07/23/18	J	A	
100. JPM 100% U.S. Treas. Sec. MM	A	Interest	J	T	Buy	07/23/18	L	A	
101. NYS 529 College Savings Account (SeeVIII)	A	Dividend	J	T	Buy	01/31/17	J	A	

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FINANCIAL DISCLOSURE REPORT

Page 10 of 11

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

Re: Part VII

Item 1 - IRA Accts Citibank, B'klyn, NY - Fidelity Advisor Stock Selector All Cap Fund Class A

Item 4 - Merrill Lynch CMA Account (CBA) - Master Account Holding Items 5 - 11

Item 9 - Market value of vested options less exercise on 12/31/18.

Item 13 - Passumpsic Bank - Newport, VT - Account opened on 5/15/18.

Item 16 - Rental property located in City of Newport, Chittendon County, Vermont, inherited in 1994. Value at date acquired - \$200,000.

Item 17. AXA Equitable Variable Life Insurance Policy - Incentive Legacy III.

Item 21. Management Asset Account (TGA)

Item 27 - Asset Management/Consulting Company.

Item 30 - Managed Asset Account (TGA)

Item 76 - Managed Asset Brokerage Account - (JPMorgan Securities) (CBA)

Item 85 - Advisory Horizon Account - (JPMorgan Securities) (CBA)

Item 101 - Investment with Vanguard Aggressive Growth Funds

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

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