

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 5/11/2020
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 01/01/2019 to 12/31/2019
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. 2019	Chase College of Law Northern Kentucky University (Adjunct Professor)	\$12,500.00
2. 2019	University of Virginia Law School	\$3,960.00
3. 2019	Vanderbilt Law School	\$10,000.00
4. 2019	Notre Dame Law School	\$480.00
5.		

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. 2019	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	1/14/19 to 1/17/19	Charlottesville, VA	Teaching	Travel, meals, hotel
2.	Northern Kentucky Federalist Society	2/04/19	Covington, KY	Speaker	Meals
3.	Georgetown Law School Federalist Society	2/6/19 to 2/7/19	Washington, DC	Speaker	Travel, meals, hotel
4.	Vanderbilt University Law School	2/19/19 to 2/22/19	Nashville, TN	Teaching	Travel, meals, hotel

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5.	BYU Law School Federalist Society	2/27/19 to 2/27/19	Provo, UT	Speaker	Travel, meals
6.	Louisville Law School Federalist Society	3/5/19 to 3/5/19	Louisville, KY	Speaker	Travel, meal
7.	Arizona State Law School	3/11/19 to 3/15/19	Phoenix, AZ	Teaching	Travel, meals, hotel
8.	Federalist Society Student Symposium	3/15/19 to 3/17/19	Phoenix, AZ	Moderator	Travel, meals, hotel
9.	Notre Dame Law School	3/25/19 to 3/29/19	South Bend, IN	Teaching	Travel, meals, hotel
10.	University of Kentucky Federalist Society	4/1/19 to 4/1/19	Lexington, KY	Speaker	Travel
11.	Yale Law School	4/7/19 to 4/8/19	New Haven, CT	Speaker	Travel, meals, hotel
12.	Legal Aid	4/8/19 to 4/9/19	Washington, DC	Speaker	Travel, meals, hotel
13.	Berkeley Law School	4/11/19 to 4/13/19	Berkeley, CA	Speaker	Travel, meals, hotel
14.	Chicago Federalist Society	4/23/19 to 4/25/19	Chicago, IL	Speaker	Travel, meals, hotel
15.	Georgetown Law School	5/20/19 to 5/24/19	Washington, D.C.	Speaker	Travel, meals, hotel
16.	Federalist Society	5/29/19 to 5/31/19	Phoenix, AZ	Speaker	Travel, meals, hotel
17.	Federalist Society	7/26/19 to 7/28/19	Washington, DC	Speaker	Travel, meals, hotel
18.	Washington University Law School	8/18/19 to 8/20/19	St. Louis, MO	Speaker	Travel, meals, hotel
19.	New York University Law School Federalist Society	10/1/19 to 10/2/19	New York, NY	Speaker	Travel, meals, hotel
20.	Kentucky Federalist Society	10/7/19 to 10/7/19	Frankfort, KY	Moderator	Travel and meal
21.	Notre Dame Law School	10/10/19 to 10/13/19	South Bend, IN	Teaching	Travel, meals, hotel
22.	Diocese of Dallas	10/18/19 to 10/20/19	Dallas, TX	Speaker	Travel, meals, hotel
23.	Hillsdale College Federalist Society	10/24/19 to 10/25/19	Hillsdale, MI	Speaker	Travel, meals, hotel
24.	Harvard Law School	11/12/19 to 11/13/19	Cambridge, MA	Moot Court	Travel, meals, hotel
25.	Federalist Society	11/13/19 to 11/17/19	Washington, DC	Moderator	Travel, meals, hotel
26.	Yale Law School Federalist Society	11/20/19 to 11/22/19	New Haven, CT	Speaker	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 (Y)									
3. TD Ameritrade (Ameritrade Money Market)	A	Interest	K	T					
4. Fifth Third Bank (Checking Acct.)	A	Interest	J	T					
5. US Bank (Checking and Savings Acct)	A	Interest	J	T					
6. Paypal Inc. (Money Market) (Y)									
7. Under Armour (UA) Common (Y)									
8. Chipotle Mexican Grill Inc. (CMG/B) Common		None	J	T					
9. Facebook (FB) Common		None	J	T					
10. Apple Inc. (AAPL) Common	A	Dividend	J	T					
11. Berkshire Hathaway Inc. Del Class B (BRK.B) Common		None	K	T	Buy (add'l)	5/15/19	J		
12.					Buy (add'l)	08/07/19	J		
13.					Sold (part)	08/08/19	J		
14. Amazon	A	Dividend	J	T					
15. McDonalds (MCD) Common	A	Dividend	J	T					
16. Nvidia (NVDA) Common (X)	A	Dividend	J	T					
17. Vanguard 500 Index Funds (Y)									

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	

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)
18. Vanguard Windsor Portfolio	A	Dividend	K	T	Sold (part)	01/22/19	K		
19. Vanguard Mid-Cap Index Portfolio	A	Dividend	J	T	Sold (part)	01/22/19	J		
20. Vanguard Small-Cap Index	A	Dividend	J	T	Sold (part)	01/22/19	J		
21. Vanguard Total International Stock Index	A	Dividend	J	T	Sold (part)	01/22/19	J		
22. Vanguard Total Stock Market Portfolio	A	Dividend	J	T	Sold (part)	01/22/19	J		
23. Vanguard Aggressive Age Based Fund	A	Dividend	K	T	Buy	01/22/19	K		
24.					Redeemed (part)	7/29/19	K		
25. Vanguard Moderate Age Based Fund	A	Dividend	K	T					
26. Vanguard Conservative Age Based Fund	A	Dividend	K	T					
27. Spyder Growth (SPYG)	A	Dividend	J	T	Buy	5/15/19	J		
28.					Buy (add'l)	06/03/19	J		
29. Spyder (SPY)	A	Dividend	J	T	Buy	08/07/19	J		

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

The Vanguard Mutual Funds are all 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
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Washington, D.C. 20544