

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) Amon, Carol B.	2. Court or Organization U.S. District Court, E.D.N.Y.	3. Date of Report 1/4/2021
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 01/01/2019 to 12/31/2019
	5b. ☒ Amended Report	
7. Chambers or Office Address 225 Cadman Plaza East Room 908S 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.)

<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. 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 8

Name of Person Reporting

Amon, Carol B.

Date of Report

1/4/2021

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. 2019	Law Office Thomas G. Amon - Non-investment Income Pension Plan
2. 2019	Law Office Thomas G. Amon - Non-investment Income Profit-sharing Plan
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	March 13 - 15, 2019	Malibu, California	Lecturer - Byrne Clerk's Institute	Meals, transportation and lodging
2. E.D.N.Y. Association	February 13, 2019	New York, New York	Annual Dinner	Meals
3. Federal Bar Conference	February 16 - 23, 2019	Maui, Hawaii	Winter Bar Meeting	Meals, transportation and lodging
4. Thomas More Society	October 1, 2019	New York, New York	Award Dinner	Meals
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Amon, Carol B.

Date of Report

1/4/2021

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

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1. Passumpic Bank	Mortgage of rental property - Newport, VT - rental income generated in 2019	M
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Amon, Carol B.

Date of Report

1/4/2021

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, B'kyn, NY (See VIII)	C	Dividend	M	T					
2. Law Partnership Cap Acct		None	N	T					
3. Citibank N.A. Money Market	C	Interest	M	T					
4. Merrill Lynch CMA Account (H) (See VIII)									
5. Invesco/Midcap Growth	A	Dividend	K	T					
6. Fidelity Ad Equity Growth	A	Dividend	L	T					
7. Fidelity Ad Tech Fund	A	Dividend	K	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					
11. ClearBridge Large Cap	A	Dividend	J	T					
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 (See VIII)	D	Rent	N	R					
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	
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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Amon, Carol B.

Date of Report

1/4/2021

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. 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)	A	Interest	M	T					
23. Franklin Rising Dividends FD Class A	A	Dividend	L	T					
24. Walnut Street Finance, LLC	D	Interest	M	T					
25. Military Talent Group, Inc.		None	P1	T					
26. Airborne Wireless Network		None	J	T					
27. Wilson Davis Account # 1 (H) (See VIII)									
28. -Microsoft		None	J	T					
29. -Apple		None	J	T					
30. -Fidelity Funds	A	Dividend	K	T	Buy	1/1/19			
31. JP Morgan Brokerage Account # 3 (CBA) (H) (See VIII)									
32. -Treas Money Market	A	Dividend	L	T					
33. JP Morgan Advisory (See VIII) Horizen Account (CBA) #4	C	Dividend	N	T					
34. -Invesco Asia Pacific Growth	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	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Amon, Carol B.

Date of Report

1/4/2021

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)
35. -IShare Russell 2000 ETF	A	Dividend	K	T					
36. -IShares New York Muni Bond	A	Dividend	J	T	Sold (part)	4/1/19	J	A	
37. -IShares IBOXX \$ High Yield Corporate Bond ETF	A	Dividend	J	T					
38. -IShares Select Dividend ETF	A	Dividend	J	T					
39. -Lord Abbett Shrt Duration Income Fund	A	Dividend	K	T					
40. -Pimco High Yield Fund Inst1 C1	A	Dividend	J	T					
41. -Vanguard S&P 500 ETF	A	Dividend	K	T					
42. -Vanguard Total Bond Market ETF	A	Dividend	J	T					
43. -Powershares QQQ Trust Series 1	A	Dividend	L	T					
44. -Guggenheim S&P 500 Equal Weight ETF	A	Dividend	K	T					
45. -JP Morgan Deposit Acct A	A	Interest	K	T					
46. -DoubleLine FDS TR	A	Dividend	K	T					
47. -Invesco Exchange Traded Fund	A	Dividend	L	T					
48. -JPM 100% U.S. Treas Sec MM	A	Interest	J	T					
49. -NYS 529 College Savings Account (See VIII)	A	Dividend	J	T					
50. -Columbia Convert Bond Fund	A	Interest	J	T	Buy	4/11/19	J		
51.									

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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Amon, Carol B.

Date of Report

1/4/2021

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

Item 14 - Market value of vested options less exercise on 12/31/19

Item 16 - Rental property located in City of Newport, Chittenddon County, Vermont, inherited in 19994. Value at date acquired - \$200,000

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

Item 21 - Asset Management Consulting Company

Item 27 - Management Asset Account (TGA)

Item 31 - Managed Asset Brokerage Account - (JPMorgan Securities) (CBA)

Item 33 - Advisory Horizen Managed Account - (JPMorgan Securities) (CBA)

Item 49 - Investment with Vanguard Aggressive Growth Funds

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Amon, Carol B.

Date of Report

1/4/2021

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