

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) KEARSE, AMALYA L.	2. Court or Organization U.S. COURT OF APPEALS FOR THE SECOND CIRCUIT	3. Date of Report 05/06/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. CIRCUIT JUDGE, SENIOR STATUS	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 U.S. COURTHOUSE 40 FOLEY SQUARE NEW YORK, NEW YORK 10007		
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. Trustee, Director	Robert F. Kearsse Memorial Scholarship Fund
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. '69, '79	Hughes Hubbard & Reed - Amalya L. Kearsse: Return of July 1979 Capital
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. _____

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

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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. Clinton Assoc., Ptnp	B	Distribution	J	W					
2. Int'l Constructors Ptnp	A	Interest	J	W					
3. T.Rowe Price Eq Inc Mutual Fund	A	Dividend	J	T	Sold (part)	09/11/13	J	B	
4. Janus Twenty Mutual Fund	A	Dividend	J	T	Sold (part)	09/09/13	J	A	
5. IRA Perkins Mid-Cap Value Fund.	D	Dividend	L	T	Distributed (part)	11/14/13	J		
6. IRA T.Rowe Price Mid-Cap Value Fund	C	Dividend	L	T					
7. Janus Money Market Fund	A	Dividend	J	T					
8. T.Rowe Price Money Market Fund	A	Dividend	J	T					
9. T.Rowe Price Mid-Cap Growth Fund	D	Dividend	M	T					
10. Citibank Money Market	A	Interest	J	T					
11. JP Morgan Clearing Corp.Money Market Fund	A	Interest	J	T					
12. IndyMac Bancorp common		None	J	T					
13. Selected American Shares	A	Dividend	K	T	Sold (part)	09/16/13	J	B	
14. T.Rowe Price Media & Telecom. Fund	A	Dividend	J	T					
15. Intel Corp. common	A	Dividend	K	T					
16. Perkins Mid-Cap Value Fund (non-IRA)	A	Dividend	J	T					
17. Citadel Broadcasting Co. common		None	J	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000 (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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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 I (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. T. Rowe Price Small Cap Value Fund	A	Dividend	K	T					
19. Sociedad Quimica y Minera common	A	Dividend			Sold	11/01/13	J		
20. YUM Brands Inc. common. See note	A	Dividend	K	T	Sold (part)	03/14/13	K	D	
21. YUM Brands Inc. common. See note.					Donated (part)				
22. Nvidia Corp.	A	Dividend	J	T					
23. Infinera Corp. common, See note.		None	J	T	Donated (part)		J		
24. China Digital TV Holding Co. common	B	Dividend			Sold	03/14/13			
25. American Reprographics Co. common		None			Sold	03/14/13			
26. PIMCO Total Return Fund	A	Dividend	L	T					
27. Westport Innovations Inc. common		None	J	T					
28. Nuvera /Environmental Solutions, f/k/a Heckmann Corp. common		None	J	T					
29. Clean Energy Fuels Corp. common		None	J	T					
30. Corning Inc. common	A	Dividend	K	T	Buy	01/22/13	J		
31. Nuance Communications common		None	K	T	Buy	03/15/13	K		
32. 3D Systems Corp. common		None	K	T	Buy	03/15/13	J		
33. LifeLock Inc. common		None	J	T	Buy	08/12/13	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
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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.)*

All Explanations are re part VII:

All investments shown in previous report as having no value at end of the prior reporting period were sold, dissolved, or otherwise disposed of during that period and have been deleted from the form..

Any multiple entries for the same security, required in prior report because there were transactions on different dates, have been consolidated to the extent appropriate.

Line 5: Re IRA Perkins Mid-Cap Value Fund: Under the Internal Revenue Code, a distribution of IRA assets was required; the amount distributed from this fund is indicated in Column D(3).

Lines 20 and 21: Some shares of YUM Brands stock were sold; some were donated to charity; the total year-end value of the remaining shares and the total income received are shown on line 20.

Line 23: All of the shares of Infinera corp purchased in 2011 and some of the shares of that company purchased in 2012 were donated to charity.

Line 28: In 2013, the company formerly known as Heckmann Corp. was renamed Nuverra Environmental Solutions Inc.

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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/ AMALYA L. KEARSE

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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