

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) KEARSE, AMALYA L.	2. Court or Organization U.S. COURT OF APPEALS FOR THE SECOND CIRCUIT	3. Date of Report 04/29/2019
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 01/01/2018 to 12/31/2018
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
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.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	'69, '79	Hughes Hubbard & Reed - Amalya L. Kearsse: Return of July 1979 Capital
2.		
3.		

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KEARSE, AMALYA L.

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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.)*

	<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.			
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	A	Distribution	J	W					
2. Int'l Constructors Ptnp	G	Distribution	J	W					
3. T.Rowe Price Eq Inc Mutual Fund	B	Dividend	J	T					
4. IRA Perkins Mid Cap Value Fund	D	Dividend	K	T	Distributed (part)	12/24/18	J		
5. IRA T.Rowe Price Mid-Cap Value Fund	D	Dividend	M	T					
6. Janus Money Market Fund	A	Dividend	J	T					
7. T.Rowe Price Money Market Fund	A	Dividend	J	T					
8. T.Rowe Price Mid-Cap Growth Fund	D	Dividend	L	T	Sold (part)	01/13/18	J	C	
9.					Sold (part)	06/12/18	J	C	
10.					Sold (part)	08/28/18	J	C	
11. Citibank Money Market	A	Interest	K	T					
12. JP Morgan Clearing Corp. Money Market Fund	A	Interest	J	T					
13. Selected American Shares	C	Dividend	K	T					
14. T. Rowe Price Communication & Technology Fund. See Note.	A	Dividend	J	T					
15. T. Rowe Price Small Cap Value Fund	B	Dividend	J	T					
16. YUM Brands Inc. common	A	Dividend	K	T					
17. Yum China Holdings Inc. common	A	Dividend	J	T	Donated (part)	08/02/18			

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	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	P4 = More than \$50,000,000
3. Value Method Codes	Q = Appraisal (See Column C2)	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. Nvidia Corp. common	A	Dividend	L	T	Donated (part)	08/02/18			
19.					Donated (part)	10/12/18			
20. 3D Systems Corp. common		None			Sold	12/24/18	J		
21. Sierra Wireless		None			Sold (part)	01/18/18	J		
22.					Sold	12/24/18	J		
23. CalAmp Corp. common		None			Sold	12/31/18	J		
24. Cognex Corp. common	A	Dividend	L	T					
25. Infinera Corp. common		None			Sold	01/29/18	J		
26. Advanced Micro Devices Inc. common		None	J	T					
27. Workiva Inc. common		None	J	T					
28. Atlassian Corporation Plc. common		None	K	T					
29. Twilio Inc. common		None	K	T					
30. Pacific Biosciences of California Inc. common		None			Sold	05/04/18	J		
31. Mindbody Inc. common		None	K	T					
32. Appian Corporation common		None	J	T					
33. Editas Medicine Inc. common		None			Buy	01/18/18	K		
34.					Sold	12/24/18	J		

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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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35. Impinj Inc. common		None			Buy	01/18/18	J		
36.					Buy (add'l)	01/29/18	J		
37.					Sold	05/04/18	J		
38. IQIYI Inc. common		None	J	T	Buy	05/04/18	J		
39.					Buy (add'l)	11/26/18	J		
40. Alteryx Inc. common		None	K	T	Buy	10/11/18	J		
41.					Buy (add'l)	12/24/18	J		
42. OKTA Inc. common		None	K	T	Buy	10/11/18	K		
43.					Buy (add'l)	12/24/18	J		
44. Cirrus Logic Inc. common		None	K	T	Buy	10/11/18	J		
45.					Buy (add'l)	11/26/18	J		
46. Boston Omaha Corp. common		None	J	T	Buy	12/03/18	J		
47. Uxin Ltd. common		None	J	T	Buy	12/03/18	J		
48. Bilibili Inc. common		None	J	T	Buy	12/24/18	J		

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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 or otherwise disposed of during that period and have been deleted from the form.

Line 14: This Fund was formerly called Media & Telecom.

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.

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