

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 05/15/2017
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 225 Cadman Plaza East Room 908 S 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.	
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. 2016

Self-employed attorney - law partnership distribution

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

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Pepperdine University School of Law	3/16/16 - 3/18/16	Malibu, CA	Lecturer	Transportation, lodging, and food
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.	Federal Bar Council	Law Day Dinner - May 3, 2016	\$500.00
2.	New York Intellectual Property Law Association	Dinner - May 6, 2016	\$500.00
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 (Part VII (Line 16)	M
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. RA Accts Citibank, B'klyn, NY FidelityAd.DynamicCapAppFud	B	Dividend	K	T					
2. Law Partnership, Cap Acct.		None	M	T					
3. Thomas G. Amon Pension Plan	A	Interest	J	T					
4. Thomas G. Amon PrfShr Plan	A	Interest	J	T					
5. Citibank N.A., Money Market	B	Interest	M	T					
6. Fidelity Contra Fund II		None			Sold	01/14/16	J	A	
7. Fidelity Independence Fund		None			Sold	01/14/16	J	A	
8. Invesco/Midcap Growth	A	Dividend	K	T					
9. Fidelity Ad. Equity Growth	A	Dividend	K	T					
10. Fidelity Ad. Tech Fund	A	Dividend	J	T					
11. Legg Mason Partners Financial Services Fund B		None			Sold	01/14/16	J	A	
12. Legg Mason Partners Large Cap Value Fund B		None			Sold	01/14/16	J	A	
13. MFS Moderate Allocation	B	Dividend	M	T					
14. Chase Select Checking	A	Interest	J	T					
15. Encore Networks, Inc. (See VIII)		None	M	T					
16. Rental Property Newport, VT (See VIII)	D	Rent	M	R					
17. AXA Equitable Variable Life Policy (See VIII)	B	Interest	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 (See Columns C1 and D3)	J = \$15,001 - \$50,000 K = \$15,001 - \$50,000 L = \$50,001 - \$100,000 M = \$100,001 - \$250,000 N = \$250,001 - \$500,000 O = \$500,001 - \$1,000,000 P1 = \$1,000,001 - \$5,000,000 P2 = \$5,000,001 - \$25,000,000 P3 = \$25,000,001 - \$50,000,000 P4 = More than \$50,000,000			
3. Value Method Codes	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) U = Book Value V = Other	S = Assessment W = Estimated	T = Cash Market	

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	(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. Aim Technology	A	Dividend	J	T					
19. Sonic Mountain, Inc.		None	K	U					
20. Citibank CD	A	Interest	J	T					
21. Johnson & Johnson	A	Dividend	J	T					
22. Spoleto Corp. (See VIII)	C	Interest	M	T					
23. Pimco Total Return Fund (Bonds)	C	Interest	M	T					
24. Franklin Rising Dividends FD Class A	A	Dividend	L	T					
25. Walnut Street Finance, LLC	B	Interest	L	T	Buy	08/04/16	K		
26. Military Talent Group, Inc.		None	P1	T	Buy	06/01/16	P1		
27. JP Morgan Chase Brokerage Account # 1 Header (See VIII)									
28. -Altria Group Inc (See VIII)	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
29. -Exxon	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
30. -CMS Energy	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
31. -Metlife	A	Dividend		T	Sold (part)	12/28/16	J	A	
32. -Xcel Energy	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
33. -VF Corp.	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
34. -ACE Ltd.	A	Dividend	J	T	Sold (part)	12/28/16	J	A	

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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35. -Kimberly Clark Corp.		None	J	T	Sold (part)	12/28/16	J	A	
36. -William Companies		None			Sold	03/19/16	J	A	
37. -3M Co.	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
38. -Arthur Gallagher Co.	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
39. -Gilead Sciences Inc	A	Dividend	J	T	Buy	07/20/16	J		
40.			J	T	Sold (part)	12/28/16	J	A	
41. -Automatic Data	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
42. -Bank of America Corp	A	Dividend	J	T					
43. -California Resources Corp					Sold	03/30/16	J	A	
44. -Chevron Corp.	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
45. -Cincinnati Financial Corp.	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
46. -Cinemark Holding Inc.	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
47. -CME Group, Inc. (See VIII)	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
48. -Coca-Cola Co. (See VIII)	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
49. Coca-Cola Enterprises (See VIII)	A	Dividend			Sold	04/19/16	J	A	
50. -Conoco Phillips (See VIII)	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
51. -Cullen Frost	A	Dividend	J	T	Sold (part)	12/28/16	J	A	

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52. -Hershey Company (See VIII)	A	Dividend			Sold	04/07/16	J	A	
53. -Home Depot, Inc. (See VIII)	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
54. -KLA-Tencor Corp.	A	Distribution	J	T	Sold (part)	12/28/16	J	A	
55. -L Brands Inc.	A	Distribution	J	T	Sold (part)	12/28/16	J	A	
56. -M&T Bank Corp.	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
57. -Merk & Co. Inc.	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
58. -Microsoft Corp.	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
59. -Mondelez Int'l	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
60. -Nisource Services Inc. (previously NsourceE)	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
61. -Pfizer Inc.	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
62. -Phillip Morris Int'l		None			Sold	12/28/16	J	A	
63. -PPG Industries, Inc.	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
64. -Procter & Gamble Co.	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
65. -Republic Services Inc		None	J	T	Buy	10/05/16	J		
66.		None	J	T	Sold (part)	12/28/16	J	A	
67. -Snap On	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
68. -T. Rowe Price Group Inc.	A	Dividend	J	T	Sold (part)	12/28/16	J	A	

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69. -The Travelers Companies Inc.	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
70. -Time Warner Inc.	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
71. -Validus Holdings Ltd.	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
72. -Verizon Communications	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
73. -William Sonoma Inc. (See VIII)		None			Sold	07/22/15	J	A	
74. -Wells Fargo & Co.	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
75. -Texas Instruments	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
76. -Johnson & Johnson (See VIII)	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
77. -Abbvie, Inc. (See VIII)	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
78. -Fidelity Nat'l Information	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
79. -Occidental Petroleum	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
80. -Edison Int'l	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
81. -PNC Fin. Services Inc.	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
82. -Bristol Meyers Squibb	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
83. -Illinois Tool Works	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
84. -DTE Energy Co. (See VIII)	A	Dividend	J	T	Sold (part)	03/01/16	J	A	
85. -Accenture PLC	A	Dividend	J	T	Sold (part)	12/28/16	J	A	

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86. -Air Products & Chemicals, Inc. (See VIII)		None			Sold	06/18/14	J	A	
87. -Analog Devices (See VIII)	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
88. -BB&T Corp.	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
89. -Marathon Petroleum (See VIII)		None			Sold	02/09/16	J	A	
90. -Northern Trust Corp.	A	Dividend	J	T	Sold (part)	01/20/16	J	A	
91. -US Bancorp Del.	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
92. -Comcast Corporation	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
93. -Dr. Pepper Snapple Group	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
94. -Honeywell Int'l	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
95. -Eli Lilly (See VIII)	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
96. -Columbia Pipeline Group (See VIII)	A	Dividend			Sold	06/20/16	J	A	
97. JP Morgan Chase Brokerage Account # 2 Header (See VIII) (TGA)									
98. -United Overseas Bank Ltd	A	Dividend	J	T					
99. -Vermilion Energy Inc	A	Dividend	J	T					
100. -Astrazeneca	A	Dividend	J	T					
101. -Ball Corp.		None			Buy	07/21/16	J		
102.		None			Sold	08/09/16	J	A	

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	(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)

103. -Roche Holdings	A	Dividend	J	T					
104. -Smiths Group PLC	A	Dividend	J	T					
105. -Bayer A.G.	A	Dividend			Sold	10/10/16	J	A	
106. -BHP Ltd	A	Dividend	J	T					
107. -BNP Paribas	A	Dividend	J	T					
108. -BOC Hong Kong Holdings	A	Dividend	J	T					
109. -British American Tobacco	A	Distribution	J	T					
110. -CNOOC Ltd	A	Dividend	J	T					
111. -Deutsche Telecom	A	Dividend	J	T	Sold (part)	01/07/16	J	A	
112. -Deutsche Post	A	Dividend			Sold	10/11/16	J	A	
113. -Diageo PLC - Sponsored ADR	A	Dividend	J	T					
114. -Engie	A	Dividend	J	T			J	A	
115. -Glaxo Smith Kline	A	Dividend	J	T					
116. -Imperial Brands PLC	A	Dividend	J	T	Sold (part)	08/24/16	J	A	
117. -ING Groep NV - Sponsored		None							
118. -Japan Tobacco	A	Dividend			Sold	05/16/16	J	A	
119. -JPM Tax Free	A	Dividend	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	

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Name of Person Reporting

Amon, Carol B.

Date of Report

05/15/2017

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)
120. -MTN Group Ltd		None			Sold	05/06/16	J	A	
121. -Muenchener Rueck	A	Dividend			Sold	10/10/16	J	A	
122. -Nestle SA	A	Dividend	J	T	Sold (part)	09/14/16	J	A	
123. -Nippon Tel.	A	Dividend	J	T	Sold (part)	07/20/16	J	A	
124. -Novartis	A	Dividend	J	T					
125. -Orkla ASA	A	Dividend	J	T	Sold (part)	01/12/16	J	A	
126. -Prosiebensat 1 Media SE	A	Dividend	J	T					
127. -Rexam Holdings LP	A	Distribution			Sold	07/21/16	J	A	
128. -Royal Dutch Shell PLC	A	Dividend	J	T					
129. -Sanofi	A	Dividend			Sold	12/07/16	J	A	
130. -Siemens Ag.	A	Dividend	J	T					
131. -Singapore Telecom	A	Dividend	J	T	Sold (part)	12/07/16	J	A	
132. -Sonic Healthcare Ltd	A	Dividend	J	T					
133. -SSE PLC (See VIII)	A	Dividend	J	T	Sold (part)	11/15/16	J	A	
134. -Statoil ASA (See VIII)	A	Dividend	J	T	Sold (part)	07/21/16	J	A	
135. -Telefonica Brasil SA		None							
136. -PT Telekomunikasi Ind	A	Dividend	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	

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Name of Person Reporting

Amon, Carol B.

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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)
137. -Total SA	A	Dividend	J	T					
138. -Unilever NV	A	Dividend	J	T	Sold (part)	11/15/16	J	A	
139. -Vodafone Group, PLC	A	Dividend	J	T	Sold (part)	07/20/16	J	A	
140. -Zurich Insurance Group	A	Dividend	J	T	Sold (part)	02/19/16	J	A	
141. -Honda Motors	A	Dividend	J	T	Sold (part)	05/16/16	J	A	
142. -UBS Group	A	Dividend	J	T					
143. -BCE Inc.	A	Dividend	J	T					
144. -BAE Systems	A	Dividend	J	T					
145. -ABB Ltd	A	Dividend	J	T					
146. -Michelin	A	Dividend			Sold	11/11/16	J	A	
147. -Manulife Financial Corp.	A	Dividend	J	T					
148. -MMC Norilsk Nickel PJSC		None	J	T					
149. -Allianz - SE		None			Sold	09/15/16	J	A	
150. JP Morgan Chase Brokerage Account # 3 Header (See VIII) (CBA)									
151. -Wisconsin Energy	A	Dividend			Sold	04/14/16	J	A	
152. -Int'l Paper	A	Dividend			Sold	04/14/16	J	A	
153. -E. I. DuPont	A	Dividend			Sold	04/14/16	J	A	

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	

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Amon, Carol B.

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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)
154. -Anheuser Busch		None			Sold	04/14/16	J	A	
155. -Nestle SA (Sponsored ADR)		None			Sold	04/14/16	J	A	
156. -Weyerheuser (Sponsored ADR)	A	Dividend			Sold	04/14/16	J	A	
157. -Schlumberger	A	Dividend			Sold	04/14/16	J	A	
158. -Wal-mart Stores	A	Dividend			Sold	04/14/16	J	A	
159. -Waste Management	A	Dividend			Sold	04/14/16	J	A	
160. -The Travelers Cos.	A	Dividend			Sold	04/14/16	J	A	
161. -Union Pacific	A	Dividend			Sold	04/14/16	J	A	
162. -United Health	A	Dividend			Sold	04/14/16	J	A	
163. -Verizon Com.	A	Dividend			Sold	04/14/16	J	A	
164. -Spectra Energy	A	Dividend			Sold	04/14/16	J	A	
165. -Texas Instruments	A	Dividend			Sold	04/14/16	J	A	
166. -Time Warner Inc.	A	Dividend			Sold	04/14/16	J	A	
167. -PepsiCo, Inc.	A	Dividend			Sold	04/14/16	J	A	
168. -Praxair Inc.	A	Dividend			Sold	04/14/16	J	A	
169. -Procter & Gamble	A	Dividend			Sold	04/14/16	J	A	
170. -Qualcomm	A	Dividend			Sold	04/14/16	J	A	

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	

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Name of Person Reporting

Amon, Carol B.

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05/15/2017

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)
171. -Raytheon	A	Dividend			Sold	04/14/16	J	A	
172. -MetLife (Whole Life)	A	Dividend			Sold	04/14/16	J	A	
173. -Microsoft	A	Dividend			Sold	04/14/16	J	A	
174. -Nextera	A	Dividend			Sold	04/14/16	J	A	
175. -Oracle	A	Dividend			Sold	04/14/16	J	A	
176. -PPG Industries	A	Dividend			Sold	04/14/16	J	A	
177. -Home Depot	A	Dividend			Sold	04/14/16	J	A	
178. -Intel Co.	A	Dividend			Sold	04/14/16	J	A	
179. -Johnson & Johnson	A	Dividend			Sold	04/14/16	J	A	
180. -Kimberly Clark	A	Dividend			Sold	04/14/16	J	A	
181. -Merck & Co.	A	Dividend			Sold	04/14/16	J	A	
182. -Comcast Corp.	A	Dividend			Sold	04/14/16	J	A	
183. -Costco	A	Dividend			Sold	04/14/16	J	A	
184. -Ecolab Inc.	A	Dividend			Sold	04/14/16	J	A	
185. -Exxon Mobil	A	Dividend			Sold	04/14/16	J	A	
186. -General Electric	A	Dividend			Sold	04/14/16	J	A	
187. -American Tower Corp.	A	Dividend			Sold	04/14/16	J	A	

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 \$5,000,000	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	

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Amon, Carol B.

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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.)

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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)
188. -Amgen Inc.	A	Dividend			Sold	04/14/16	J	A	
189. -Chevron	A	Dividend			Sold	04/14/16	J	A	
190. -American Express Company	A	Dividend			Sold	04/14/16	J	A	
191. -Apple Inc.	A	Dividend			Sold	04/14/16	J	A	
192. -Automatic Data Processing Inc. (Previously ADP)	A	Dividend			Sold	04/14/16	J	A	
193. -Bank New York Mellon Corp.	A	Dividend			Sold	04/14/16	J	A	
194. -C H Robinson Worldwide Inc.	A	Dividend			Sold	04/14/16	J	A	
195. -California Resources					Sold	04/14/16	J	A	
196. -Walt Disney Co.	A	Dividend			Sold	04/14/16	J	A	
197. -Eaton Corporation PLC		None			Sold	04/14/16	J	A	
198. -Occidental Pet. Corp.	A	Dividend			Sold	04/14/16	J	A	
199. -3M Company	A	Dividend			Sold	04/14/16	J	A	
200. -United Parcel Service Inc.	A	Dividend			Sold	04/14/16	J	A	
201. -WEC Energy Group Inc.	A	Dividend			Sold	04/14/16	J	A	
202. -Chemours Company	A	Dividend			Sold	04/14/16	J	A	
203. JP Morgan Advisory Account # 4 (CBA)	C	Dividend	N	T					
204. -SPDR Barclays High Yield Bond ETF		None			Sold	03/22/16	J	A	

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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Name of Person Reporting

Amon, Carol B.

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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)
205. -Invesco Asia Pacific Growth	A	Dividend	J	T					
206. -Double Line FDS	A	Dividend	J	T					
207. -iShares Russell 2000 ETF	A	Dividend	J	T					
208. -iShares New York Muni Bond	A	Dividend	J	T					
209. -iShares IBOXX \$ High Yield Corporate Bond ETF	A	Dividend	J	T					
210. -iShares Select Dividend ETF	A	Dividend	J	T					
211. -Lord Abbett Short Duration Income Fund	A	Dividend	J	T					
212. -Pimco High Yield Fund		None			Sold	01/14/16	J	A	
213. -Pimco High Yield Fund Instl C1	A	Dividend	J	T	Buy	03/24/16	J		
214. -Vanguard S&P 500 ETF	A	Dividend	J	T					
215. -Vanguard Total Bond Market ETF	A	Dividend	J	T					
216. -Powershares QQQ Trust Series 1	A	Dividend	J	T					
217. -Guggenheim S&P 500 Equal Weight ETF	A	Dividend	J	T					
218.									
219.									
220.									
221.									

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 \$5,000,000	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	

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Name of Person Reporting

Amon, Carol B.

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05/15/2017

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☐ NONE (No reportable income, assets, or transactions.)

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	(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)
222.									
223.									
224.									
225.									
226.									
227.									
228.									
229.									
230.									
231.									
232.									
233.									

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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Amon, Carol B.

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

Re: Part VII

Various Items on VII - Multiple transactions were made, none of which were over \$1,000. Therefore, for complete reporting purposes, the most recent transaction (even if under \$1,000) was listed.

Item 15 - Market value of vested options less exercise on 12/31/16.

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 22 - Asset Management Company.

Item 27 - Managed Asset Account of Spoleto Corp.

Item 73 - Sold in 2015 (See 2015 Amended Report)

Item 86 - Sold in 2014 (See 2014 Amended Report)

Item 87 - Managed Asset Account - (TGA)

Item 150 - Managed Asset Account - (CBA)

Item 203 - Advisory Account - (JPMorgan Securities) (CBA)

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Amon, Carol B.

Date of Report

05/15/2017

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