

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) Thapar, Amul R.	2. Court or Organization U.S. District Court EDKY	3. Date of Report 08/15/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active District Judge	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 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	Northern Kentucky Catholic Charities
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.		
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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2013	Chase College of Law Northern Kentucky University (Adjunct Professor)	\$17,150.00
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.)*

DATE	SOURCE 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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. University of Virginia Law	1/13/13 to 1/17/13	Charlottesville, VA	Teaching J Term Course	Travel, meals, hotel
2. University of Virginia Law	2/22/13 to 2/24/13	Charlottesville, VA	Judge Moot Court	Travel, meals, hotel
3. Duke University Federalist Society	4/1/13 to 4/2/13	Durham, NC	Speaker	Travel, meals, hotel
4. Yale University Federalist Society	4/16/13 to 4/17/13	New Haven, CT	Speaker	Travel, meals, hotel
5. Columbus Bar Association	10/8/13	Columbus, OH	Speaker	Travel and meal
6. Columbia Law School Federalist Society	10/28/13	New York, NY	Speaker	Travel and meal

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7.	University of Chicago and University of Notre Name Federalist Society	2/10/13 to 2/12/13	Chicago, IL and South Bend, IN	Speaker	Travel, meals, hotel
8.					

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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 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)

1. Capital One	A	Interest	K	T					
2. Vanguard Prime Money Market	A	Interest	J	T					
3. TD Bank USA (Ameritrade Money Market)	A	Interest	J	T					
4. Fifth Third Bank (Checking Acct.)	A	Interest	J	T					
5. Paypal Inc. (Money Market)	A	Interest	J	T					
6. Under Armour (UA) Common		None	J	T					
7. Nuance Comm. Inc. (NUAN) Common		None	J	T					
8. Google (GOOG) Common		None	J	T	Buy	06/11/13	J		
9. Dreamworks Animation (DWA) Common		None	J	T					
10. Nike Inc. (NKE) Common	A	Dividend	J	T					
11. Nintendo Corporation (NTDOY) Common	A	Dividend			Closed	03/21/13	J		
12. Borg Warner (BWA) Common	A	Dividend	J	T					
13. BJ Restaurants, Inc. (BJRI) Common		None	J	T					
14. Netflix (NFLX) Common		None	J	T	Buy	04/16/13	J		
15. LinkedIn (LNKD) Common		None	J	T	Buy	05/29/13	J		
16. Chipotle Mexican Grill Inc. (CMG/B) Common		None	J	T	Buy (add'l)	02/19/13	J		
17. Disney Corp (DIS) Common	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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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				
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18. Activision Blizzard, Inc. (ATVI) Common	A	Dividend	J	T					
19. Tesla (TSLA) Motors		None			Closed	07/18/13	J	C	
20. Labcorp Holdings (LH) Common		None	J	T					
21. Whole Foods Market (WFM) common	A	Dividend	J	T	Buy	02/19/13	J		
22. Whole Foods Market (WFM) Common	A	Dividend	J	T	Buy (add'l)	3/21/13	J		
23. Vail Resorts (MTN) Common	A	Dividend	J	T	Buy	5/23/13	J		
24. Urban Outfitters (URBN) Common		None	J	T	Buy	7/19/13	J		
25. Texas Roudhouse (TXRH) Common	A	Dividend	J	T	Buy	8/19/13	J		
26. Sierra Wireless (SWIR) Common		None	J	T	Buy	11/13/13	J		
27. Fannie Mae (FNM) Common	A	Dividend	J	T					
28. Hasboro Corp. (HAS) Common	A	Dividend	J	T					
29. National Grocers by Vitamin Cottage (NGVC) Common		None	J	T	Buy	4/15/13	J		
30. Apple Inc. (AAPL) Common	A	Dividend	J	T					
31. Berkshire Hathaway Inc. Del Class B (BRK.B) Common		None	K	T					
32. Costco Wholesale Corp. (COST) Common	A	Dividend	J	T					
33. Exxon Mobil Corp (XOM) Common	A	Dividend	J	T					
34. Flamel Tech Spon ADR (FLML) Common		None	J	T					

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35. Markel Corp. (MKL) Common		None	J	T					
36. Buffalo Wild Wings (BWLD) Common		None	J	T	Buy (add'l)	08/19/13	J		
37. CTRIP.com International (CTRP) Common	A	Dividend	J	T					
38. Panera Bread (PNRA) Common		None	J	T					
39. Tibco Software Inc. (TIBX) Common		None	J	T					
40. Altria Group Inc. (MO) Common	A	Dividend	J	T					
41. Chesapeake (CHK)	A	Dividend	J	T					
42. Federated Investors Inc. (FII) Common	A	Dividend	J	T					
43. Kraft Foods Inc. (KFT) Common	A	Dividend	J	T					
44. Phillip Morris International (PM)	A	Dividend	J	T					
45. Generac Holdings (GNRC) Common		None	J	T	Buy	11/15/13	J		
46. Mastercard (MA) Common	A	Dividend	J	T	Buy	4/25/13	J		
47. McDonalds (MCD) Common	A	Dividend	J	T					
48. National Oilwell Varco, Inc. (NOV) Common	A	Dividend	J	T	Buy (add'l)	02/20/13	J		
49. Vanguard 500 Index Funds	A	Dividend	J	T					
50. Vanguard Windsor Portfolio	A	Dividend	K	T					
51. Vanguard Value Index Portfolio	A	Dividend	J	T					

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

The Vanguard Windsor and Value funds are part of a 529 plan. We invest monthly in the plans, but the monthly amounts invested are less than the reporting requirement. Also, our McDonalds shares reinvest their dividends in McDonalds stocks, but this well below the reporting requirements.

Cryptologic, Inc. was sold in 2012 and should not have been reported in my 2013 report.

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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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