

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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 7/14/2012
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 01/01/2011 to 12/31/2011
7. Chambers or Office Address United States District Court 310 S. Main Street, Suite 444 London, Kentucky 40741		
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. Insert signature on last page.		

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2011	Chase College of Law Northern Kentucky University (Adjunct Professor)	\$2,000.00
2. 2011	Vanderbilt University School of Law	\$10,000.00
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.	
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. University of Virginia Law School Moot Court	2/17/2011 to 2/20/2010	Charlottesville, VA	Judged Moot Court at Law School	Travel, meals, hotel
2. New York University School of Law Public Interest Center	3/7/2011 to 3/8/2011	New York, New York	Speaker at Public Interest Mtg	Travel, meals, hotel
3. Yale Law School Federalist Society	3/8/2011 to 3/9/2011	New Haven, CT	Speaker	Travel, meals, hotel
4. Kansas City South Asian Bar Association	7/29/2011 to 7/30/2011	Kansas City, MO	Speaker	Travel, meal, hotel
5. Vanderbilt University School of Law	10/10/2011 to 10/15/2011	Nashville, TN	Taught 1 credit seminar	Travel, meals, hotel

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

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.)*CREDITORDESCRIPTIONVALUE 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. ING Direct Accounts	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. Dreamworks Animation (DWA) Common		None	J	T					
9. Nike Inc. (NKE) Common	A	Dividend	J	T	Buy	1/4/11	J		
10. Nintendo Corporation (NTDOY) Common	A	Dividend	J	T					
11. Chipotle Mexican Grill Inc. (CMG/B) Common		None	J	T					
12. Disney Corp (DIS) Common	A	Dividend	J	T					
13. Activision Blizzard, Inc. (ATVI) Common	A	Dividend	J	T					
14. Amazon (AMZN) Common		None	J	T					
15. Labcorp Holdings (LH) Common		None	J	T					
16. Fannie Mae (FNM) Common	A	Dividend	J	T					
17. Hasbro Corp. (HAS) 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 \$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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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. Home Depot Inc. (HD) Common	A	Dividend	J	T					
19. Montpelier Re Holdings Ltd (MRH) Common	A	Dividend	J	T					
20. Sanderson Farms Inc. (SAFM) Common	A	Dividend	J	T					
21. United Fire & Casualty Company (UFCS) Common	A	Dividend	J	T					
22. Apple Inc. (AAPL) Common		None	J	T					
23. Berkshire Hathaway Inc. Del Class B (BRK.B) Common		None	K	T					
24. Costco Wholesale Corp. (COST) Common	A	Dividend	J	T					
25. Cryptologic Inc. (CRYP) Common	A	Dividend	J	T					
26. Exxon Mobil Corp (XOM) Common	A	Dividend	J	T					
27. Flamel Tech Spon ADR (FLML) Common		None	J	T					
28. Intel Corp. (INTC) Common	A	Dividend	J	T					
29. Markel Corp. (MKL) Common		None	J	T					
30. Microsoft Corp. (MSFT) Common	A	Dividend	J	T					
31. Buffalo Wild Wings (BWLD) Common		None	J	T					
32. CTRIP.com International (CTRP) Common	A	Dividend	J	T					
33. Formfactor Inc. (FORM) Common		None			Closed	7/25/11	J		
34. Panera Bread (PNRA) Common		None	J	T	Buy	07/25/11	J		

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(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	
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35. Loopnet, Inc (Loop) Common (X)		None			Closed	7/25/11	J		
36. Tibco Software Inc. (TIBX) Common		None	J	T	Buy	7/25/11	J		
37. Southwest Airlines (LUV) Common	A	Dividend	J	T					
38. Rofin-Sinar Technologies Inc. (RSTI) Common		None			Closed	7/25/11	J		
39. United Health Group Inc. (UNH) Common	A	Dividend	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. Pfizer Inc. (PFE) Common	A	Dividend	J	T					
44. Kraft Foods Inc. (KFT) Common	A	Dividend	J	T					
45. Medco Health Solutions (MHS) Common		None	J	T					
46. Phillip Morris International (PM)	A	Dividend	J	T					
47. McDonalds (MCD) Common	A	Dividend	J	T					
48. National Oilwell Varco, Inc. (NOV) Common	A	Dividend	J	T					
49. Nokia Corp (NOK) Common	A	Dividend	J	T					
50. Vanguard 500 Index Funds	A	Dividend	J	T					
51. Vanguard Windsor Portfolio	A	Dividend	J	T					

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

The Vanguard Windsor Fund is part of a 529. We invest monthly through automatic withdrawal in 529. I was not sure how to reflect this on the statement.

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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
Suite 2-301
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Washington, D.C. 20544