

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) KEARSE, AMALYA L.	2. Court or Organization U.S. COURT OF APPEALS FOR THE SECOND CIRCUIT	3. Date of Report 04/10/2012
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 01/01/2011 to 12/31/2011
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. Insert signature on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Trustee, Director	Kearse 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. Kearse: Return of July 1979 Capital
2.	
3.	

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Name of Person Reporting

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.)*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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Name of Person Reporting

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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		None	J	W					
2. Int'l Constructors Ptnp	A	Interest	J	W					
3. T.Rowe Price Eq Inc Mutual Fund	A	Dividend	J	T					
4. Janus Twenty Mutual Fund	A	Dividend	J	T					
5. IRA Janus Fund	A	Dividend	J	T					
6. IRA Perkins Mid-Cap Value Fund. See Note	C	Dividend	L	T	Distributed (part)	12/22/11	J		
7. IRA T.Rowe Price Mid-Cap Value Fund	B	Dividend	K	T					
8. Janus Money Market Fund	A	Dividend	J	T					
9. T.Rowe Price Money Market Fund	A	Dividend	J	T					
10. T.Rowe Price Mid-Cap Growth Fund	D	Distribution	L	T					
11. Citibank Money Market	A	Interest	J	T					
12. JP Morgan Clearing Corp.Money Market Fund	A	Interest	J	T					
13. IndyMac Bancorp common		None	J	T					
14. Selected American Shares	A	Dividend	J	T	Sold (part)	4/26/11	J	C	
15. Selected Int'l Fund See Note	A	Dividend			Sold (part)	4/26/11	J	A	
16. Selected Int'l Fund See Note	A	Dividend			Sold	7/27/11	J		
17. T.Rowe Price Media & Telecom. Fund	A	Dividend	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 = \$15,000 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	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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

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18. Cisco Systems common	A	Dividend			Sold	4/7/11	K		
19. Intel Corp. common See Note	A	Dividend	K	T					
20. Perkins Mid-Cap Value Fund (non-IRA)	A	Dividend	J	T					
21. Citadel Broadcasting Co. common		None	J	T					
22. American Express Money Market Fund See Note	A	Interest			Closed	11/19/11	J		
23. T. Rowe Price Small Cap Value Fund	A	Dividend	J	T					
24. Sociedad Quimica y Minera common See Note	A	Dividend	K	T					
25. YUM Brands Inc. common	B	Dividend	L	T					
26. Activision Blizzard Inc. common	A	Dividend	K	T					
27. Nvidia Corp. common		None	J	T					
28. Infinera Corp. common		None	J	T	Buy	8/17/11	J		
29. China Digital TV Holding Co. common		None	J	T	Buy	4/28/11	J		
30. China Digital TV Holding Co. common		None	J	T	Buy	10/14/11	J		
31. Energy Solutions Inc. common		None	J	T	Buy	8/17/11	J		
32. Energy Solutions Inc. common		None	J	T	Buy	10/14/11	J		
33. American Reprographics Co. common		None	J	T	Buy	8/17/11	J		
34. American Reprographics Co. common		None	J	T	Buy	10/14/11	J		

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35. Power One Inc. common		None	J	T	Buy	4/28/11	J		
36.									
37.									

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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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.

Line #6: Re: IRA Perkins Mid-Cap Value Fund: Under the Internal Revenue Code, a distribution of IRA assets was required; the amount distributed is indicated in column D(3).

Lines 15 & 16: Selected International Fund was formerly called Selected Special Shares. Although only part of the Selected International Fund was sold on 4/26/11, columns C(1) and (2) are left blank on Line 15 because, as indicated on Line 16, the remainder of that Fund was sold on 7/27/11, and that asset had no value at the end of the reporting period.

Line #19: Some shares of Intel Corp. purchased in 2006 were donated to charity on November 1, 2011.

Line #22: American Express terminated its rebate money market program in November 2011; all funds in that account were transferred to a bank account prior to the end of 2011, and the account was closed.

Line #24: Some shares of Sociedad Quimica y Minera purchased in 2010 were donated to charity on May 2, 2011.

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