AO 10
Rev. 3/2023

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

*Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)*

| 1. Person Reporting (last name, first, middle initial) | 2. Court or Organization | 3. Date of Report |
|---|---|---|
| Amon, Carol B. | U.S. District Court, E.D.N.Y. | 08/01/2024 |
| **4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)** | **5a. Report Type (check appropriate type)** | **6. Reporting Period** |
| Article III Judge (senior) | ☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☑ Amended Report | 01/01/2021<br>**to**<br>12/31/2021 |
| **7. Chambers or Office Address** | | |
| 225 Cadman Plaza East<br>Room 908S<br>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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☑ NONE *(No reportable positions.)*

| | POSITION | NAME OF ORGANIZATION/ENTITY |
|---|---|---|
| 1. | | |
| 2. | | |
| 3. | | |
| 4. | | |
| 5. | | |

## II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements.)*

☑ NONE *(No reportable agreements.)*

| | DATE | PARTIES AND TERMS |
|---|---|---|
| 1. | | |
| 2. | | |
| 3. | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Amon, Carol B.** | 08/01/2024 |

## III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

### A. Filer's Non-Investment Income

☑ NONE *(No reportable non-investment income.)*

| | DATE | SOURCE AND TYPE | INCOME (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.)*

| | DATE | SOURCE |
|---|---|---|
| 1. | 2021 | Law Office of Thomas G. Amon - Non-investment Income Pension Plan |
| 2. | 2021 | Law Office of Thomas G. Amon - Non-investment Profit-sharing Plan |
| 3. | | |
| 4. | | |

## IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

*(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable reimbursements.)*

| | SOURCE | DATES | LOCATION | PURPOSE | ITEMS PAID OR PROVIDED |
|---|---|---|---|---|---|
| 1. | | | | | |
| 2. | | | | | |
| 3. | | | | | |
| 4. | | | | | |
| 5. | | | | | |

| Name of Person Reporting | Date of Report |
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| **Amon, Carol B.** | 08/01/2024 |

## V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

| | SOURCE | DESCRIPTION | VALUE |
|---|---|---|---|
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

## VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☐ NONE *(No reportable liabilities.)*

| | CREDITOR | DESCRIPTION | VALUE CODE |
|---|---|---|---|
| 1. | Passumpsic Bank | Mortgage of rental property - Newport, VT - rental income generated in 2021 | M |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

| Name of Person Reporting | Date of Report |
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| **Amon, Carol B.** | 08/01/2024 |

## VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (1) Amount Code 1 (A-H) | B. (2) Type (e.g., div., rent, or int.) | C. Gross value at end of reporting period (1) Value Code 2 (J-P) | C. (2) Value Method Code 3 (Q-W) | D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption) | D. (2) Date mm/dd/yy | D. (3) Value Code 2 (J-P) | D. (4) Gain Code 1 (A-H) | |
|---|---|---|---|---|---|---|---|---|---|
| 1. IRA Accts Citibank, [redacted] (See VIII) | D | Dividend | M | T | Redeemed (part) | 04/01/21 | J | B | |
| 2. Law Partnership Cap Acct | | None | N | T | | | | | |
| 3. Citibank N.A. Money Market | C | Interest | M | T | | | | | |
| 4. Merrill Lynch CMA Account (H) (See VIII) | | | | | | | | | |
| 5. Invesco/Midcap Growth | A | Dividend | K | T | | | | | |
| 6. Fidelity Adv Equity Growth | A | Dividend | L | T | | | | | |
| 7. Fidelity Adv Tech Fund | A | Dividend | K | T | | | | | |
| 8. MFS Moderate Allocation | B | Dividend | N | T | | | | | |
| 9. Johnson & Johnson | A | Dividend | J | T | | | | | |
| 10. 1919 Financial Services Fund Class C | A | Dividend | J | T | | | | | |
| 11. ClearBridge Large Cap | A | Dividend | J | T | | | | | |
| 12. Chase Select Checking | B | Interest | M | T | | | | | |
| 13. Passumpsic Bank (See VIII) | A | Interest | J | T | | | | | |
| 14. Encore Networks Inc. (See VIII) | | None | M | T | | | | | |
| 15. Rental Property Brooklyn, NY | D | Rent | P1 | R | | | | | |
| 16. Rental Property Newport, VT (See VIII) | D | Rent | N | R | | | | | |
| 17. AXA Equitable Variable Life Policy (See VIII) | B | Interest | J | T | | | | | |

1. Income Gain Codes: (See Columns B1 and D4)
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; 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 (See Columns C1 and D3)
J =$15,000 or less; 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 (See Column C2)
Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

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☐ 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 (1) Amount Code 1 (A-H) | B. (2) Type (e.g., div., rent, or int.) | C. Gross value at end of reporting period (1) Value Code 2 (J-P) | C. (2) Value Method Code 3 (Q-W) | D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption) | D. (2) Date mm/dd/yy | D. (3) Value Code 2 (J-P) | D. (4) Gain Code 1 (A-H) | |
|---|---|---|---|---|---|---|---|---|---|
| 18. Invesco Tech Fund | A | Dividend | J | T | | | | | |
| 19. Sonic Mountain Inc. | | None | K | U | | | | | |
| 20. Citibank CD | A | Interest | J | T | | | | | |
| 21. Spoleto Corp. (See VIII) | C | Interest | N | T | | | | | |
| 22. Pimco Total Return Fund (Bonds) | A | Interest | M | T | | | | | |
| 23. Franklin Rising Dividends FD Class A | A | Dividend | L | T | | | | | |
| 24. Walnut Street Finance, LLC | | None | L | T | Redeemed (part) | 04/15/21 | K | | |
| 25. Military Talent Group, Inc. | | None | P1 | T | | | | | |
| 26. Airborne Wireless Network | | None | J | T | | | | | |
| 27. Wilson Davis Accounts # 1 (H) (See VIII) | | | | | | | | | |
| 28. -Microsoft | A | Dividend | J | T | | | | | |
| 29. -Apple | | None | J | T | | | | | |
| 30. - BOTS, Inc. | | None | O | T | Sold (part) | 07/09/21 | J | B | |
| 31. | | | | | Sold (part) | 07/12/21 | J | B | |
| 32. | | | | | Sold (part) | 07/13/21 | J | B | |
| 33. | | | | | Sold (part) | 07/14/21 | J | B | |
| 34. | | | | | Sold (part) | 07/15/21 | J | B | |

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|---|---|---|---|---|---|---|---|---|---|
| 35. | | | | | Sold (part) | 07/16/21 | J | B | |
| 36. | | | | | Sold (part) | 07/19/21 | J | A | |
| 37. | | | | | Sold (part) | 07/19/21 | J | B | |
| 38. | | | | | Sold (part) | 07/20/21 | J | A | |
| 39. | | | | | Sold (part) | 07/20/21 | J | B | |
| 40. | | | | | Sold (part) | 07/21/21 | J | B | |
| 41. | | | | | Sold (part) | 07/23/21 | J | B | |
| 42. | | | | | Sold (part) | 07/26/21 | J | B | |
| 43. | | | | | Sold (part) | 07/27/21 | J | C | |
| 44. | | | | | Sold (part) | 07/28/21 | J | B | |
| 45. | | | | | Sold (part) | 11/30/21 | J | B | |
| 46. | | | | | Sold (part) | 12/01/21 | J | B | |
| 47. | | | | | Sold (part) | 12/02/21 | J | B | |
| 48. | | | | | Sold (part) | 12/02/21 | J | C | |
| 49. | | | | | Sold (part) | 12/03/21 | J | C | |
| 50. | | | | | Sold (part) | 12/06/21 | J | B | |
| 51. | | | | | Sold (part) | 12/08/21 | J | A | |

1. Income Gain Codes: (See Columns B1 and D4) — 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; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000
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|---|---|---|---|---|---|---|---|---|---|
| 52. | | | | | Sold (part) | 12/09/21 | J | B | |
| 53. | | | | | Sold (part) | 12/10/21 | J | C | |
| 54. | | | | | Sold (part) | 12/13/21 | J | B | |
| 55. | | | | | Sold (part) | 12/14/21 | J | B | |
| 56. | | | | | Sold (part) | 12/14/21 | J | B | |
| 57. | | | | | Sold (part) | 12/15/21 | J | B | |
| 58. | | | | | Sold (part) | 12/16/21 | J | B | |
| 59. | | | | | Sold (part) | 12/17/21 | J | B | |
| 60. | | | | | Sold (part) | 12/20/21 | J | B | |
| 61. | | | | | Sold (part) | 12/21/21 | J | C | |
| 62. | | | | | Sold (part) | 12/22/21 | J | C | |
| 63. | | | | | Sold (part) | 12/23/21 | J | A | |
| 64. | | | | | Sold (part) | 12/23/21 | J | B | |
| 65. | | | | | Sold (part) | 12/27/21 | J | B | |
| 66. | | | | | Sold (part) | 12/28/21 | J | B | |
| 67. | | | | | Sold (part) | 12/29/21 | J | A | |
| 68. | | | | | Sold (part) | 12/30/21 | J | B | |

1. Income Gain Codes: (See Columns B1 and D4)
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C =$2,501 - $5,000
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H1 =$1,000,001 - $5,000,000
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2. Value Codes (See Columns C1 and D3)
J =$15,000 or less
K =$15,001 - $50,000
L =$50,001 - $100,000
M =$100,001 - $250,000
N =$250,001 - $500,000
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3. Value Method Codes (See Column C2)
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|---|---|---|---|---|---|---|---|---|---|
| 69. | | | | | Sold (part) | 12/31/21 | J | B | |
| 70. Fidelity Independence Fund | A | Dividend | K | T | | | | | |
| 71. Fidelity Technology Fund | A | Dividend | K | T | | | | | |
| 72. JPMorgan Brokerage Account # 3 (CBA) (H) (See VIII) | | | | | | | | | |
| 73. JPMorgan 100% US Treasuries Securities Money Market Fund | A | Dividend | L | T | | | | | |
| 74. JPMorgan Advisory (See VIII) Horizen Account (CBA) # 4 | | | | | | | | | |
| 75. -Invesco Asia Pacific Growth | A | Dividend | J | T | | | | | |
| 76. -IShares New York Muni Bond | A | Dividend | J | T | | | | | |
| 77. - Lord Abbett Shrt Duration Income Fund | A | Dividend | | | Sold | 10/28/21 | K | A | |
| 78. -Pimco High Yield Fund Instl C1 | A | Dividend | J | T | | | | | |
| 79. -Vanguard S&P 500 ETF | A | Dividend | K | T | | | | | |
| 80. -Vanguard Total Bond Market ETF | A | Dividend | | | Sold | 12/07/21 | J | A | |
| 81. -Invesco QQQ Trust Series 1 (f/k/a Powershares QQQ) | A | Dividend | L | T | | | | | |
| 82. -Invesco S&P 500 Equal Weight ETF | A | Dividend | K | T | | | | | |
| 83. -Vanguard Index Fund Small Cap ETF | | | J | T | Buy | 12/07/21 | J | | |
| 84. -Lord Abbett Invt Tr Fltg Rate | | | K | T | Buy | 10/28/21 | K | | |
| 85. -JP Morgan Deposit Acct A | A | Interest | K | T | | | | | |

1. Income Gain Codes: (See Columns B1 and D4)
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2. Value Codes (See Columns C1 and D3)
J =$15,000 or less K =$15,001 - $50,000 L =$50,001 - $100,000 M =$100,001 - $250,000
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|---|---|---|---|---|---|---|---|---|---|
| 86. -DoubleLine FDS TR | A | Dividend | K | T | | | | | |
| 87. -Invesco Exchange Traded Fund | A | Dividend | L | T | | | | | |
| 88. -JPM 100% US Treas. Sec MM | A | Interest | J | T | | | | | |
| 89. -Columbia Convert Securities Fund | A | Interest | J | T | | | | | |
| 90. -Vanguard Value Fund ETF | A | Dividend | J | T | | | | | |
| 91. -Lord Abbett BD Deb FD Inc. | A | Dividend | K | T | | | | | |
| 92. -Vanguard Spec. Fund | A | Dividend | K | T | | | | | |
| 93. NYS 529 College Savings Account (See VIII) | A | Dividend | K | T | | | | | |
| 94. Etrade Account (See VIII) | | | | | | | | | |
| 95. -Palo Alto Networks, Inc. | | None | J | T | Buy | 02/10/21 | J | | |
| 96. -Disney | | None | J | T | Buy | 03/04/21 | J | | |
| 97. -PayPal Holdings | | None | J | T | Buy | 02/10/21 | J | | |
| 98. -Skyworks Solutions | | None | J | T | Buy | 02/10/21 | J | | |
| 99. | | | | | | | | | |

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|---|---|
| **Amon, Carol B.** | 08/01/2024 |

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

Re: Part VII
Item 1 - IRA Accts Citibank, [redacted] - Fidelity Advisor Stock Selector All Cap Fund Class A
Item 4 - Merrill Lynch CMA Account (CBA) - Master Account Holding Items 5 - 11 and 18
Item 13 - Passumpsic Bank - [redacted] - Account opened on 5/15/18
Item 14 - Market value of vested options less exercise on 12/31/21
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 21 - Consulting and Investment Company
Item 27 - Managed Brokerage Account (TGA)
Item 72- Managed Asset Brokerage Account - (JPMorgan Securities) (CBA)
Item 74 - Advisory Horizen Managed Account - (JPMorgan Securities) (CBA)
Item 93 - Investment with Vanguard Aggressive Growth Funds (TGA)
Item 94 - Managed Brokerage Account (TGA)

Amendments
Part II - Eliminated entries as not for the reporting indvidual
Part VII
- Item 18 - AIM renamed Invesco Technology Fund
- Former Item 77 - IShares IBOXX removed - Sold 4/11/19
- Item 81 - Name changed from Powershares to Invesco
- Item 82 - Name changed from Guggenheim to Invesco
- Item 89 - Typo of name Columbia Convert Securities Fund, not Columbia Convert Bond Fund
- Former Item 93 - IShares Select Div removed - sold in 2020
- Former Item 94 - IShares Russell 2000 ETF removed - sold in 2020

| Name of Person Reporting | Date of Report |
|---|---|
| **Amon, Carol B.** | 08/01/2024 |

## 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. § 13141 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. § 13106)**

Committee on Financial Disclosure
Administrative Office of the United States Courts
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