AO 10
Rev. 1/2021

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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)	2. Court or Organization	3. Date of Report
Amon, Carol B.	U.S. District Court, E.D.N.Y.	06/20/2022
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 ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
225 Cadman Plaza East Room 908S 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.	1/1/2002	Law Office of Thomas G. Amon - Chase Manhattan Bank Defined Benefit Pension Plan
2.	1/1/2002	Law Office of Thomas G. Amon - Chase Manhattan Bank Defined Benefit Profit-Sharing Plan
3.		

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Amon, Carol B.	06/20/2022

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.			
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.	2021	Law Office Thomas G. Amon - Non-investment Income Pension Plan
2.	2021	Law Office Thomas G. Amon - Non-investment Income Profit-sharing Plan
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.					
2.					
3.					
4.					
5.					

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Amon, Carol B.	06/20/2022

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
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.)*

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

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Amon, Carol B.	06/20/2022

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. IRA Accts Citibank, [redacted] (See VIII)	D	Dividend	M	T	Redeemed (part)	04/01/21	J	B	
2. Law Partnership Cap Acct - JPM Chase		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. Fidelty Adv Equity Growth	A	Dividend	L	T					
7. Fidelty 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) 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
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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

Name of Person Reporting	Date of Report
Amon, Carol B.	06/20/2022

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. Aim Technology	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 Account # 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	

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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Amon, Carol B.	06/20/2022

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)
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	
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		
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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	

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	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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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. JP Morgan Brokerage Account # 3 ([redacted] (H) (See VIII) (H) (See VIII)									
73. JP Morgan 100% U.S. Treasuries Securtities Money Market Fund	A	Dividend	L	T					
74. JP Morgan Advisory (See VIII) Horizen Account ([redacted])#4 Account ([redacted] #4									
75. -Invesco Asia Pacific Growth	A	Dividend	J	T					
76. -IShares New York Muni Bond	A	Dividend	J	T					
77. -IShares IBOXX $ High Yield Corporate Bond ETF	A	Dividend	J	T					
78. -Lord Abbett Shrt Duration Income Fund	A	Dividend			Sold	10/28/21	K	A	
79. -Pimco High Yield Fund Inst1 C1	A	Dividend	J	T					
80. -Vanguard S&P 500 ETF	A	Dividend	K	T					
81. -Vanguard Total Bond Market ETF	A	Dividend			Sold	12/07/21	J	A	
82. -Powershares QQQ Trust Series 1	A	Dividend	L	T					
83. -Guggenheim S&P 500 Equal Weight ETF	A	Dividend	K	T					
84. -Vanguard Index Fund Small Cap ETF			J	T	Buy	12/07/21	J		
85. -Lord Abbett Invt Tr Fltg Rate			K	T	Buy	10/28/21	K		

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86. -JP Morgan Deposit Acct A	A	Interest	K	T					
87. -DoubleLine FDS TR	A	Dividend	K	T					
88. -Invesco Exchange Traded Fund	A	Dividend	L	T					
89. -JPM 100% U.S. Treas Sec MM	A	Interest	J	T					
90. -Columbia Convert Bond Fund	A	Interest	J	T					
91. -Vanguard Value Fund ETF	A	Dividend	J	T					
92. -Lord Abbett BD Deb FD Inc.	A	Dividend	K	T					
93. -IShares Select Div.	A	Dividend			Sold	04/24/21	J	B	
94. -IShares Russell 2000 ETF	A	Dividend			Sold	04/24/21	J	B	
95. -Vanguard Spec. Fund	A	Dividend	K	T					
96. NYS 529 College Savings Account (See VIII)	A	Dividend	K	T					
97. Etrade Account (See VIII)									
98. -Palo Alto Networks, Inc.		None	J	T	Buy	02/10/21	J		
99. -Disney		None	J	T	Buy	03/04/21	J		
100. -PayPal Holdings		None	J	T	Buy	02/10/21	J		
101. -Skyworks Solutions		None	J	T	Buy	02/10/21	J		

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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; 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

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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 ([redacted]) - Master Account Holding Items 5 - 11
Item 13 - Passumpsic Bank - [redacted] Account opened on 5/15/18
Item 14 - Market value of vested options less exercise on 12/31/20
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 ([redacted])
Item 72 - Managed Asset Brokerage Account - (JPMorgan Securities) ([redacted])
Item 74 - Advisory Horizen Managed Account - (JPMorgan Securities) ([redacted])
Item 96 - Investment with Vanguard Aggressive Growth Funds ([redacted])
Item 97 - Managed Brokerage Acount ([redacted])

Name of Person Reporting	Date of Report
Amon, Carol B.	06/20/2022

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