AO 10
Rev. 1/2018

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2017

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. Court of Appeals for the Sixth Circuit	**3. Date of Report** 5/10/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active Circuit Judge	**5a. Report Type (check appropriate type)** ☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	**6. Reporting Period** 01/01/2017 to 12/31/2017

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.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	National Advisory Council	North American South Asian Bar Association
2.	Board Member	Heyburn Initiative for Judicial Excellence
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see pp. 14-16 of filing instructions.)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

Name of Person Reporting	Date of Report
Thapar, Amul R.	5/10/2018

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. 2017	Chase College of Law Northern Kentucky University (Adjunct Professor)	$10,000.00
2. 2017	University of Virginia Law School	$4,000.00
3. 2017	Vanderbilt University Law School	$10,000.00
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. 2017	Self-employed Real Estate Agent -- commissions on sales and rentals
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.	Vanderbilt University Law School	1/10/17 to 1/11/17	Nashville, TN	Speaker	Travel, meals, hotel
2.	University of Virginia Law School	1/15/17 to 1/19/17	Charlottesville, VA	Teaching	Travel, meals, hotel
3.	Yale Law School and Yale Federalist Society	2/10/17 to 2/12/17	New Haven, CT	Moderator	Travel, meals, hotel
4.	University of Virginia Law School	2/24/17 to 2/26/17	Charlottesville, VA	Moot Court	Travel, meals, hotel
5.	Vanderbilt University Law School	3/22/17 to 3/26/17	Nashville, TN	Teaching	Travel, meals, hotel

Name of Person Reporting	Date of Report
Thapar, Amul R.	5/10/2018

6. Yale Law School	4/18/17 to 4/19/17	New Haven, CT	Moot Court	Travel, meals, hotel
7. Federalist Society	7/13/17 to 7/16/17	Washington, D.C.	Speaker	Travel, meals, hotel
8. Federalist Society Young Lawyers of DC	9/6/17 to 9/7/17	Washington, D.C.	Q&A with former Law Clerk	Travel, meals, hotel
9. APABA of Ohio	9/8/17	Columbus, OH	Panelist	Travel and meal
10. Kentucky Federalist Society	9/14/17	Frankfort, KY	Panelist	Travel and meal
11. BOST Health Policy Forum	9/24/17 to 9/25/17	Lexington, KY	Speaker	Travel, meals, hotel
12. Yale Federalist Society	9/28/17 to 9/29/17	New Haven, CT	Speaker	Travel, meals, hotel
13. Vanderbilt Law Review	10/12/17 to 10/13/17	Nashville, TN	Panelist	Travel, meals, hotel
14. Pennsylvania University Federalist Society	10/17/17	Philadelphia, PA	Speaker	Travel and meals
15. Harvard Federalist Society and American Constitution Society	10/17/17 to 10/18/17	Boston, MA	Speaker	Travel, meals, hotel
16. Federalist Society	11/15/17 to 11/19/17	Washington, D.C.	Moderator	Travel, meals, hotel

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.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT
Page 5 of 10

Name of Person Reporting	Date of Report
Thapar, Amul R.	5/10/2018

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)	B. Income during reporting period		C. Gross value at end of reporting period		D. 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. Capital One	A	Interest	K	T					
2. Vanguard Prime Money Market	A	Interest	J	T					
3. TD Bank USA (Ameritrade Money Market)	A	Interest	K	T					
4. Fifth Third Bank (Checking Acct.)	A	Interest	J	T					
5. Paypal Inc. (Money Market)	A	Interest	J	T					
6. Scottrade Cash Account (X)	A	Int./Div.	J	T					
7. Under Armour (UA) Common		None	J	T					
8. Nuance Comm. Inc. (NUAN) Common		None	J	T					
9. Google (GOOG) Common		None	J	T					
10. Alphabet Inc. (GOOGL) Common (X)		None	J	T					
11. Tesla Corp. (TSLA) Common		None	J	T					
12. Kinder Morgan (KMI) Common	A	Dividend	J	T					
13. Nike Inc. (NKE) Common	A	Dividend	J	T					
14. Borg Warner (BWA) Common	A	Dividend	J	T					
15. BJ Restaurants, Inc, (BJRI) Common		None	J	T					
16. Polaris Industries (PII) Common	A	Dividend	J	T					
17. Chipotle Mexican Grill Inc. (CMG/B) Common		None	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	

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)	B. Income during reporting period		C. Gross value at end of reporting period		D. 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. Disney Corp (DIS) Common	A	Dividend	J	T					
19. Activision Blizzard, Inc. (ATVI) Common	A	Dividend	J	T					
20. Whole Foods Market (WFM) commmon	A	Dividend			Closed	08/25/17	J		
21. Vail Resorts (MTN) Common	A	Dividend	J	T					
22. Urban Outfitters (URBN) Common		None	J	T					
23. Texas Roudhouse (TXRH) Common	A	Dividend	J	T					
24. Starbucks (SBUX) Common	A	Dividend	J	T					
25. Sierra Wireless (SWIR) Common		None	J	T					
26. Match Group (MTCH) Common		None	J	T					
27. Gilead Sciences (GILD) Common	A	Dividend	J	T					
28. Fannie Mae (FNM) Common (Y)									
29. Facebook (FB) Common		None	J	T					
30. Hasboro Corp. (HAS) Common	A	Dividend	J	T					
31. National Grocers by Vitamin Cottage (NGVC) Common		None	J	T					
32. Apple Inc. (AAPL) Common	A	Dividend	J	T					
33. Berkshire Hathaway Inc. Del Class B (BRK.B) Common		None	K	T					
34. Costco Wholesale Corp. (COST) Common	A	Dividend	J	T					

1. Income Gain Codes:	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
(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	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
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☐ NONE *(No reportable income, assets, or transactions.)*

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35. Exxon Mobil Corp (XOM) Common	A	Dividend	J	T					
36. Flamel Tech Spon ADR (FLML) Common		None	J	T					
37. Markel Corp. (MKL) Common		None	J	T					
38. Buffalo Wild Wings (BWLD) Common		None	J	T					
39. Altria Group Inc. (MO) Common	A	Dividend	J	T					
40. Chesapeake (CHK) (Y)									
41. Federated Investors Inc. (FII) Common	A	Dividend	J	T					
42. Phillip Morris International (PM)	A	Dividend	J	T					
43. Generac Holdings (GNRC) Common		None	J	T					
44. Mastercard (MA) Common	A	Dividend	J	T					
45. McDonalds (MCD) Common	A	Dividend	J	T					
46. National Oilwell Varco, Inc. (NOV) Common	A	Dividend	J	T					
47. The Container Store (TCS) Common (Y)									
48. Diplomat Pharmacy Inc (DPLO) Common		None	J	T					
49. Mylan NV SHS Euro (MYL) Common		None	J	T					
50. Leucadia National Corp (LUK) Common	A	Dividend	J	T					
51. Trip Advisor (TRIP) Common		None	J	T					

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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	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
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52. Casey's General Store, Inc. (CASY) Common	A	Dividend	J	T					
53. Anheuser-Busch Inbev (BUD) Common	A	Dividend	J	T					
54. Nvidia (NVDA) Common	A	Dividend	J	T	Buy	06/12/17	J		
55. Vanguard 500 Index Funds	A	Dividend	J	T					
56. Vanguard Windsor Portfolio	A	Dividend	K	T					
57. Vanguard Value Index Portfolio	A	Dividend	J	T					

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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	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3. Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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.

[redacted] have Scottrade accounts for their Education IRA. These accounts are now owned by TD Ameritrade (as of February 17, 2018).

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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Washington, D.C. 20544