AO 10
Rev. 1/2022

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
KEARSE, AMALYA L.	U.S. COURT OF APPEALS FOR THE SECOND CIRCUIT	05/03/2022
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**
U.S. CIRCUIT JUDGE, SENIOR STATUS	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021

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.***

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.	Trustee, Director	Robert F. Kearse Memorial Scholarship Fund
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.	'69, '79	Hughes Hubbard & Reed - Amalya L. Kearse: Return of July 1979 Capital
2.		
3.		

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.		
2.		
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.					

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.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
KEARSE, AMALYA L.	05/03/2022

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		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)	
1.	T.Rowe Price Eq Inc Mutual Fund	B	Dividend	J	T	Sold (part)	10/16/21	J	B	
2.	IRA Janus Henderson Mid-Cap Value Fund -	D	Dividend	K	T	Distributed (part)	10/16/21	J		
3.	IRA T.Rowe Price Mid-Cap Value Fund	D	Dividend	M	T					
4.	Janus Money Market Fund	A	Dividend	J	T					
5.	T.Rowe Price Money Market Fund	A	Dividend	K	T					
6.	T.Rowe Price Mid-Cap Growth Fund	D	Dividend	M	T	Sold (part)	02/10/21	K	D	
7.	Citibank Money Market	A	Interest	K	T					
8.	JP Morgan Clearing Corp. Money Market Fund	A	Interest	J	T					
9.	Selected American Shares	C	Dividend	K	T	Sold (part)	09/20/21	J	B	
10.	T. Rowe Price Communication & Technology Fund	B	Dividend	K	T					
11.	T. Rowe Price Small Cap Value Fund	B	Dividend	K	T					
12.	Nvidia Corp. common	A	Dividend	O	T					
13.	Cognex Corp. common	A	Dividend	L	T	Donated (part)				
14.	Advanced Micro Devices Inc. common		None	K	T					
15.	Atlassian Corporation Plc. common		None	M	T					
16.	Twillo Inc. common		None	M	T					
17.	Appian Corporation common		None	K	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		
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18. IQIYI Inc. common		None			Donated (part)				
19.					Sold (part)	01/11/21	J		
20.					Sold	05/13/21	J		
21. Alteryx Inc. common		None	K	T					
22. OKTA Inc. common		None	M	T					
23. Cirrus Logic Inc. common		None	K	T					
24. Bilibili Inc. common		None	K	T					
25. StoneCo Ltd. common		None	J	T	Sold (part)	11/22/21	J		
26.					Sold (part)	11/29/21	J		
27. Zynga Inc. common		None	J	T	Sold (part)	11/08/21	J	A	
28. Fastly, Inc. common		None	K	T					
29. Salesforce.com Inc. (formerly Slack Technologies) common (See Note)		None	J	T		07/22/21	K	D	
30. Impinj Inc. common		None	K	T					
31. II-VI, Inc. common		None	K	T					
32. Glu Mobile Inc. common		None			Sold	01/11/21	J	A	
33. C3 AI Inc. common		None	J	T	Buy	07/23/21	K		
34.					Sold	09/20/21	J		

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35.					Buy	11/22/21	J		
36. Ping Identity Holding common		None	J	T	Buy	10/21/21	J		
37.					Buy (add'l)	11/11/21	J		
38.					Buy (add'l)	11/29/21	J		
39. Pubmatic Inc. common		None	K	T	Buy	10/21/21	J		
40.					Buy (add'l)	11/29/21	J		
41. Coupang Inc. common		None	L	T	Buy	04/26/21	K		
42.					Buy (add'l)	05/03/21	J		
43.					Buy (add'l)	05/06/21	J		
44.					Buy (add'l)	05/13/21	K		
45.					Sold (part)	08/19/21	K		
46.					Buy (add'l)	09/20/21	J		
47.					Sold (part)	10/21/21	J		
48.					Buy (add'l)	11/22/21	J		
49. Fubotv Inc. common		None			Buy	01/11/21	J		
50.					Sold	03/29/21	J		
51. Anaplan Inc common		None			Buy	01/11/21	J		

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52.					Sold	03/25/21	J		
53.					Buy	05/13/21	J		
54.					Sold	11/29/21	J		
55. SharpSpring Inc. common		None			Buy	02/03/21	J		
56.					Buy (add'l)	03/02/21	J		
57.					Sold	03/25/21	J		
58. Skillz Inc. common		None			Buy	03/26/21	J		
59.					Sold (part)	07/23/21	J		
60.					Sold	08/16/21	J		
61. Latch Inc. common		None			Buy	08/16/21	J		
62.					Buy (add'l)	11/08/21	J		
63.					Sold	11/11/21	J		
64.									
65.									
66.									
67.									

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KEARSE, AMALYA L.	05/03/2022

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

All Explanations are re Part VII:

Line 29: In 2021, Salesforc.com (ticker symbol "CRM") acquired Slack Technologies for a combination of CRM stock and cash. The end-of-year value of the CRM stock received (which was not sold in 2021) is shown in this line, with the received cash -- reportable as capital gain for income tax purposes -- shown in the transaction columns.

All investments shown in previous report as having no value at end of the prior reporting period were sold or otherwise disposed of during that period and have been deleted from the form.

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.

Name of Person Reporting	Date of Report
KEARSE, AMALYA L.	05/03/2022

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/ 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
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One Columbus Circle, N.E.
Washington, D.C. 20544