

UNITED STATES DISTRICT COURT CAROL. BAGLEY AMON EASTERN DISTRICT OF NEW YORK United States Judge 225 CADMAN PLAZA EAST BROOKLYN, NEW YORK 11201 Honorable Mary M. Lisi Chair, Judicial Conference of the U.S. Committee on Pinancial Disclosure One Columbus Circle, N.E.. Washington, DC 20544 Re: Calendar Year 2003 Filing August 27, 2004 Dear Judge Lisi: This is in response to your letter of August 3, 2004 requesting additional information with respect to my Calendar Year 2003 Financial DisClosure Report. In Part VII, page 2, line 21, I am supplementing Column D(3) which was inadvertently left blank. The e:ntry in that column should be Value Code "M:". I apologie for any inconvenience occasioned by this error. Sincerely, Carol Bagley Amon United States District Judge p-'(i)' ;k? ;ief &middledot;' •&middledot;' , ' •, ,.• r""T1c;....., ..;n2: &middledot;=> :::o_Z --&middledot;&middledot; m -,....., t"T1 -,_,U"J :i: "< = r-11 '':> &middledot;c:5 ��::' m ' Report Required by the Ethics FINANCIAL DISCLOSURE REPORT in Government Act of 197.3 Calendar Year 2003 (5 U.S.C. app. §§ 101-111)

1. Person Repon:ing (l'...ast name, First name, Middle initial) Amon, Caro,! B

4. Title (Article ill Judges indicate acti!re or senior status; magistrate judges indicate full-or part-time)
Article ill Judge

7. Chambers or Office Address
225 Cadman Plaza East Room640 Brooklyn, New York 11201

2. Court or Organization 3. Date of Report

U. S. District Court, EDNY 5/13/2004

5. ReportType (check appropriate type) 6. Reporting Period
Q Nomination. Date 11112003 0 Initial @Annual Q Final to 12/3112003

8. On the basis of the information contained in this Report and any modifications pertaining !thereto, it is, in my opinion, in compliance with applicable laws and regulations.

Reviewing Officer

NOTES: The in:structions accompanying this form must be followed. Complete all parts, checking the NONE box for each part you have no reportable information. Sign on last page.

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

NONJ] -(No reportable positfons.) .. NAME

I.
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,,, o-c.r�Z :?:: &middledot; ::i:-< rn ()
c:: ::oz rn£2, OJ:> -r'il ...0 IJ rn < rn
0,

II. AGR!!:EI\1ENTS. (Repenting individual only; see pp. 14-16 of filing insl:!Uctions)

NONJ] -(No reportable agrec:ments.)

PARTIES AND TERMS

Amon, Carol B 511312004

III. NON-JI'i\l"ESTMENT INCOJ.VIE. (Reporting individual and spouse; see pp. 17-24 of filing instructions)

A. Filer's Non-Investment Incom 0 NONE -(No reportable non-investment income.) SOURCE AND TYPE (yours, not spouse's) L 7/17/03 NYU Law School Appellate Judges Seminar \$600

B. Spouse's Non-Investment Inlome -(If you were married during any portion of the reporting year, please complete this section. (dollar amoll!It not required 1:xcept for honoraria)

0 NONJ] [-{No reportable noninvestment income.)

AND TYPE

(:S) Law Partnership Distribution

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.) 0 NONJ -(No such reportable: eirnbursements.)

1. Pepperdine University School of Law Malibu, California: January 2-4, 2003 -Lecturer at the Judicial Law Clerk Institute. (Transportation, lodging and meals)

2. Federal Bar Council Maui, Hawaii: Winter Bench & Bar Conference, Februaiy 15-22, 2003 -Panelist at Bench & Bar Conference (Transportation, lodging and meals)

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ua.u;; UI J.'-C;jJUI L

Amon, Carol B

V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of instructions.)

NONE -(No such reportable gifts.)

1.

VL LIAEILil1ES. (Includes those of spouse and dependent children. See pp. 32-34 of instructions.)

1.

MBNA Mastercard Credit Card]

2.

Internal Revenue Service Federal Income Tax K

3.

Pager of2 Amon, Carol B 5/1312004

-income, value, !IanSC3tions (includes those of Illespouse and dependent children.

'vn. IN"VES'TI\·IBNTS and TRU s TS 34-57 of filing instructions.)

See pp.

A. B. c. D. Income during Gross value at end of Transactions during reporting period Desc1ption of Assel:s reporting period reporting period (including trust assets) Ifnot exeinpt fromdisclosure(1) (2) (I)

(2) (3) (4) Place "(X)" after each asset exempt Type (e.g. Amo!lllt Type g. Value Value Date: Value Gain (e.frc1m prior discl Identity of Method buy, sell, osw-e Code 1 div. rent. or Code2 MonthCode2 Code buyer/sellerCode3

merger, Day

(Q-W)

redemption)

int.) (J-P) (ifpriva11e

(J-P) I (A

1-1'1

transaction)

-

]NONE (No reportabl e income, assets, or trans3ctions)

1. IRA A1:cts Citibank, Bklyn,NY B Dividend K T FidelityAd.DynarnicCapitalAppFudi

2.

Law Partnership.Cap.Acct None M w ,,

3.

Janney Montgomery A Interest J T

4.

Thomas G. Amon Pension Plan A Interest J T

5.

Thomas G. Amon PrfShrPlan A Interest T
Citioa111k N.A., Money Market B Interest K T

7.

8.

10.

11.

12.

13.

MFS NY -Municipal Bond Fund -MFS T&middletil Return Mutual Fund -FidelityContraFund II Fidelity
IndependenceFund FastC0111nn Communications Corpi. (common) Aim Midcap Growth Fund Aim Global Tele Fund
14.' Fidelity Ad. Equity Growth A Dividend K T

15.

Fidelity Ad. Tech Fund Dividend J T

16.

SmithBarney Int'l Fund Aggressiv1: Growth Fund A Dividend merger See VIII

A B A A A A Dividend sell 1215 L A Dividend sell 12/5 L A Dividend J T Dividend J T None J T SeeVIII Dividend
J T Dividend - .. merger See VIII

17.

SmithBarney Int'l Fund Aggressivi: Growth Fund A Dividend merger SeeVIII

18.

Smith Barney Fin. Serv. Fund Class JB A Dividend merger See VIII

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 Column B1 and D4) F = \$50,001-\$100,000 G = \$100,001-\$1,000,000 HI = \$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 Column 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) V = Other W = Estimated

J
FINA:ICV#65533;JL DISCLUSU: {J:.; J:U&Pound;.PUKI'

Name of Person Reporting Date of Report _J Page 2 of 2 Amon, Carol B 5/13/2004 ¥R. INVE:Stl\JENTS and 11#65533;USTS -income, value, transactions (includes those of the spouse and dependent children. See pp. 34-Si of filing instructions.)

c.

D.

A.

B.

Income during Gross value at end of Transactions during reporting period Description of Assets reporting period
reporting period
(including trust assets)
If not exempt from disclosure (1) (2) (1)

(1)

(2)

(e.g.
Place "(X)" after each asset exempt Amount Type (e.g. Value
Value Type
Date:
Value
Gain
Identity of
Code buyer/seller

Code2
from prior disclosure
Method buy, sell,
Month
Code2

Code 1 div. rent or
Day
Codc3 merger,
int) (J-P)

1 (A· (ifprivalle
(J·P)
redemption)
J..I) transaction)
(Q-W)

19.

SmithBarney Financial Services Fund Class B A Dividend J SmithBarney Large Cap Value Fu:11cl Class B A
Dividend J

20.

MFS Moderate Allocation B Dividend M

21.

22.

Chase Select Checking A Interest J Four Winds Inv. LLC None N

23.

T T T buy 12/5 T w w Sinofre::h Healthcare Inc. None L

25.

Uniphyd, Inc. None J w

26.

Biodeisel America, Inc. None w

27.

Encore Networks, Inc. - None J w See VIII Webcasting TV, Inc. - None J w

29.

Rental Property -Newport, Vt.(X) B Rent M w See VIII

30.

-Equitable Variable Life Policy (X) B Interest J T .

L IncomelGain Codes: A = \$1,000 orlc:ss B -s1.001-si,soo c = S2,501-S5,000 D = \$5,001-\$15,000 E su,001sso.000
(SeeColumnsBl andD4) F = sso,001-:s100,000 G = S100,001-\$1,000,000 HI =S1,000,001SS,000,000 H2 =More
tban SS,000,000

2.

Value Codes: J = \$15,000 CII' Jess K = \$15,001-\$50,000 L. = SS0,001-\$100,000 M. = S100,001-S2SO,000 (See
Columns Cl andD3) N = \$250,000-\$500,000 0 = \$500,001-SI,000,000 PI = S1,000,001-SS.000,000 P2 =

SS,000,001-\$25,000,000 P3 = \$25,000,1101-SSO,000,000 P4 =SM.ore than \$50,000,000

3.

Value Method Codes Q = Appraisal i R = Cost (Real Estate Only) s =Assessment T =Cas!J&.farkei (See Column C2) U =Book Yallue v =Other w =Estimated

Amon, Carol B (Indicate part ofReport.)

VIII. ADDIDONAL JNFO:RMA.TION OREXPIANATIONS Re: Part VII

Item 11 -Fa.stCom Communications -Co1mpany filed Chapter 11; shares are deemed worth!;ss.

Item 13 was merged into Item 12 on IUnl03.

Items 16 and 17 were merged into Item W 1n 12131/03.

Item 18 was merged into Item 19 on 12/31/03.

Item 27 -Market value ofvested options less.exerci se price on 12131103.

Item 29 -Rental property acquired bugh inheritance.

I

Amon, Carol B

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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 compfote to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions pennitting non-disclosure. · I further certify that earned iilcome from outside employment and honoraria and the acceptance of gifts which have been reported ar1 in compliance with th1:: provisions of 5 U.S.C. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulatioll.s. Signature:_ NOTE: ANYJNDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES ORFACLS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL.AND CRIMINAL SANCTIONS (5

U.S.C. app. § 104) FILING INSTRUCTIONS Mail signed original and 3 additional copies to: Committe on Financial Disclosure Administrative Office of the United States Courts Suite 2-301 One Columibus Circle, N .E. Washington. D.C. 20544