

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Rogers, John M.	2. Court or Organization U.S. Court of Appeals, 6th Cir	3. Date of Report 5/15/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge -- Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 100 E. Vine Street, Suite 400 Lexington KY 40507		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Professor Emeritus	University of Kentucky College of Law, Lexington KY
2.	
3.	
4.	
5.	

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

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 07/31/01	Publishing agreement with Aspen Publishers (now Wolters Kluwer) and two co-authors for an administrative law casebook with 15% royalty for the authors.
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Rogers, John M.

Date of Report

5/15/2017

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2016	Wolters Kluwer Publishing, Book Royalties	\$673.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2016	University of Kentucky
2. 2016	Chinese Cultural & Education Center of Lexington
3. 2016	Bluegrass Evergreen LLC
4. 2016	Belcan Services Group

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☐ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. American Law Institute	September 15-16, 2016	Philadelphia, PA	Restatement Advisor Group	Meals, lodging, transportation
2. Yale Law School Federalist Society	October 24-26, 2016	New Haven, CT	Presentation	Meals, lodging, transportation
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Rogers, John M.

Date of Report

5/15/2017

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Rogers, John M.

Date of Report

5/15/2017

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) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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. TIAA retirement account-Traditional Guaranteed	E	Interest	O	T					
2. CREF retirement account-CREF Stock R3		None	P1	T					
3. CREF retirement account-CREF Stock R2		None	K	T					
4. CREF retirement account-CREF Equity Index R2		None	K	T					
5. US Savings Bonds Series EE	D	Interest	M	T					
6. Broker cash Acct-Morgan Stanley bk dep--USAA Treas Mkt./ as of 9-20-16	A	Interest	J	T					
7. USAA Subscriber's Savings Account	A	Distribution	J	T					
8. Central Bank Checking Account	A	Interest	J	T					
9. Neuberger Berman Genesis Fd NBGIX	A	Dividend			Sold	06/01/16	J	A	
10. Blackrock Eq Div Fd cl A MADVX	B	Dividend			Sold	11/09/16	L	D	
11. Touchstone Sands Cap Sel CFSIX	A	Dividend			Sold	06/01/16	L	D	
12. Lazard Emerging Mkts Port Fd LZEMX	A	Dividend			Sold	06/01/16	K	A	
13. TCW Sm Cap Growth Fd cl N TGSCX	A	Dividend			Sold	06/01/16	K	A	
14. Cohen & Steers Realty Shs. Fd. CSRSX	A	Dividend			Sold	12/15/16	L	A	
15. Lazard Intl Strat Eq LISIX	A	Dividend			Sold	02/18/16	K	A	
16. Invesco Prem US Govt IUGXX	A	Dividend			Sold	06/07/16	J	A	
17. Prudential Jennison Mid Cap PEGZX	A	Dividend			Sold	11/30/16	L	A	

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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Rogers, John M.

Date of Report

5/15/2017

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) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code I (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. PIMCO Sh Term PTSPX	A	Dividend			Sold	12/15/16	J	A	
19. Blackrock Hi Yld BHYAX/BHYIX	A	Dividend			Sold	06/03/16	J	A	
20. Invesco Am Value MSAIX	A	Dividend			Sold	06/07/16	K	A	
21. USAA Precious Metals Fund (USAGX)	A	Dividend	K	T					
22. USAA World Growth Fund (USAWX)	A	Dividend	K	T					
23. USAA International Fund (USIFX)		None			Sold	08/15/16	K	C	
24. USAA Sci & Tec Fund (USSCX)		None	L	T					
25. USAA Growth & Inc Fund USGRX	A	Dividend	K	T					
26. USAA Inc Stock Fund USISX		None			Sold	03/22/16	K	A	
27. USAA Value Fund UVALX	A	Dividend	K	T					
28. Vanguard Trgt Retire 2050 Fnd Inv (Birtley 401k plan)	D	Dividend			Sold	03/28/16	K	B	
29. Eaton Vance Tax MGD Div Equ FD (EXG)	B	Dividend			Sold	05/13/16	J	A	
30. First Trst Hlth Care Alpha ETF (FXH)	A	Dividend			Sold	03/28/16	K	A	
31. First Trust Amex Biotech (FBT)	A	Dividend			Sold	02/03/16	J	A	
32. First Trust Consmr Staples ETF (FXG)	A	Dividend			Sold	05/17/16	K	A	
33. First Trust Consumer Discret (FXD)	A	Dividend			Sold	05/17/16	K	A	
34. First Trust DJ Internet IDX (FDN)	A	Dividend			Sold	05/17/16	K	A	

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Rogers, John M.

Date of Report

5/15/2017

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) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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. First Trust DW Focus 5 INTL (IFV)	A	Dividend			Sold	02/18/16	J	A	
36. Lazard Intl Strat EQ PTF Inst (LISIX)	A	Dividend			Sold	02/18/16	J	A	
37. Mainstay Cushing MLP Premier 1 (CSHZX)	A	Dividend			Sold	02/09/16	J	A	
38. Chase Checking Account		None	J	T					
39. USAA Fed. Savings Bank		None	J	T					
40. ISHARES CORE US Aggr. (AGG)	A	Dividend			Buy	03/22/16	K		
41.					Sold	05/17/16	K	A	
42. ISHARES IBOXX (LQD)	A	Dividend			Buy	03/22/16	K		
43.					Sold	05/17/16	K	A	
44. First Trust UTLS (FXU) Alphadex ETF	A	Dividend			Buy	02/03/16	K		
45.					Sold	05/17/16	K	A	
46. Victory Income Low Duration Bond A (RLDAX)	A	Dividend			Buy	06/01/16	J		
47.					Sold	11/04/16	J	A	
48. AQR Style Premia Alt. 1 (QSPIX)	A	Dividend			Buy	02/09/16	J		
49.					Sold	06/03/16	J	A	
50. LOCORR Mkt. Trend 1 (LOTIX)	A	Dividend			Buy	02/09/16	J		
51.					Sold	12/06/16	J	A	

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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

Rogers, John M.

Date of Report

5/15/2017

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) Place "X" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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)
52. First Trust Engy Alphadex ETF (FXN)	A	Dividend			Buy	03/28/16	K		
53.					Sold	05/17/16	K	A	
54. Franklin Utilities Advisor (FRUAX)	A	Dividend			Buy	06/03/16	K		
55.					Sold	12/08/16	K	A	
56. Voya Global Real Est. I	A	Dividend			Buy	06/03/16	K		
57.					Sold	12/06/16	K	A	
58. Vanguard Total Stk. Mkt. IDX INV	A	Dividend			Buy	06/03/16	K		
59.					Sold	11/14/16	K	B	
60. USAA Intl. Fund Retail (USIFX)	A	Dividend	M	T	Buy	11/10/16	M		
61. USAA Tax Exempt Intermed Term Retail (USATX)	A	Dividend	L	T	Buy	11/10/16	L		
62. USAA Growth & Income Fund Retail (USGRX)	A	Dividend	M	T	Buy	11/30/16	L		
63.					Buy (add'l)	12/16/16	K		
64. USAA Value Fund Retail (UVALX)	A	Dividend	K	T	Buy	12/15/16	K		
65. USAA Growth Fund (IRA)		None	K	T	Buy	12/14/16	K		
66. USAA Income Fund Retail (IRA)		None	K	T	Buy	12/14/16	K		
67. USAA Income Stock Fund Retail (IRA)		None	K	T	Buy	12/14/16	K		
68. USAA Intl. Fund Retail (IRA)	A	Dividend	L	T	Buy	11/18/16	K		

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 = \$250,000,001 - \$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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

Rogers, John M.

Date of Report

5/15/2017

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) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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)
69. K. Anderson promissory note	A	Interest	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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Rogers, John M.

Date of Report

5/15/2017

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

Part VII, lines 2-4: In response to the Committee's request last year, I understand that you are asking for income generated by the assets, and I understand the difference between market fluctuations and income. However, the statements do not provide the level of detail required. Rather than guess, I have listed "none."

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Rogers, John M.

Date of Report

5/15/2017

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/ **John M. Rogers**

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