



UNITED STATES COURT OF APPEALS
FOR THE SIXTH CIRCUIT

CHAMBERS OF
JEFFREY S. SUTTON
CIRCUIT JUDGE

TELEPHONE
(614) 849-0134

SELF INITIATED
AMENDMENT

May 15, 2007

Ortrie D. Smith
Chair
Judicial Conference of the United States
Committee on Financial Disclosure
One Columbus Circle, N.E.
Washington, DC 20544

RECEIVED
2007 MAY 29 A 10:23
FINANCIAL
DISCLOSURE OFFICE

Re: Calendar Years 2004/2005 Filings

Dear Mr. Smith:

In preparing my 2006 Financial Disclosure Report, I noticed that the following information was omitted from my 2004 and 2005 filings.

Section IV for 2004 should include:

	<u>SOURCE</u>	<u>DESCRIPTION</u>
1	Federal Bar Association	September 29-30, 2004 Grand Rapids, MI Seminar (Transportation, Meals, Room)

Section IV for 2005 should include:

	<u>SOURCE</u>	<u>DESCRIPTION</u>
1	The Federalist Society	February 27-28, 2005 Conference at University of Chicago (Transportation, Meals, Room)
2	University of Virginia	April 9-10, 2005 Charlottesville, VA Moot Court Competition (Transportation, Meals, Room)
3	Federal Bar Association	November 17-18, 2005 Memphis, TN Conference (Transportation, Meals, Room)

Ortrie D. Smith
May 15, 2007
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Please do not hesitate to contact me if you require additional information. Thank you for your assistance with this matter.

Sincerely,

A large black rectangular redaction box covering the signature of Jeffrey S. Sutton.

Jeffrey S. Sutton

JSS:jmf

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2006

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) Sutton, Jeffrey S	2. Court or Organization Sixth Circuit Court of Appeals	3. Date of Report 05/08/2007
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge	5a. Report Type (check appropriate type) ☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2006 to 12/31/2006
7. Chambers or Office Address 85 Marconi Boulevard Columbus, OH 43215	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 _____ Date _____	
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. Sign on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of instructions.)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Adjunct Faculty	The Ohio State University College of Law
2.	
3.	
4.	
5.	

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

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 1995	Ohio Public Employee's Retirement System; vested retirement account.
2. 1997	Ohio State Teacher's Retirement System; vested retirement account.
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of 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. 2006	The Ohio State University College of Law	\$ 24,780
2.		
3.		
4.		
5.		

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. 2006	The Columbus Academy - teacher
2.	
3.	
4.	
5.	

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

<u>SOURCE</u>	<u>DESCRIPTION</u>
1. University of Notre Dame	February 23-24, 2006 Notre Dame, IN Moot Court Competition (Transportation, Meals, Room)
2. Northwestern University School of Law	March 2-3, 2006 Chicago, IL Moot Court Competition (Transportation, Meals, Room)
3. American Bankruptcy Institute	March 18-21, 2006 New York, NY Moot Court Competition (Transportation, Meals, Room)
4. American Constitution Society for Law and Policy	June 16-18, 2006 Washington, DC Convention (Transportation, Meals, Room)
5. The Federalist Society	November 15-17, 2006 Washington, DC Convention (Transportation, Meals, Room)

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6. Yale Law School

December 11-12, 2006 New Haven, CT Moot Court Competition (Transportation, Meals, Room)

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V. GIFTS. *(Includes those to spouse and dependent children. See pp. 28-31 of instructions.)*☒ NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children. See pp. 32-33 of instructions.)*☒ NONE *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Chase checking account	A	Interest	J	T					
2. Fidelity cash reserves account	A	Interest	J	T					
3. Ohio deferred comp plan/S&P 500 Index	A	Dividend	K	T					
4. Ohio deferred comp plan - Bond Fund	A	Interest	J	T					
5. Fidelity Investment Grade Bond Fund (IRA)	A	Interest	J	T					
6. Fidelity Cash Reserves Mutual Fund (IRA)	A	Interest	J	T					
7. Fidelity Select Health Care Mutual Fund (IRA)	A	Dividend	J	T					
8. Fidelity Spartan 500 Index Mutual Fund (IRA)	A	Dividend	K	T					
9. Fidelity Strategic Bond Fund (IRA)	A	Interest	J	T					
10. Fidelity Cash Reserves Mutual Fund (IRA)	A	Interest	J	T					
11. Fidelity Magellan Mutual Fund (IRA)	A	Dividend	J	T					
12. Fidelity Overseas Mutual Fund (IRA)	A	Dividend	J	T					
13. Fidelity Blue Chip Mutual Fund	A	Dividend	J	T					
14. Fidelity Growth & Income Mutual Fund	A	Dividend	J	T					
15. Vanguard Ohio Tax-Exempt Money Market Fund	C	Interest	L	T					
16. Vanguard S&P 500 Index Fund (IRA)	C	Dividend	N	T					
17. Trust									

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000 R = Cost (Real Estate Only) V = Other	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000 S = Assessment W = Estimated	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000 T = Cash Market	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	U = Book Value				

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. Household Finance Corporation bonds	A	Interest	K	T					
19. Vanguard S&P 500 Index Fund	B	Dividend	M	T					
20. Admiral Treasury Money Market	C	Interest	M	T					
21. TIAA/CREF Retirement Plan	A	Int./Div.	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	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	T = Cash Market
3. Value Method Codes (See Column C2)	P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated		

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

Section VII, Entry 21. My [REDACTED] began participating in this retirement plan in 2004.

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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 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

Date

5/14/07

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS 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:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544