

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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 05/7/2012
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 01/01/2011 to 12/31/2011

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. Insert signature on last page.

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

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

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.)

DATE

PARTIES AND TERMS

1. 07/31/01	Publishing agreement with Aspen Publishers and two co-authors for an administrative law casebook with 15% royalty for the authors.
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 7

Name of Person Reporting

Rogers, John M.

Date of Report

05/7/2012

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. 2011	Aspen Publishing Co., Book Royalties	\$701.00
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. 2011	Kentucky World Trade Center
2. 2011	Chinese Cultural & Education Center of Lexington
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Stanford Federalist Society	May 9, 2011	Stanford, CA	Give talk	Travel, hotel, meals.
2. Federal Bar Association	May 13, 2011	Memphis, TN	Mock argument	Travel, hotel, meals
3. Liberty University	September 24, 2011	Lynchburg, VA	Moot court	Travel, hotel, meals
4. Stanford University	October 26-27,, 2011	Stanford, CA	Symposium	Travel, hotel, meals
5. Brigham Young University	November 17-18, 2011	Provo, UT	Professor in Residence	Travel, hotel, meals

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting

Rogers, John M.

Date of Report

05/7/2012

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 7

Name of Person Reporting

Rogers, John M.

Date of Report

05/7/2012

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. USAA Aggressive Growth Fund (IRA)	A	Dividend	L	T					
2. TIAA retirement account	E	Interest	O	T					
3. CREF retirement account		None	O	T					
4. US Savings Bonds Series EE	D	Interest	M	T					
5. ING Fidelity VIP MidCap Portfolio SRV		None	J	T	Buy	05/12/11	J		
6. Smith Barney bank deposit account	A	Interest	J	T					
7. USAA Subscriber's Savings Account	A	Distribution	J	T					
8. Central Bank Checking Account	A	Interest	J	T					
9. First Federal Bank CD #1	A	Interest	K	T					
10. First Federal Bank CD #2	A	Interest	K	T					
11. ING VP Intermediate Bond Port - I		None	J	T					
12. ING VP Strategic Alloc Growth Port-I		None	K	T					
13. American Balanced Fund R- 3 (ING fam)		None	J	T					
14. ING Van Kampen Comstock Port - Init		None	K	T					
15. Growth Fund of America R-3 (ING fam)		None	J	T					
16. EuroPacific Growth Fund R-3		None	K	T					
17. First Federal Bank CD #3	A	Interest	K	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 \$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 5 of 7

Name of Person Reporting

Rogers, John M.

Date of Report

05/7/2012

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	(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. First Federal Bank CD #4	A	Interest	K	T					
19. Wanger USA Mut Fd		None	J	T	Buy	05/12/11	J		
20. Neuberger Berman Genesis Fd NBGEX		None	J	T	Buy	12/27/11	J		
21. Blackrock Eq Div Fd cl A MDDVX	A	Dividend	K	T					
22. Janus Perkins Sm Cap Val Fd cl T JSCVX	A	Dividend	J	T					
23. Lazard Emerging Mkts Port Fd LZEMX	B	Dividend	K	T					
24. PIMCO Commodity Real Return Strat Fd D PCRDX	A	Dividend	J	T	Buy	07/13/11	J		
25. Nuveen Tradewinds Intl Val. Fd cl A NAIGX	A	Dividend	J	T					
26. PIMCO Total Return Fd cl. D PTDX	A	Dividend	J	T					
27. PIMCO Foreign Bond Fd cl A PFUAX	A	Dividend	J	T					
28. TCW Sm Cap Growth Fd cl N TGSNX		None	J	T					
29. Cohen & Steers Realty Shs. Fd. CSRSX	A	Dividend	J	T					
30. Fidelity Adv'r New Insights Fd. cl. A FNIAX		None	K	T					
31. Goldman Sachs Tr Brie Fd cl. A GBRAX		None	J	T					
32. Western Asset Money Mkt Fd. cl. A	A	Dividend	J	T	Buy	03/01/11	J		
33. PIMCO REal Return Fd D PRRDX	A	Dividend	J	T	Buy	07/13/11	J		

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FINANCIAL DISCLOSURE REPORT

Page 6 of 7

Name of Person Reporting

Rogers, John M.

Date of Report

05/7/2012

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

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Rogers, John M.

Date of Report

05/7/2012

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
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Washington, D.C. 20544