

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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 05/07/2013
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 01/01/2012 to 12/31/2012
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 and two co-authors for an administrative law casebook with 15% royalty for the authors.
2.	
3.	

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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. 2012	Aspen Publishing Co., Book Royalties	\$1,139.00
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. 2012	World Trade Center Kentucky
2. 2012	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. Michigan State Bar	May 15, 2012	Plymouth, MI	Panel Talk	Travel, meal
2.				
3.				
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing 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 filing 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 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					
6. Morgan Stanley 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 (61)	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	

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18. First Federal Bank CD #4	A	Interest	K	T					
19. Wanger USA Mut Fd		None	J	T					
20. Neuberger Berman Genesis Fd NBGEX	A	Dividend	J	T					
21. Blackrock Eq Div Fd cl A MDDVX	A	Dividend	K	T					
22. Touchstone Sands Cap Sel (PTSGX)	A	Dividend	K	T	Buy	07/31/12	K		
23. Lazard Emerging Mkts Port Fd LZEMX	B	Dividend	K	T					
24. PIMCO Commodity Real Return Strat Fd D PCRDx	A	Dividend	J	T					
25. Nuveen Tradewinds Intl Val. Fd cl A NAIGX	A	Dividend	J	T					
26. PIMCO Total Return Fd cl. D PTTDx	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			Sold	07/31/12	K	C	
31. Goldman Sachs Tr Brie Fd cl. A GBRAX	A	Dividend	J	T					
32. Western Asset Money Mkt Fd. cl. A	A	Dividend	J	T					
33. PIMCO Real Return Fd D PRRDx	A	Dividend	J	T					
34. First Federal Bank CD #5	A	Interest	K	T	Buy	03/16/12	K		

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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	
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35. First Federal Bank Money Market Acct	A	Interest	J	T	Buy	03/16/12	K		
36.					Sold (part)	10/30/12	J		
37. First Federal Bank CD #6	A	Interest			Buy	03/16/12	K		
38.					Sold	09/14/12	K		
39. USAA Precious Metals Fund (USAGX)	A	Dividend	K	T	Buy	07/23/12	K		
40. USAA World Growth Fund (USAWX)	A	Dividend	K	T	Buy	07/25/12	K		
41. USAA International Fund (USIFX)	A	Dividend	K	T	Buy	11/07/12	K		
42. USAA Sci & Tec Fund (USSCX)		None	K	T	Buy	08/09/12	K		
43. Living Trust #1 (x) (beneficial interest)	G	Distribution	K	T					
44. -- US Govt Secs Svgs Fd (UGSXX)					Sold (part)	02/21/12	N		
45.					Sold	03/01/12	L		
46.					Buy	03/12/12	L		
47.					Buy (add'l)	03/15/12	L		
48.					Buy (add'l)	03/19/12	L		
49.					Buy (add'l)	03/23/12	L		
50.					Buy (add'l)	03/30/12	J		
51.					Sold (part)	07/13/12	M		

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52.					Sold (part)	07/19/12	L		
53.					Sold	12/28/12	J		
54. -- US Treas Secs Cash Fd (USTXX)					Sold (part)	02/13/12	J		
55.					Sold (part)	02/14/12	J		
56.					Buy (add'l)	02/15/12	J		
57.					Sold (part)	02/17/12	J		
58.					Buy (add'l)	02/21/12	N		
59.					Sold (part)	02/28/12	M		
60.					Sold (part)	02/29/12	M		
61.					Buy (add'l)	03/01/12	L		
62.					Buy (add'l)	03/02/12	J		
63.					Sold (part)	03/12/12	L		
64.					Sold (part)	03/13/12	J		
65.					Sold (part)	03/23/12	L		
66.					Buy (add'l)	04/16/12	J		
67.					Sold (part)	04/17/12	J		
68.					Sold (part)	04/19/12	J		

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69.					Sold (part)	09/05/12	J		
70.					Sold	12/28/12	J		
71. -- PNC bk checking acct (formerly RBC Centura)									

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

Note to Part VII. Janus Perkins Sm Cap Val Fd c. T JSCVX was not owned during 2012. No. 22 on my 2011 FDR should have shown no gross value at the end of 2011 for that fund; and should have shown a sale on 12/23/11, value code J, gain code A.

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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: 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