

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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, Richard D.	2. Court or Organization U.S. District Court - Topeka, KS	3. Date of Report 12/08/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. Senior District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address 410 Frank Carlson Federal Building and U.S. Courthouse 444 SE Quincy St Topeka, Kansas 66683		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
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.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Rogers, Richard D.

Date of Report

12/08/2014

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. 2013	Kansas Farm Bureau Retirement Pension	\$2,877.00
2. 2013	Kansas Public Employees Retirement Pension	\$1,785.00
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.	
2.	
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.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Rogers, Richard D.

Date of Report

12/08/2014

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

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Rogers, Richard D.

Date of Report

12/08/2014

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. Western Resources Common Stock	D	Dividend	M	T					
2. Fidelity State Bank	A	Interest	J	T					
3. Nuveen Tax Exempt	A	Dividend	K	T					
4. Bank of America Savings	A	Interest	J	T					
5. Citigroup Common Stock	A	Dividend	J	T					
6. Quest Credit Union	A	Int./Div.	J	T					
7. Target Common Stock	A	Dividend	J	T					
8. Southern Company Common Stock	A	Dividend	K	T					
9. Bank of America Common Stock	A	Dividend	K	T					
10. AT&T Common Stock	A	Dividend	K	T					
11. Cap.Fed Common Stock	A	Dividend	J	T	Buy	07/31/13	J		
12. Verizon Common Stock	A	Dividend	J	T					
13. Proctor & Gamble Common Stock	A	Dividend	J	T					
14. ONEOK Common Stock	A	Dividend	K	T					
15. Johnson & Johnson Common	A	Dividend	K	T					
16. 3M Co. Common stock	A	Dividend	K	T					
17. Barclay's Common Stock	A	Dividend	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 5 of 8

Name of Person Reporting

Rogers, Richard D.

Date of Report

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18. British Petroleum Common Stock	A	Dividend	J	T					
19. Royal Dutch Shell Common Stock	A	Dividend	J	T					
20. Berkshire Hathaway Common Stock	A	Dividend	K	T					
21. Vanguard Tax-Exempt bond fund	D	Dividend	M	T					
22. KS Farm Bureau Life Ins. interest on policies	B	Interest	J	T					
23. Dupont	A	Dividend	J	T					
24. General Electric	A	Dividend	J	T					
25. Accenture Stock	A	Dividend	K	T					
26. Conoco Phillips Stock	A	Dividend	K	T					
27. Ely Lilly Stock	A	Dividend	J	T					
28. Ferrell Gas LP	A	Distribution	K	T	Buy	12/02/13	J		
29. Duke Energy Common Stock	A	Dividend	K	T					
30. Altria	A	Dividend	J	T					
31. Caterpillar	A	Dividend	K	T					
32. Xelon Corp	A	Dividend	J	T					
33. Marathon Oil Corp	A	Dividend	J	T					
34. Dow Chemical Common Stock	A	Dividend	J	T	Buy	08/31/13	J		

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FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Rogers, Richard D.

Date of Report

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35. Intel Corporation Common Stock	A	Dividend	J	T	Buy	06/30/13	J		
36. Marathon Petroleum Corp Common Stock	A	Dividend	J	T					
37. Phillips 66 Common Stock	A	Dividend	J	T					
38. Frontier Communication Common Stock	A	Dividend	J	T					
39. Oil Royalty-Haskell County, OK	A	Royalty	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Rogers, Richard D.

Date of Report

12/08/2014

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Rogers, Richard D.

Date of Report

12/08/2014

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/ **Richard D. 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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