

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                          |                                                                  |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Gilman, Ronald L.                                                                                                     | <b>2. Court or Organization</b><br><br>U. S. Court of Appeals, Sixth Circuit                                                                                                                                                                                                             | <b>3. Date of Report</b><br><br>3/21/2013                        |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>U. S. Circuit Judge (Senior Status)                            | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2012<br>to<br>12/31/2012 |
| <b>7. Chambers or Office Address</b><br><br>167 North Main Street, Suite 1176<br>Memphis, TN 38103                                                                                         |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## 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. |  |

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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.)*

| DATE | SOURCE AND TYPE | INCOME<br>(yours, not spouse's) |
|------|-----------------|---------------------------------|
| 1.   |                 |                                 |
| 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.)*

| DATE | SOURCE AND TYPE |
|------|-----------------|
| 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.)*

| SOURCE                                   | DATES        | LOCATION    | PURPOSE                      | ITEMS PAID OR PROVIDED             |
|------------------------------------------|--------------|-------------|------------------------------|------------------------------------|
| 1. University of Wisconsin School of Law | March 23-25  | Madison, WI | Judge moot court competition | Transportation, lodging, and meals |
| 2. American Bar Association              | November 1-3 | Atlanta, GA | Speaker at CLE Conference    | Transportation, lodging, and meals |
| 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Gulf Housing Ltd. Partnership                                                                                            | A                                       | Interest                                      |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 2. Gulf Housing Ltd. Partnership (six<br>multistate projects)                                                               | A                                       | Rent                                          | K                                               | W                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. Federal Bldg. Federal Credit Union                                                                                       | A                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 4. Schwab Cash Reserves                                                                                                     | A                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. AQR Diversified Arbitrage                                                                                                |                                         | None                                          |                                                 |                                           | Sold                                            | 09/20/12                | L                               | C                              |                                                                   |
| 6. AQR Managed Futures Strategy                                                                                             | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 7. ASG Global Alternatives                                                                                                  |                                         | None                                          | K                                               | T                                         | Sold<br>(part)                                  | 09/20/12                | K                               |                                |                                                                   |
| 8. Barclays Bank Ipath DJ UBS Commodity<br>Index                                                                            |                                         | None                                          |                                                 |                                           | Sold                                            | 05/31/12                | L                               | C                              |                                                                   |
| 9. Barclays Bank Ipath ETN S&P 500<br>Dynamic VIX                                                                           |                                         | None                                          | L                                               | T                                         | Buy                                             | 09/24/12                | M                               |                                |                                                                   |
| 10. DFA Emerging Markets Core Equity<br>Portfolio                                                                           | B                                       | Dividend                                      | L                                               | T                                         | Buy                                             | 06/05/12                | L                               |                                |                                                                   |
| 11. DFA International Core Equity                                                                                           | D                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. DFA U.S. Small Cap Value                                                                                                | C                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 13. Fidelity International Small Cap                                                                                        | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 14. Fidelity OTC Portfolio                                                                                                  | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 15. Fidelity Real Estate Investment                                                                                         | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 16. Fidelity Select Materials Portfolio                                                                                     | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 17. Fidelity Small Cap Discovery                                                                                            | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

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

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Name of Person Reporting

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code I<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                  |   |          |   |   |                |          |   |   |  |
|--------------------------------------------------|---|----------|---|---|----------------|----------|---|---|--|
| 18. Goldman Sachs Satellite Strategies           | C | Dividend | L | T |                |          |   |   |  |
| 19. Invesco Balanced Risk Commodity              | B | Dividend | L | T | Buy            | 05/31/12 | L |   |  |
| 20. iShares MSCI ETF High Dividend Equity        |   |          |   |   | Sold<br>(part) | 10/02/12 | L | C |  |
| 21. iShares MSCI ETF High Dividend Equity        | B | Dividend |   |   | Sold           | 10/03/12 | J | A |  |
| 22. iShares S&P Midcap 400 Value                 | B | Dividend | M | T | Sold<br>(part) | 09/25/12 | J | C |  |
| 23. iShares Tr. Russell 3000 Index               | D | Dividend | O | T | Sold<br>(part) | 09/25/12 | L | E |  |
| 24. JP Morgan Chase Notes due 12/31/12           |   | None     |   |   | Redeemed       | 12/31/12 | L | D |  |
| 25. JP Morgan Tax Aware Real Return              | A | Dividend | K | T |                |          |   |   |  |
| 26. Pimco Enhanced Short Maturity Strategy       | A | Dividend | K | T | Buy            | 09/25/12 | K |   |  |
| 27. Pimco Unconstrained Bond                     | B | Dividend | K | T |                |          |   |   |  |
| 28. Powershares S&P 500 High Quality Portfolio   | A | Dividend | L | T | Buy            | 10/02/12 | L |   |  |
| 29. Powershares S&P 500 Low Volatility Portfolio | A | Dividend | L | T | Buy            | 10/02/12 | L |   |  |
| 30. T Rowe Price Summit Muni Int. Term Bond      | C | Dividend | M | T |                |          |   |   |  |
| 31. Thornburg Ltd. Term Muni                     | B | Dividend | M | T | Buy            | 09/25/12 | K |   |  |
| 32. Vanguard Dividend Appreciation               | A | Dividend |   |   | Sold           | 10/02/12 | L | C |  |
| 33. Vanguard Meg Cap 300                         | A | Dividend | K | T |                |          |   |   |  |
| 34. Vanguard MSCI Emerging Markets               |   | None     |   |   | Sold           | 06/05/12 | L |   |  |

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

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Name of Person Reporting

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                 |   |          |   |   |                |          |   |   |  |
|-------------------------------------------------|---|----------|---|---|----------------|----------|---|---|--|
| 35. Vanguard Short Term Tax Exempt              | A | Dividend | L | T | Buy            | 09/26/12 | J |   |  |
| 36.                                             |   |          |   |   |                |          |   |   |  |
| 37. IRA #1                                      | D | Dividend | N | T |                |          |   |   |  |
| 38. -Schwab Cash Reserves                       |   |          |   |   |                |          |   |   |  |
| 39. -DFA Int'l Core Equity                      |   |          |   |   |                |          |   |   |  |
| 40. -DFA Int'l Small Company Port.              |   |          |   |   |                |          |   |   |  |
| 41. -DFA U.S. Small Cap Value                   |   |          |   |   | Sold<br>(part) | 09/25/12 | K | D |  |
| 42. -iShares Tr. Russell 3000 Index             |   |          |   |   | Sold           | 09/25/12 | J | C |  |
| 43. -JP Morgan Strategic Income Oppty.          |   |          |   |   | Buy            | 09/25/12 | J |   |  |
| 44. -Pimco Total Return                         |   |          |   |   | Buy            | 09/25/12 | K |   |  |
| 45. -Pimco Unconstrained Bond                   |   |          |   |   | Buy            | 09/25/12 | J |   |  |
| 46.                                             |   |          |   |   |                |          |   |   |  |
| 47. IRA #2                                      | C | Dividend | L | T |                |          |   |   |  |
| 48. -Schwab Cash Reserves                       |   |          |   |   |                |          |   |   |  |
| 49. -DFA U.S. Small Cap Value                   |   |          |   |   |                |          |   |   |  |
| 50. -iShares MSCI U.S. Minimum Volatility Index |   |          |   |   | Buy            | 10/02/12 | L |   |  |
| 51. -JP Morgan High Yield Bond Select           |   |          |   |   | Sold           | 10/02/12 | L | C |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52. -Sector SPDR Industrial Select                                                                                          |                                         |                                               |                                                 |                                           | Sold                                            | 01/10/12                | J                               | A                              |                                                                   |
| 53. -Vanguard Meg Cap 300                                                                                                   |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
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| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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

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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/ Ronald L. Gilman**

**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