

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) Gilman, Ronald L.	2. Court or Organization U. S. Court of Appeals, Sixth Circuit	3. Date of Report 3/31/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. Circuit Judge (Senior Status)	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 167 North Main Street, Suite 1176 Memphis, TN 38103		
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.	

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Name of Person Reporting

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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

(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.

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.)*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.

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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. Gulf Housing Ltd. Partnership (5 apt. projects in Ala. and Miss.)	A	Interest	K	W					
2. Gulf Housing Ltd. Partnership (5 apt. projects in Ala. and Miss.)	C	Rent							
3. Federal Bldg. Federal Credit Union	A	Interest	L	T					
4. Schwab Cash Reserves	A	Dividend	J	T					
5. AQR Managed Futures Strategy	A	Dividend	L	T	Buy	01/07/13	K		
6. ASG Global Alternatives	D	Dividend	L	T	Buy	01/07/13	K		
7. Barclays Bank Ipath ETN S&P 500 Dynamic VIX		None			Sold	01/04/13	L		
8. DFA Emerging Markets Core Equity Portfolio	B	Dividend	M	T	Buy	07/16/13	J		
9. DFA Emerging Markets Core Equity Portfolio					Buy	08/16/13	K		
10. DFA International Core Equity	D	Dividend	N	T	Sold (part)	08/16/13	K		
11. DFA U.S. Small Cap Value	C	Dividend	L	T					
12. Fidelity International Small Cap	B	Dividend	L	T					
13. Fidelity OTC Portfolio	D	Dividend	K	T					
14. Fidelity Real Estate Investment	B	Dividend			Sold	12/16/13	L	D	
15. Fidelity Select Biotechnology		None	L	T	Buy	12/16/13	L		
16. Fidelity Select Materials Portfolio	B	Dividend	L	T					
17. Fidelity Small Cap Discovery	C	Dividend	L	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	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	
3. Value Method Codes	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market

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☐ 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 I (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. Goldman Sachs N 11 Equity	A	Dividend			Buy	05/16/13	L		
19. Goldman Sachs N 11 Equity					Sold	12/31/13	L		
20. Goldman Sachs Satellite Strategies	A	Dividend			Sold	05/16/13	L		
21. Goldman Sachs Strategic Income	A	Dividend	L	T	Buy	08/16/13	L		
22. Invesco Balanced Risk Commodity		None			Buy	01/07/13	J		
23. Invesco Balanced risk Commodity					Sold	05/16/13	L		
24. iShares ETF U.S. Large Cap	A	Dividend	L	T	Buy	05/16/13	L		
25. iShares S&P Midcap 400 Value	B	Dividend	M	T	Buy	01/07/13	J		
26. iShares Tr. Russell 3000 Index	D	Dividend	O	T	Buy	01/07/13	K		
27. iShares Tr. Russell 3000 Index					Sold (part)	07/16/13	K	C	
28. JP Morgan Strategic Income Oppty.	A	Dividend			Buy	01/07/13	J		
29. JP Morgan Strategic Income Oppty.					Sold	08/16/13	J		
30. JP Morgan Tax Aware Real Return	B	Dividend	K	T	Sold (part)	12/27/13	J		
31. Pimco Enhanced Short Maturity Strategy	A	Dividend	K	T					
32. Pimco Total Return	A	Dividend	K	T	Buy	12/27/13	K		
33. Pimco Unconstrained Bond	A	Dividend	K	T	Buy	01/07/13	J		
34. Pimco Unconstrained Bond					Sold (part)	08/16/13	J		

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	

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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)

35. Pimco Unconstrained Bond					Sold (part)	12/27/13	K		
36. Powershares S&P 500 High Quality Portfolio	B	Dividend	L	T					
37. Powershares S&P 500 Low Volatility Portfolio	B	Dividend	L	T					
38. Stone Ridge Reinsurance Risk Premium		None	L	T	Buy	12/27/13	L		
39. T Rowe Price Summit Int. Term Bond	D	Dividend	M	T	Buy	01/07/13	K		
40. T Rowe Price Summit Int. Term Bond					Sold (part)	08/16/13	K		
41. T Rowe Price Summit Int. Term Bond					Sold (part)	12/27/13	K		
42. Thornburg Ltd. Term Muni	B	Dividend	L	T	Buy	01/07/13	J		
43. Thornburg Ltd. Term Muni					Sold (part)	08/16/13	K		
44. Thornburg Ltd. Term Muni					Sold (part)	12/27/13	J		
45. Vanguard FTSE Emerging Markets		None	L	T	Buy	12/31/13	L		
46. Vanguard Meg Cap 300	B	Dividend	L	T					
47. Vanguard Short Term Tax Exempt	A	Dividend	K	T	Sold (part)	12/30/13	J		
48.									
49. IRA #1	D	Dividend	O	T					
50. - Schwab Cash Reserves									
51. - DFA Int'l Core Equity									

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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52. - DFA Int'l Small Company Port.									
53. - DFA U.S. Small Cap Value									
54. - Goldman Sachs Strategic Income					Buy	08/16/13	J		
55. - JP Morgan Strategic Income Oppty.					Sold (part)	08/16/13	J	A	
56. - Pimco Total Return					Sold (part)	12/27/13	K		
57. - Pimco Unconstrained Bond									
58.									
59. IRA #2	B	Dividend	M	T					
60. - Schwab Cash Reserves									
61. - DFA U.S. Small Cap Value									
62. - Goldman Sachs Strategic Income					Buy	08/16/13	J		
63. - iShares MSCI U.S. Minimum Volatility Index									
64. -Vanguard Meg Cap 300									
65.									
66.									

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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
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