

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) Sutton, Jeffrey S.	2. Court or Organization Sixth Circuit Court of Appeals	3. Date of Report 05/07/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit 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 85 Marconi Boulevard Columbus, OH 43215		
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. Adjunct Faculty	The Ohio State University College of Law
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. 1995	Ohio Public Employee's Retirement System; vested retirement account.
2. 1997	Ohio State Teacher's Retirement System; vested retirement account.
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 7

Name of Person Reporting

Sutton, Jeffrey S.

Date of Report

05/07/2014

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	The Ohio State University College of Law	\$26,955.00
2. 2013	West Publishing	\$279.00
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. 2013	The Columbus Academy - teacher
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. Harvard Law School	1/6-22/13	Boston, MA	Teach course at Harvard Law School.	Transportation, Meals, Room
2. Washington and Lee University	2/26-27/13	Lexington, VA	Participate in event.	Transportation, Meals, Room
3. Columbia Law School	4/8-9/13	New York, NY	Moot court competition.	Transportation, Meals, Room
4. Lawyers for Civil Justice	5/6-7/13	Washington, DC	Participate in event.	Transportation, Meals, Room
5. AGS	6/17-22/13	Canberra, Australia	Participate in event.	Transportation, Meals, Room
6. Notre Dame Law School	7/9-16/13	Florence, Italy	Participate in event.	Transportation, Meals, Room

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting

Sutton, Jeffrey S.

Date of Report

05/07/2014

7.	American Bar Association	8/7-9/13	San Francisco, CA	Participate in event.	Transportation, Meals, Room
8.	New York University School of Law	10/17-20/13	New York, NY	Participate in event.	Transportation, Meals, Room
9.					

FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting

Sutton, Jeffrey S.

Date of Report

05/07/2014

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.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 7

Name of Person Reporting

Sutton, Jeffrey S.

Date of Report

05/07/2014

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. Chase checking account	A	Interest	J	T					
2. Fidelity Investment Grade Bond Fund (IRA)	A	Interest	J	T					
3. Fidelity Cash Reserves Mutual Fund (IRA)	A	Interest	K	T					
4. Fidelity Select Health Care Mutual Fund (IRA)	A	Dividend	K	T					
5. Fidelity Spartan 500 Index Mutual Fund (IRA)	A	Dividend	K	T					
6. Fidelity Strategic Bond Fund (IRA)	A	Interest	J	T					
7. Fidelity Magellan Mutual Fund (IRA)	A	Dividend	J	T					
8. Fidelity Overseas Mutual Fund (IRA)	A	Dividend	J	T					
9. Vanguard Ohio Tax-Exempt Money Market Fund	A	Interest	K	T					
10. Vanguard S&P 500 Index Fund (IRA)	B	Dividend	N	T					
11. TIAA/CREF Retirement Plan	A	Int./Div.	L	T					
12.									
13.									
14.									
15.									
16.									
17.									

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

FINANCIAL DISCLOSURE REPORT

Page 6 of 7

Name of Person Reporting

Sutton, Jeffrey S.

Date of Report

05/07/2014

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

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Sutton, Jeffrey S.

Date of Report

05/07/2014

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/ **Jeffrey S. Sutton**

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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