

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 4/23/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge -- Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
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 (now Wolters Kluwer) 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. 2018	Wolters Kluwer Publishing, Book Royalties	\$1,085.00
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. 2018	University of Kentucky
2. 2018	Chinese Cultural & Education Center of Lexington
3. 2018	Clark University
4. 2018	Belcan Services Group

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. Pace University	February 23-25, 2018	White Plains, NY	Moot Court	Airfare, meals, lodging
2. Kentucky State Government Bar Association	March 27, 2018	Frankfort, KY	Luncheon Talk	Meal
3. University of Tennessee	October 11-12, 2018	Knoxville, TN	Banquet Talk	Meal and lodging
4. American Law Institute	November 8-9, 2018	Philadelphia, PA	Advisor Meeting	Airfare, meal, lodging
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. TIAA retirement account-Traditional Guaranteed	E	Interest	O	T					
2. CREF retirement account-CREF Stock R3		None	P1	T	Distributed (part)	11/08/18	L		
3. CREF retirement account-CREF Stock R2		None			Distributed	11/08/18	K		
4. CREF retirement account-CREF Equity Index R2		None			Distributed	11/08/18	K		
5. US Savings Bonds Series EE	C	Interest	M	T					
6. Broker cash Acct.-USAA Treas. Mkt.	A	Interest	J	T					
7. USAA Subscriber's Savings Account	B	Distribution	J	T					
8. Central Bank Checking Account	A	Interest	J	T					
9. Chase Checking Account		None	J	T					
10. USAA Fed. Savings Bank	A	Interest	J	T					
11. USAA Precious Metals Fund (USAGX)		None	K	T					
12. USAA World Growth Fund (USAWX)	C	Dividend	L	T					
13. USAA Sci & Tee Fund (USSCX)	D	Dividend	M	T	Buy (add'l)	12/11/18	K		
14. USAA Growth & Inc Fund (USGRX)	C	Dividend	K	T					
15. USAA Value Fund (UVALX)	C	Dividend	K	T					
16. USAA Growth Fund (USAAX)	D	Dividend	L	T	Buy (add'l)	12/03/18	K		
17. USAA Small Cap Stock Fund (USCAX)	C	Dividend	K	T	Buy	10/15/18	K		

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 (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	Q = Appraisal (See Column C2)	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)

18. USAA Extended Mkt Index Fund (USMIX)	B	Dividend	K	T	Buy	12/03/18	K		
19. USAA Intl. Fund Retail (USIFX)	D	Dividend	M	T	Buy (add'l)	10/12/18	J		
20. USAA Growth & Income Fund Retail (USGRX)	E	Dividend	M	T	Buy (add'l)	10/12/18	J		
21. USAA Value Fund Retail (UVALX)	D	Dividend	K	T					
22. USAA Aggressive Growth Fund Retail (USAUX)	D	Dividend	L	T	Buy (add'l)	10/12/18	J		
23. USAA NASDAQ 100 Index Retail (USNQX)	A	Dividend	K	T	Buy (add'l)	02/07/18	J		
24.					Buy (add'l)	10/12/18	J		
25. USAA Treas. MMKT (UATXX)	A	Dividend	J	T	Buy	12/05/18	J		
26. USAA Growth Fund (IRA)	C	Dividend	K	T					
27. USAA Income Stock Fund Retail (IRA)	C	Dividend	K	T					
28. USAA Intl. Fund Retail (IRA)	C	Dividend	L	T					
29. USAA Aggressive Growth Fund (IRA)	D	Dividend	K	T					
30. K. Anderson promissory note	A	Interest	J	T					

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

Part VII, lines 2-4: In response to the Committee's request three years ago, I understand that you are asking for income generated by the assets, and I understand the difference between market fluctuations and income. However, the statements do not provide the level of detail required. Rather than guess, I have listed "none."

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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