

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) Moore, Karen N.	2. Court or Organization U.S. Court of Appeals-6th Cir.	3. Date of Report 05/08/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address Carl B. Stokes U.S. Courthouse 801 W. Superior Ave., Ste 21A Cleveland, Ohio 44113-1831		
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.	Member, Board of Overseers	Harvard University
2.	Executor	Estate #1
3.	Trustee	Trust #1
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.		
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 (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.	Harvard University	2/8/14 - 2/9/14	Cambridge, MA	Board Meeting	Transportation, food, lodging
2.	Harvard University	3/29/14 - 3/31/14	Cambridge, MA	Board Meeting	Transportation, food, lodging
3.	Harvard University	5/27/14 - 5/30/14	Cambridge, MA	Board Meeting	Transportation, food, lodging
4.	Harvard University	9/20/14 - 9/21/14	Cambridge, MA	Board Meeting	Transportation, food, lodging
5.	Harvard University	12/6/14 - 12/8/14	Cambridge, MA	Board Meeting	Transportation, food, lodging

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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. 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. Huntington Bank	A	Interest			Closed	03/28/14	J		
2. Key Bank Account	A	Interest	M	T					
3. DWS Cash Investment Trust	A	Dividend	J	T					
4. DWS Managed Municipal Bonds	D	Distribution	M	T					
5. Dreyfus Municipal Money Market Fund	A	Dividend			Closed	10/27/14	K	A	
6. IRA T. Rowe Price New Horizons Fund	E	Distribution	N	T					
7. TIAA (Pension Fund)	E	Interest	O	T					
8. CREF (Pension Fund)		None	P1	T					
9. Vanguard Wellesley Income Fund (Retirement Fund)	C	Dividend	L	T					
10. Vanguard Windsor Fund (Retirement Fund)	D	Dividend	M	T					
11. Vanguard Wellington Fund (Retirement Fund)	D	Dividend	M	T					
12. Pension Plan---Dodge & Cox Stock Fund	B	Dividend	L	T					
13. Pension Plan--Blkrk Infl Pro Bd Br	A	Dividend	J	T					
14. Pension Plan--Fidelity Capital Appreciation K	D	Dividend	K	T					
15. Pension Plan--Artisan Intl	A	Dividend	K	T					
16. T. Rowe Price Growth Stock	C	Distribution	K	T					
17. IRA American Funds--Capital World Growth & Income CL A	A	Dividend	K	T					

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		

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18. IRA American Funds--Growth Fund of Am CL A		None			Closed	10/27/14	K	A	
19. IRA American Funds--Investment Co of Am CL A	B	Dividend	K	T					
20. Pension Plan--Baird Core Plus Inst (X)	A	Dividend	K	T	Open	11/07/14	K		
21. Pension Plan--Ev Atl Cap S Mid-CP I (X)	B	Dividend	K	T	Open	11/28/14	K		
22. Pension Plan--Glenmede Sm Cap Eq Is	A	Dividend	K	T					
23. American Funds--Capital Inc Bldr Fund CL A	A	Dividend	J	T	Sold (part)	01/15/14	K	B	
24. Pension Plan--MSIF Mid Cap Grth I		None			Closed	11/28/14	K	B	
25. Pension Plan--PIM Total Rt Inst	A	Dividend			Closed	11/07/14	K	A	
26. Pension Plan--Opp Dev Mkt Y	A	Dividend	K	T					
27. PNC Money Market	A	Interest	K	T					
28. TD Bank (X)	A	Interest	M	T	Open	02/21/14	M		
29. Wells Fargo Money Mkt (X)	A	Interest	O	T	Open	02/21/14	M		
30. " " " "					Buy	05/07/14	O		
31. Johnson & Johnson Com. Stock (X)	B	Dividend			Open	02/21/14	M		
32. " " " "					Sold	05/07/14	M	D	
33. Wal-Mart Stores Com. Stock (X)	A	Dividend			Open	02/21/14	J		
34. " " " "					Sold	05/07/14	K	A	

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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35. Invesco High Yield Muni Fd CL C (X)	A	Dividend			Open	02/21/14	K		
36. " " " "					Sold	05/07/14	K	A	
37. Nuveen High Yield Muni Bd Fd CL C2 (X)	A	Dividend			Open	02/21/14	K		
38. " " " "					Sold	05/07/14	L	B	
39. Wash Mutl Invs Fd (X)	A	Dividend			Open	02/21/14	M		
40. " " " "					Sold	05/07/14	M	D	
41. Blackrock Muni Income Tr (X)	A	Dividend			Open	02/21/14	K		
42. " " " "					Sold	05/07/14	K	A	
43. Cohen & Steers Infr Fd (X)	A	Dividend			Open	02/21/14	K		
44. " " " "					Sold	05/07/14	L	B	
45. Eaton Vance Risk Mgd Div Eq. Income (X)	A	Dividend			Open	02/21/14	K		
46. " " " "					Sold	05/07/14	K	A	
47. Invesco Mun Income Opp Tr (X)	A	Dividend			Open	02/21/14	K		
48. " " " "					Sold	05/07/14	K	A	
49. Neuberger Berman Real Est (X)	A	Dividend			Open	02/21/14	J		
50. " " " "					Sold	05/07/14	J	A	
51. Nuveen Core Eq. Alpha Fd (X)	A	Dividend			Open	02/21/14	K		

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52. " " " "					Sold	05/07/14	K	A	
53. Nuveen Tax Advantaged Div Growth (X)	A	Dividend			Open	02/21/14	L		
54. " " " "					Sold	05/07/14	L	B	
55. Nuveen Muni Oppor. Fd (X)	B	Dividend			Open	02/21/14	L		
56. " " " "					Sold	05/07/14	L	B	
57. Nuveen Select Qual Muni Fd (X)	A	Dividend			Open	02/21/14	L		
58. " " " "					Sold	05/07/14	L	A	
59. Nuveen MD Premium Income Muni Fd (X)	A	Dividend			Open	02/21/14	K		
60. " " " "					Sold	05/07/14	L	A	
61. Pimco Muni Income Fd II (X)	A	Dividend			Open	02/21/14	K		
62. " " " "					Sold	05/07/14	K	A	
63. Pimco Muni Income FD (X)	A	Dividend			Open	02/21/14	K		
64. " " " "					Sold	05/07/14	K	A	
65. T Rowe Price Md Tax Free Bond (X)	B	Dividend			Open	02/21/14	M		
66. " " " "					Redeemed	05/20/14	M	C	
67. Banc of Calif CD (X)	A	Interest			Buy	05/09/14	M		
68. " " " "					Redeemed	08/11/14	M	A	

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69. Blue Hills Bank CD (X)	A	Interest			Buy	05/07/14	M		
70. " " " "					Redeemed	08/07/14	M	A	
71. Synovus Bank CD (X)	A	Interest			Buy	05/14/14	M		
72. " " " "					Redeemed	08/14/14	M	A	
73. Key Bank Checking (X)	A	Interest	M	T	Open	08/19/14	M		
74. PNC Money Mkt (X)	A	Interest	M	T	Open	05/20/14	M		
75. First Fed. Lakewood S&L (X)	A	Interest	M	T	Open	08/23/14	M		
76. Huntington Nat. Bank Money Mkt (X)	A	Interest	M	T	Open	08/25/14	M		
77. Bank of Am IRA (X)	A	Interest			Open	02/21/14	J		
78. " " " "					Distributed	06/19/14	J	A	
79. IRA Income Fund of Am Fd CL A (X)	A	Dividend	K	T	Open	10/27/14	K		
80. Franklin Rising Div Fd (X)	A	Dividend	J	T	Open	12/01/14	J		
81. Income Fund of Am Fd CL A (X)	A	Dividend	J	T	Open	11/14/14	J		
82. Franklin Mut Gbl D Scv Fd CL A (X)	A	Distribution	J	T	Open	12/01/14	J		
83. Franklin Fltg Rate Dly Access (X)	A	Dividend	J	T	Open	11/14/14	J		
84. Franklin Fed Tax Free Income CL A (X)	A	Dividend	J	T	Open	11/14/14	J		
85. Franklin High Yield Tax Free (X)	A	Dividend	J	T	Open	11/14/14	J		

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86. Franklin Fed Intr-TM Tx FR Incm (X)	A	Dividend	J	T	Open	11/14/14	J		
87. IRA American Fnd New Perspective Fd CL A (X)	A	Distribution	J	T	Open	12/26/14	J		
88. Key Bank Checking (X)		None	J	T	Open	12/11/14	K		
89.									
90.									
91.									
92.									

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

Part VII, Items 28-78: All held as executor of Estate #1.

Part VII, Items 18 and 79: IRA fund in #18 exchanged out into IRA fund in item 79.

Part VII, Items 20 and 25: Pension fund in 25 exchanged out into Pension fund in item 20.

Part VII, Items 21 and 24: Pension fund in 24 exchanged out into Pension fund in item 21.

Part VII, Item 88: Held as trustee of Trust #1.

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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/ **Karen N. Moore**

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