

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2010

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 05/4/2011
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 01/01/2010 to 12/31/2010
7. Chambers or Office Address 100 E. Vine Street, Suite 400 Lexington KY 40507	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

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 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. 2010	Aspen Publishing Co., Book Royalties	\$1,301.35
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. 2010	Kentucky World Trade Center
2. 2010	Chinese Cultural & Education Center of Lexington
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. Southern Illinois University	November 6-7, 2010	Carbondale, IL	Moot Court	Ttravel, hotel, meals.
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.)*

<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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. USAA Aggressive Growth Fund (IRA)	A	Dividend	L	T					
2. TIAA retirement account	E	Interest	O	T					
3. CREF retirement account		None	O	T					
4. US Savings Bonds Series EE	D	Interest	M	T					
5. First Federal Bank savings acct	A	Interest			Closed	06/30/10	J	A	
6. Smith Barney bank deposit account	A	Interest	J	T					
7. USAA Subscriber's Savings Account	A	Distribution	J	T					
8. Central Bank Checking Account	A	Interest	J	T					
9. First Federal Bank CD #1	A	Interest	K	T					
10. First Federal Bank CD #2	A	Interest	K	T					
11. ING VP Intermediate Bond Port - I		None	J	T					
12. ING VP Strategic Alloc Growth Port-I		None	K	T					
13. American Balanced Fund R- 3 (ING fam)		None	J	T					
14. ING Van Kempen Comstock Port - Init		None	K	T					
15. Growth Fund of America R-3 (ING fam)		None	J	T					
16. EuroPacific Growth Fund R-3		None	K	T					
17. First Federal Bank CD #3	A	Interest	K	T					

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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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. First Federal Bank CD #4	A	Interest	K	T					
19. PIMCO Total Return Fund Cl C PTTCX	A	Dividend			Sold	08/23/10	J	A	
20. AllianceBernstein Lg Cap Growth Fd APGYX		None			Sold	11/01/10	K	B	
21. Blackrock Eq Div Fd cl A MDDVX	A	Dividend	K	T					
22. Janus Perkins Sm Cap Val Fd cl T JSCVX	A	Dividend	J	T					
23. Lazard Emerging Mkts Port Fd LZEMX	A	Dividend	K	T					
24. Western Asset Money Mkt Fd cl A LMTXX	A	Dividend			Sold	03/10/10	J	A	
25. Nuveen Tradewinds Intl Val. Fd cl A NAIGX	A	Dividend	J	T					
26. PIMCO Total Return Fd cl. D PTTDX	A	Dividend	J	T					
27. PIMCO Foreign Bond Fd cl A PFUAX	A	Dividend	J	T					
28. TCW Sm Cap Growth Fd cl N TGSNX		None	J	T					
29. Cohen & Steers Realty Shs. Fd.	A	Dividend	J	T	Buy	11/04/10	J		
30. Fidelity Adv'r New Insights Fd. cl. A		None	K	T	Buy	11/04/10	K		
31. Goldman Sachs Tr Bric Fd cl. A		None	J	T	Buy	11/04/10	J		
32. Western Asset Money Mkt Fd. cl. A	A	Dividend			Buy	11/04/10	J		
33. Western Asset Money Mkt Fd. cl. A	A	Dividend			Sold	12/06/10	J		

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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/ John M. Rogers

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY 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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