

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 09/03/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☒ Amended Report	
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.	

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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. 2019	The Ohio State University College of Law	\$28,440.00
2. 2019	Penguin Random House	\$20,000.00
3. 2019	Oxford University Press	\$3,232.00
4. 2019	West	\$695.00

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. 2019	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	1/7-16/19 & 1/21-22/19	Cambridge, MA	Teach course at Harvard Law School.	Transportation, Meals, Room
2.	The American Law Institute	1/17-18/19	Philadelphia, PA	Participate in event.	Transportation, Meals, Room
3.	The Federalist Society	1/24-25/19	Cedar Rapids, IA	Participate in event.	Transportation, Meals, Room
4.	Dartmouth College	1/31/19	Washington, DC	Participate in event.	Transportation, Meals, Room
5.	The Federalist Society	2/6-7/19	Houston, TX	Participate in event.	Transportation, Meals, Room
6.	The Federalist Society	2/20-21/19	New York, NY	Participate in event.	Transportation, Meals, Room
7.	University of Illinois	2/25-26/19	Champaign, IL	Participate in event.	Transportation, Meals, Room

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8.	Washington University	2/26-27/19	St. Louis, MO	Participate in event.	Transportation, Meals, Room
9.	University of Notre Dame	2/28/19 - 3/1/19	Notre Dame, IN	Participate in event.	Transportation, Meals, Room
10.	The Federalist Society	3/14-15/19	Tallahassee, FL	Participate in event.	Transportation, Meals, Room
11.	The Federalist Society	4/3/19	Chapel Hill & Raleigh, NC	Participate in multiple events.	Transportation, Meals, Room
12.	University of Illinois College of Law	4/12-13/19	Champaign, IL	Participate in event.	Transportation, Meals, Room
13.	Judicial Council of California, CJER	4/16-17/19	San Francisco, CA	Participate in event.	Transportation, Meals, Room
14.	The Federalist Society	4/24-25/19	Seattle, WA	Participate in event.	Transportation, Meals, Room
15.	Oregon State Bar Association	4/25-26/19	Portland, OR	Participate in event.	Transportation, Meals, Room
16.	Connecticut Bar Association	5/9-10/19	Hartford, CT	Participate in event.	Transportation, Meals, Room
17.	New Mexico Judicial Education Center	5/13-14/19	Albuquerque, NM	Participate in event.	Transportation, Meals, Room
18.	Utah Appellate Courts	5/14-16/19	Salt Lake City, UT	Participate in events.	Transportation, Meals, Room
19.	The American Law Institute	5/19-21/19	Washington, DC	Participate in event.	Transportation, Meals, Room
20.	Maryland Judicial Conference	5/23/19	Annapolis, MD	Participate in event.	Transportation, Meals, Room
21.	New Mexico Judicial Education Center	6/5-6/19	Albuquerque, NM	Participate in events.	Transportation, Meals, Room
22.	American Constitution Society	6/7/19	Washington, DC	Participate in events.	Transportation, Meals, Room
23.	New York Judicial Institute	7/8-9/19	Wading River, NY	Participate in event.	Transportation, Meals, Room
24.	National Association of Attorneys General Training & Research Institute	7/11-12/19	Washington, DC	Participate in event.	Transportation, Meals, Room
25.	New York University	7/14-19/19	New York, NY	Participate in event.	Transportation, Meals, Room
26.	National Association of Appellate Court Attorneys	7/23-24/19	San Diego, CA	Participate in event.	Transportation, Meals, Room
27.	Practicing Law Institute	7/31/19 - 8/1/19	New York, NY	Participate in events.	Transportation, Meals, Room
28.	The Federalist Society	8/13-14/19	Sacramento, CA	Participate in event.	Transportation, Meals, Room
29.	West Virginia College of Law	9/17-18/19	Morgantown, WV	Participate in event.	Transportation, Meals, Room
30.	The Federalist Society	9/19/19	Washington, DC	Participate in event.	Transportation, Meals, Room
31.	Brigham Young University	9/25-26/19	Salt Lake City, UT	Participate in event.	Transportation, Meals, Room
32.	University of Buffalo School of Law	10/1-2/19	Buffalo, NY	Participate in event.	Transportation, Meals, Room
33.	Regent University School of Law	10/4-5/19	Virginia Beach, VA	Participate in event.	Transportation, Meals, Room

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34.	University of Nevada, Las Vegas	10/9-10/19	Las Vegas, NV	Participate in event.	Transportation, Meals, Room
35.	National Center for State Courts	10/15-16/19	Denver, CO	Participate in event.	Transportation, Meals, Room
36.	The American Law Institute	10/16-18/19	New York, NY	Participate in event.	Transportation, Meals, Room
37.	The Federalist Society	11/14-15/19	Washington, DC	Participate in event.	Transportation, Meals, Room

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V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
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.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

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. 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	L	T					
6. Fidelity Strategic Bond Fund (IRA)	A	Interest	J	T					
7. Fidelity Magellan Mutual Fund (IRA)	A	Dividend	K	T					
8. Fidelity Overseas Mutual Fund (IRA)	A	Dividend	J	T					
9. Vanguard Money Market Fund	A	Interest	L	T					
10. Vanguard S&P 500 Index Fund (IRA)	B	Dividend	M	T					
11. TIAA Traditional	A	Dividend	K	T					
12. CREF Stock R1	A	Dividend	M	T					
13. TIAA Real Estate	A	Dividend	J	T					
14. CREF Bond R1	A	Dividend	J	T					
15. T Rowe Price 2025 Fund Class R	A	Dividend	K	T					
16.									
17.									

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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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/ **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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