

FINANCIAL DISCLOSURE REPORT
Nomination Report

Report required by the Ethics in
Government Act of 1978, as amended
(5 U.S.C. App. 4, Sec. 101-112)

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 12/28/2001
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Judge (nominee)	5. Report Type (check type) X Nomination, Date 12/19/2001 Initial Annual Final	6. Reporting Period 01/01/2000 to 11/30/2001
7. Chambers or Office Address University of Kentucky College of Law Lexington KY 40506-0048	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 section where you have no reportable information. Sign on the last page.		

I. POSITIONS (Reporting individual only; see pp. 9-13 of Instructions.)

POSITION	NAME OF ORGANIZATION / ENTITY
☐ NONE (No reportable positions.)	
1 Professor	University of Kentucky College of Law, Lexington KY 40506-0048
2 Consultant	Herman, Mathis, Casey & Kitchens
3 Consultant	Greenberg, Traurig

I. AGREEMENTS (Reporting individual only; see pp. 14-16 of Instructions.)

DATE	PARTIES AND TERMS
☐ NONE (No reportable agreements.)	
1 04/17/97	Contract with Ashgate Publishing Co. Ltd., Aldershot, England, for 10% royalty on my book, International Law and United States Law.
2 07/31/01	Publishing agreement with Aspen Publishers and co-authors M. Healy and R. Krotoszynski for an administrative law casebook with 15% royalty for the authors.
3	

I. NON-INVESTMENT INCOME (Reporting individual and spouse; see pp. 17-24 of Instructions.)

DATE	SOURCE AND TYPE	GROSS INCOME (yours, not spouse's)
☐ NONE (No reportable non-investment income.)		
1 2000	University of Kentucky College of Law	115,300
2 2000	Royalty from Ashgate Publishing.	1,394
3 2000	Consulting fees from Herman Mathis & Greenberg Traurig	3,983
4 2001	University of Kentucky College of Law	109,839

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IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children. See pp. 25-28 of Instructions.)

	SOURCE	DESCRIPTION
☐	NONE (No such reportable reimbursements.)	
1		Exempt
2		
3		
4		
5		
6		
7		

V. GIFTS

(Includes those to spouse and dependent children. See pp. 29-32 of Instructions.)

	SOURCE	DESCRIPTION	VALUE
☐	NONE (No such reportable gifts.)		
1		Exempt	
2			
3			

VI. LIABILITIES

(Includes those of spouse and dependent children. See pp 33-35 of Instructions.)

	CREDITOR	DESCRIPTION	VALUE CODE*
☒	NONE (No reportable liabilities.)		
1			
2			
3			
4			
5			
6			

VAL CODES: J=\$15,000 or less K=\$15,001-\$50,000 L=\$50,001 to \$100,000 M=\$100,001-\$250,000 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=\$50,000,001 or more

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VII. Page 1 INVESTMENTS and TRUSTS -- income, value, transactions

(Includes those of spouse and dependent children. See pp. 36-54 of instructions.)

A. Description of Assets (including trust assets) <i>Place "(X)" after each asset exempt from prior disclosure.</i>	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code (A-H)	(2) Type (e.g., dividend, rent or interest)	(1) Value Code (J-P)	(2) Value Method Code (Q-W)	(1) Type (e.g., buy, sell, partial sale, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month- Day	(3) Value Code (J-P)	(4) Gain Code (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions.)									
1 Oracle Common Stock			J	T	Exempt				
2 LexMark common stock	A	Dividend	J	T	Exempt				
3 Wal-Mart common stock	A	Dividend	J	T	Exempt				
4 USAA Aggressive Growth Fund (IRA)			L	T	Exempt				
5 TIAA retirement account	E	Interest	N	T	Exempt				
6 CREF Retirement Accounts			O	T	Exempt				
7 U.S. Savings Bonds Series EE	D	Interest	M	T	Exempt				
8 First Federal Savings Bank savings account	A	Interest	J	T	Exempt				
9 Salomon Smith Barney money market account	A	Dividend	J	T	Exempt				
10 Inventory of imported needle-point items (orig. cost basis)			J	V	Exempt				
11 First Federal Savings Bank CD	B	Interest	J	T	Exempt				
12 Life ins. policy Phoenix Life Ins. Co.			J	T	Exempt				
13 1/3 of life ins. policy Uniformes Svs. Benefit Assn.	A	Distribut ion	J	T	Exempt				
14 USAA Subscriber's Savings Account	A	Distribut ion	J	T					
15 Central Bank Checking Account	A	Interest	J	T					
16									
17									

Inc/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

Col. B1, D4) F=\$50,001-\$100,000

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

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

H2=\$5,000,001 or more

Val Codes: J=\$15,000 or less

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

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

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

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

Col. C1, D3) 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=\$50,000,001 or more

Val Mth Codes: Q=Appraisal

R=Cost (real estate only)

S=Assessment

T=Cash/Market

Col. C2) U=Book Value

V=Other

W=Estimated

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VII. ADDITIONAL INFORMATION OR EXPLANATIONS.

(Indicate part of report.)

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SECTION HEADING. (Indicate part of report.)

Information continued from Parts I through VI, inclusive.

PART 1. POSITIONS (cont'd.)

Line	Position	Name of Organization/Entity
4	Chair	Association of American Law Schools Section on International Law
5	Steering Committee member	Central Kentucky Lawyers Chapter, Federalist Society for Law & Public Policy Studies
6	Co-Chair	Committee on International Legal Education, ABA Section on International Law and Practice

PART 3. NON-INVESTMENT INCOME (cont'd.)

Line	Date	Source and Type	Gross Income
5	2001	Internet sale of imported needlepoint	2,888 (gross)
6	2000	Kentucky World Trade Center	
7	2000	Lexington Chinese School	
8	2001	Kentucky World Trade Center	
9	2001	Lexington Chinese School	
10	2000	Internet sale of imported needlepoint	1,192 (net)
11	2001	Royalty from Ashgate Publishing	288
12	2001	Consulting fee from Herman Mathis	227
13	2001	Language Unlimited, Inc.	

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IX. CERTIFICATION

I certify that all the 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. 4, section 501 et. seq., 5 U.S.C. 7353 and Judicial Conference regulations.

Signature

John M Rogers

Date

27 Dec 01

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. 4, Section 104).

FILING INSTRUCTIONS**Mail original and three additional copies to:**

Committee on Financial Disclosure
Administrative Office of the United States Courts
One Columbus Circle, N.E.
Suite 2-301
Washington, D.C. 20544

FINANCIAL STATEMENT NET WORTH

Provide a complete, current financial net worth statement which itemizes in detail all assets (including bank accounts, real estate, securities, trusts, investments, and other financial holdings) all liabilities (including debts, mortgages, loans, and other financial obligations) of yourself, your spouse, and other immediate members of your household.

ASSETS		LIABILITIES	
Cash on hand and in banks	\$ 35,000	Notes payable to banks-secured	
U.S. Government securities-add schedule (US Savings Bonds ser. EE)	108,958	Notes payable to banks-unsecured	
Listed securities-add schedule 100 sh Oracle (ORCL) \$1591 100 sh Verticalnet (VERT) \$155 170 sh LexMark (LXK) \$9132 82 sh Wal-Mart (WMT) \$4538	15,416	Notes payable to relatives	
Unlisted securities--add schedule		Notes payable to others	
Accounts and notes receivable:		Accounts and bills due	
Due from relatives and friends		Unpaid income tax	
Due from others		Other unpaid income and interest	
Doubtful		Real estate mortgages payable-add schedule (residence, National City Bank)	\$ 97,240
Real estate owned-add schedule (residence, Lexington KY)	250,000	Chattel mortgages and other liens payable	
Real estate mortgages receivable		Other debts-itemize:	
Autos and other personal property	40,000		
Cash value-life insurance	12,341		
Other assets itemize:			
USAA Aggressive Growth Fund (IRA)	44,907		
TIAA-CREF (retirement account)	743,551		
USAA Subscriber Savings Account	1,504	Total liabilities	97,240
		Net Worth	1,154,437
Total Assets	1,251,677	Total liabilities and net worth	1,251,677
CONTINGENT LIABILITIES	None	GENERAL INFORMATION	
As endorser, cosaker or guarantor		Are any assets pledged? (Add schedule)	No
On leases or contracts		Are you defendant in any suits or legal actions?	No
Legal Claims		Have you ever taken bankruptcy?	No
Provision for Federal Income Tax			
Other special debt			