

FINANCIAL DISCLOSURE REPORT
NOMINATION FORMReport 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 U.S. Court of Appeals	3. Date of Report 5/14/01
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Court of Appeals Judge	5. Report Type (check appropriate type) ☒ Nomination, Date <u>5/9/01</u> ☐ Initial ☐ Annual ☐ Final	6. Reporting Period 1/1/00 to 4/30/01
7. Chambers or Office Address Jones, Day, Reavis & Pogue 41 S. High Street, Suite 1900 Columbus, Ohio 43215	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 Instructions.)

POSITION

NAME OF ORGANIZATION/ENTITY

☐

NONE (No reportable positions.)

1 Partner	Jones, Day, Reavis & Pogue
2 Director	The Jeffrey Company
3 Director	ProMusica Chamber Orchestra of Columbus
4 President	The Ohio State University College of Law Alumni Society
5 Director	The Equal Justice Foundation
6 Officer	The Federalist Society -- Separation of Power and Federalism Practice Group
7 Adjunct Faculty	The Ohio State University College of Law
8 President	Williams College -- Central Ohio Alumni Organization
9 Board Member	Williams College -- Executive Committee of the Alumni Society
10 Director	Ohio Supreme Court Committee on Dispute Resolution
11 Consultant	The Ohio Judicial College

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

DATE

PARTIES AND TERMS

☐

NONE (No reportable agreements.)

1 1995	Public Employees' Retirement System; unvested retirement account.
2 1997	State Teacher's Retirement System; unvested retirement account.
3 1992	Jones, Day, Reavis & Pogue -- Keogh and 401 Accounts.

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

DATE

SOURCE AND TYPE

GROSS INCOME

☐

NONE (No reportable non-investment income.)

1	1999	Ohio Attorney General	\$ 13,364
2	1999	Jones, Day, Reavis & Pogue	\$ 190,000
3	1999	The Jeffrey Company	\$ 29,600
4	2000	Jones, Day, Reavis & Pogue	\$ 240,000
	2000	The Jeffrey Company	(est.) 27,000
	2001	Jones, Day, Reavis & Pogue	330,000
5	2001	The Jeffrey Company	\$ (est.) 27,000

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting	Date of Report
Jeffrey S. Sutton	4/4/01

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.
(Includes those to spouse and dependent children. See pp. 25-27 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. 28-31 of Instructions.)

SOURCE

DESCRIPTION

VALUE

☐

NONE (No such reportable gifts.)

1	Exempt	\$
2		\$
		\$
		\$
4		\$
		\$

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Jeffrey S. Sutton

Date of Report

5/14/01

VII. Page 3 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

A Description of Assets (including trust assets)	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Am. Code1 (A-H)	Type (e.g., div. rent or int.)	Value Code2 (J-P)	Value Method Code (Q-W)	Type (e.g., buy, sell, merger, redemption)	(2) Date Month Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions)					Exempt				
25 Bristol Myers common stock		A	Div.	J	T				
26 Cisco common stock		A	Div.	J	T				
27 Citigroup common stock		A	Div.	J	T				
28 Comcast common stock		A	Div.	J	T				
29 Dell common stock		A	Div.	J	T				
30 Du Pont common stock		A	Div.	J	T				
31 Exxon common stock		A	Div.	J	T				
32 GE common stock		A	Div.	J	T				
33 Harley Davidson common stock		A	Div.	J	T				
34 Home Depot common stock		A	Div.	J	T				
35 Intel common stock		A	Div.	J	T				
36 IBM common stock		A	Div.	J	T				
37 JP Morgan common stock		A	Div.	J	T				
38 Merck common stock		A	Div.	J	T				
39 Microsoft common stock		A	Div.	J	T				
40 Schlumberger Ltd. common stock		A	Div.	J	T				
41 Solectron common stock		A	Div.	J	T				

1. Income/Gain Code: (See Col. B1, D4)	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
2. Value Codes: (See Col. C1, D3)	F-\$50,001-\$100,000	G-\$100,001-\$1,000,000	H1-\$1,000,001-\$5,000,000	H2-More than \$5,000,000	
	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	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: (See Col. C2)	Q-Appraisal	R-Cost (real estate only)	S-Assessment	T-Cash/Market	
	U-Book value	V-Other	W-Estimated		

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Name of Person Reporting	Date of Report
Jeffrey S. Sutton	5/14/01

VII. Page 4 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of instructions.)

Description of Assets (including trust assets)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period					
	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure				
	Place "00" after each asset exempt from prior disclosure	Amt. Code1 (A-H)	Type (e.g., div., rent or int.)	Value Code2 (J-P)	Value Method Code (Q-W)	Type (e.g., buy, sell, merger, redemption)	(2) Date: Month Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-F)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions)					Exempt					
42 Sprint common stock		A	Div.	J	T					
43 Tyco common stock		A	Div.	J	T					
44 Wal-Mart common stock		A	Div.	J	T					
45 Wells Fargo common stock		A	Div.	J	T					
46 Worldcom common stock		A	Div.	J	T					
47 AT&T Corp.		A	Int.	J	W					
48 Du Pont		A	Int.	J	W					
49 Household Finance Corporation		A	Int.	K	W					
50 U.S. Treasury Bills		B	Int.	K	W					
51 Armada Money Market Fund		A	Int.	J	W					
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57										
58										
59										

1

Income/Gain Codes (See Col. B1-D4)

A=\$1,000 or less
F=\$50,001-\$100,000
G=\$100,001-\$1,000,000
H1=\$1,000,001-\$5,000,000
H2=More than \$5,000,000

B=\$1,001-\$2,500
J=\$15,001-\$50,000
K=\$15,001-\$50,000
L=\$50,001-\$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=More than \$50,000,000

C=\$2,501-\$5,000
I=\$50,001-\$100,000
M=\$100,001-\$250,000
P2=\$5,000,001-\$25,000,000
P4=More than \$50,000,000

D=\$5,001-\$15,000
H2=More than \$5,000,000

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

2

Value Codes (See Col. C1-D3)

J=\$15,000 or less
N=\$250,001-\$500,000
P1=\$1,000,001-\$5,000,000
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

T=Cash/Market

3

Value Method Codes (See Col. C2)

Q=Appraisal
U=Book value

R=Cost (real estate only)
V=Other

S=Assessment
W=Estimated

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VII. Page 5 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 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)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Am't Code 1 (A-H)	Type (e.g., div., rent or int.)	Value Code 2 (1-P)	Value Method Code (Q-W)	Type (e.g., buy, sell, merger, redemption)	(2) Date: Month Day	(3) Value Code 2 (1-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions)					Exempt				
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1	Income/Gain Codes: A-\$1,000 or less (See Col. B1, D4)	B-\$1,001-\$2,500	C-\$2,501-\$5,000	D-\$5,001-\$15,000	E-\$15,001-\$50,000
	F-\$50,001-\$100,000	G-\$100,001-\$1,000,000	H-\$1,000,001-\$5,000,000	I-\$5,000,001-\$25,000,000	J-More than \$25,000,000
2	Value Codes: J-\$15,000 or less (See Col. C1, D3)	K-\$15,001-\$50,000	L-\$50,001-\$100,000	M-\$100,001-\$250,000	N-\$250,001-\$500,000
	O-\$500,001-\$1,000,000	P-\$1,000,001-\$5,000,000	Q-\$5,000,001-\$25,000,000	R-\$25,000,001-\$50,000,000	S-More than \$50,000,000
3	Value Method Codes: Q-Appraisal (See Col. C2)	R-Cost (real estate only)	S-Assessment	T-Cash/Market	W-Other

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	est.	10	000	Notes payable to banks-secured	est.	3	500
U.S. Government securities-add schedule	no			Notes payable to banks-unsecured	no		
Listed securities--AT&T; Wendy's	est.	1	500	Notes payable to relatives	no		
Unlisted securities--add schedule	no			Notes payable to others -- Jones Day partner loan		30	000
Accounts and notes receivable:	no			Accounts and bills due (except monthly bills)	no		
Due from relatives and friends	no			Unpaid income tax	no		
Due from others	no			Other unpaid income and interest	no		
Doubtful	no			Real estate mortgages payable-- Norwest Mortgage Company (30 year fixed)		166	200
Real estate owned-residence	est.	275	000	Chattel mortgages and other liens payable	no		
Real estate mortgages receivable	no			Other debts-itemize:	no		
Autos and other personal property	est.	35	000				
Cash value-life insurance	no						
Other assets itemize:							
Trust in which wife is beneficiary (est. market value)	est.	306	000				
Jones, Day, Reavis & Pogue (401K and Keogh)	est.	70	000				
Children's College Savings Accounts	est.	15	000	Total liabilities		199	700
State of Ohio Deferred Compensation	est.	23	000	Net Worth		636	300
Ohio State Teachers Retirement System	est.		500				
Ohio Personal Employees Retirement System	est.	20	000				
Fidelity IRA Accounts	est.	80	000				
Total Assets		836	000	Total liabilities and net worth			
CONTINGENT LIABILITIES				GENERAL INFORMATION			
As endorser, comaker or guarantor	no			Are any assets pledged? (Add schedule)	no		
On leases or contracts	no			Are you defendant in any suits or	no		