

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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 05/12/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge -- Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address 100 E. Vine Street, Suite 400 Lexington KY 40507		
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. 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 (now Wolters Kluwer) 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. 2020	Wolters Kluwer Publishing, Book Royalties	\$335.00
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. 2020	Chinese Cultural & Education Center of Lexington
2. 2020	Clark University
3. 2020	Concordia University - Chicago
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.				
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.)

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.		

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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. TIAA retirement account-Traditional Guaranteed	E	Interest	O	T					
2. CREF retirement account-CREF Stock R3		None	P1	T	Distributed (part)	12/01/20	L		
3. US Savings Bonds Series EE	C	Interest	M	T					
4. Broker cash Acct.-USAA Treas. Mkt.	A	Interest	J	T					
5. USAA Subscriber's Savings Account	B	Distribution	J	T					
6. Central Bank Checking Account	A	Interest	L	T					
7. Chase Checking Account		None	J	T					
8. USAA Fed. Savings Bank	A	Interest	J	T					
9. USAA Precious Metals Fund (USAGX)	A	Dividend	K	T					
10. USAA World Growth Fund (USAWX)	A	Dividend	L	T					
11. USAA Sci & Tec Fund (USSCX)	D	Dividend	M	T					
12. USAA Growth & Inc Fund (USGRX)	A	Dividend	L	T					
13. USAA Value Fund (UVALX)	A	Dividend	K	T					
14. USAA Growth Fund (USAAAX)	A	Dividend	M	T					
15. USAA Small Cap Stock Fund (USCAX)	A	Dividend	K	T					
16. USAA Extended Mkt Index Fund (USMIX)	A	Dividend	K	T					
17. USAA Target Retirem't Inc Fund (URINX)	A	Dividend	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 \$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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☐ 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)
18. USAA NASDAQ-100 Index Fund (USNQX)	A	Dividend	K	T					
19. USAA Intl. Fund Retail (USIFX)	A	Dividend			Sold	03/31/20	M	A	
20. USAA Growth & Income Fund Retail (USGRX)	A	Dividend			Sold	05/01/20	M	A	
21. USAA Value Fund Retail (UVALX)	A	Dividend			Sold	03/25/20	K	A	
22. USAA Aggressive Growth Fund Retail (USAUX)	A	Dividend	M	T					
23. USAA NASDAQ 100 Index Retail (USNQX)	A	Dividend	M	T	Buy (add'l)	04/02/20	K		
24.					Buy (add'l)	06/12/20	J		
25.					Buy (add'l)	07/29/20	J		
26.					Buy (add'l)	09/15/20	J		
27.					Buy (add'l)	12/14/20	J		
28. USAA Sci & Tech Fund (USSCX)	A	Dividend	M	T	Buy (add'l)	04/02/20	K		
29.					Buy (add'l)	04/23/20	J		
30. USAA 500 Index (USSPX/USPRX)	A	Dividend	N	T	Buy	04/02/20	L		
31.					Buy (add'l)	05/15/20	M		
32.					Buy (add'l)	06/09/20	J		
33. USAA Treas. MMKT (UATXX)		None			Sold	05/30/20	J	A	
34. USAA Growth Fund (IRA) (USAAX)	A	Dividend	L	T					

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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				
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35. USAA Income Stock Fund Retail (IRA) (USISX)	A	Dividend			Sold	05/20/20	K	A	
36. USAA Intl. Fund Retail (IRA) (USIFX)	A	Dividend			Sold	03/31/20	L	A	
37. USAA Aggressive Growth Fund (IRA) (USAUX)	A	Dividend	L	T					
38. USAA 500 Index (IRA) (USSPX)	A	Dividend	K	T	Buy	05/20/20	K		
39. USAA NASDAQ-100 (IRA) (USNQX)	A	Dividend	K	T	Buy	04/02/20	K		
40. USAA SCI & TECH (IRA) (USSCX)	A	Dividend	L	T	Buy	04/02/20	K		
41. K. Anderson promissory note	A	Interest			Redeemed	05/20/20	J		

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.)*

Part VII, line 2: In response to the Committee's request five years ago, I understand that you are asking for income generated by the assets, and I understand the difference between market fluctuations and income. However, the statements do not provide the level of detail required. Rather than guess, I have listed "none."

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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 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