

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) Sutton, Jeffrey S.	2. Court or Organization Sixth Circuit Court of Appeals	3. Date of Report 04/23/2021
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 01/01/2020 to 12/31/2020
	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. 2020	The Ohio State University College of Law - Teaching	\$25,856.00
2. 2020	Penguin Random House - Royalties	\$12,500.00
3. 2020	Oxford University Press - Royalties	\$4,776.00
4. 2020	West - Royalties	\$1,595.00

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. 2020	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	01/05/20 to 01/15/20; 01/17/20 to 01/22/20	Cambridge, MA	Teach course at Harvard Law School	Transportation, Meals, Room
2. The American Law Institute	01/15/20 to 01/17/20	Philadelphia, PA	Participate in event.	Transportation, Meals, Room
3. University of Houston Law Foundation	02/03/20 to 02/04/20	Houston, TX	Participate in event.	Transportation, Meals, Room
4. The University of Texas at Austin	02/04/20 to 02/05/20	Austin, TX	Participate in event.	Transportation, Meals, Room
5. University of Georgia School of Law	02/05/20 to 02/06/20	Athens, GA	Participate in event.	Transportation, Meals, Room

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6.	Stanford University	02/06/20 to 02/07/20	Stanford, CA	Participate in event.	Transportation, Meals, Room
7.	The Federalist Society	02/14/20	Charleston, SC	Participate in event.	Transportation, Meals
8.	University of Michigan Law School	02/24/20 to 02/25/20	Ann Arbor, MI	Participate in event.	Transportation, Meals, Room
9.	William & Mary Law School	02/27/20 to 02/28/20	Williamsburg, VA	Participate in event.	Transportation, Meals, Room
10.	Fordham University School of Law	03/03/20 to 03/04/20	New York, NY	Participate in event.	Transportation, Meals, Room
11.	University of North Dakota Law School	08/16/20 to 08/18/20	Bismarck, ND	Participate in event.	Transportation, Meals, Room
12.	The Federalist Society	09/17/20 to 09/18/20	Charlottesville, VA	Participate in event.	Meals, Room
13.	Regent University	09/20/20 to 09/21/20	Virginia Beach, VA	Teach course at Regent Law School.	Transportation, Meals, Room
14.	George Mason University Antonin Scalia Law School Law & Economics Center	09/25/20 to 10/02/20	Pray, MT	Teach at seminar for judges.	Transportation, Meals, Room
15.	The Federalist Society	10/28/20 to 10/29/20	Montgomery, AL	Participate in event.	Transportation, Meals, Room
16.					
17.					
18.					

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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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