

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 10/13/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge -- Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

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.)

DATE

PARTIES AND TERMS

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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2015	Wolters Kluwer Publishing, Book Royalties	\$530.00
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.)*

DATE	SOURCE AND TYPE
1. 2015	University of Kentucky
2. 2015	Chinese Cultural & Education Center of Lexington
3. 2015	Birtley Industrial Equipment Co.
4. 2015	Bluegrass Evergreen LLC
5. 2015	Belcan Services Group

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☐ NONE *(No reportable reimbursements.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. Vanderbilt Law School	February 5-7, 2015	Nashville, TN	Judge moot court	Meals, lodging
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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) 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)
1. USAA Aggressive Growth Fund (IRA)		None			Distributed (part)	02/17/15	J		
2.					Distributed (part)	04/06/15	J		
3.					Distributed (part)	04/20/15	J		
4.					Distributed (part)	07/15/15	J		
5.					Distributed	09/01/15	K	B	
6. TIAA retirement account-Traditional Guaranteed	E	Interest	O	T					
7. CREF retirement account-CREF Stock R3		None	P1	T					
8. CREF retirement account-CREF Stock R2		None	K	T					
9. CREF retirement account-CREF Equity Index R2		None	K	T					
10. US Savings Bonds Series EE		None	M	T					
11. Morgan Stanley Smith Barney bank deposit account	A	Interest	J	T					
12. USAA Subscriber's Savings Account	A	Distribution	J	T					
13. Central Bank Checking Account	A	Interest	J	T					
14. Neuberger Berman Genesis Fd NBGIX	A	Dividend	J	T					
15. Blackrock Eq Div Fd cl A MADVX	B	Dividend	L	T					
16. Touchstone Sands Cap Sel CFSIX	A	Dividend	L	T					
17. Lazard Emerging Mkts Port Fd LZEMX	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 = \$250,000.01 - \$500,000.00	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 \$5,000,000	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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18. TCW Sm Cap Growth Fd cl N TGSCX	A	Dividend	K	T					
19. Cohen & Steers Realty Shs. Fd. CSRSX	A	Dividend	J	T					
20. Lazard Intl Strat Eq LISIX	A	Dividend	K	T					
21. Invesco Prem US Govt IUGXX		None	J	T					
22. Prudential Jennison Mid Cap PEGZX	A	Dividend	K	T					
23. PIMCO Sh Term PTSPX	A	Dividend	J	T					
24. Blackrock Hi Yld BHYAX/BHYIX	A	Dividend	J	T					
25. Invesco Am Value MSAIX	A	Dividend	J	T					
26. USAA Precious Metals Fund (USAGX)		None	J	T					
27. USAA World Growth Fund (USAWX)	B	Dividend	K	T					
28. USAA International Fund (USIFX)	B	Dividend	K	T					
29. USAA Sci & Tec Fund (USSCX)	C	Dividend	L	T					
30. USAA Growth & Inc Fund USGRX	B	Dividend	K	T					
31. USAA Inc Stock Fund USISX	B	Dividend	K	T					
32. USAA Value Fund UVALX	B	Dividend	K	T					
33. Vanguard Trgt Retire 2050 Fnd Inv (Birtley 401k plan)	D	Dividend	K	T	Sold (part)	05/03/15	M	D	
34. Eaton Vance Tax MGD Div Equ FD (EXG)	B	Dividend	J	T	Buy	05/22/15	J		

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35. First Trst Hlth Care Alpha ETF (FXH)	A	Dividend	K	T	Buy	05/22/15	K		
36. First Trust Amex Biotech (FBT)	A	Dividend	K	T	Buy	05/22/15	K		
37. First Trust Consmr Staples ETF (FXG)	A	Dividend	K	T	Buy	05/22/15	K		
38. First Trust Consumer Discret (FXD)	A	Dividend	K	T	Buy	05/22/15	K		
39. First Trust DJ Internet IDX (FDN)	A	Dividend	K	T	Buy	05/22/15	K		
40. First Trust DW Focus 5 INTL (IFV)	A	Dividend	J	T	Buy	05/22/15	J		
41. Lazard Intl Strat EQ PTF Inst (LISIX)	A	Dividend	J	T	Buy	05/22/15	J		
42. Mainstay Cushing MLP Premier 1 (CSHZX)	A	Dividend	J	T	Buy	05/22/15	J		
43. K. Anderson promissory note	A	Interest	J	T					
44. Western Asset Money Mkt Fd. cl. A (Y)									

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII, lines 7-9: In response to the Committee's request, 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