

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) Moore, Karen N.	2. Court or Organization U.S. Court of Appeals-6th Cir.	3. Date of Report 05/06/2021
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	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address Carl B. Stokes U.S. Courthouse 801 W. Superior Ave., Ste 21A Cleveland, Ohio 44113-1831		
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. Trustee	Trust #2
2. Member, Visiting Committee	Harvard Law School
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.	
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.		
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.		
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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

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.)

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
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. Key Bank Account	A	Interest	M	T					
2. Key Bank Gold Money Market Savings	A	Interest	L	T					
3. Key Bank CD	B	Interest			Redeemed	06/11/20	L	A	
4. IRA T. Rowe Price New Horizons Fund	F	Dividend	O	T	Sold (part)	01/20/20	K		
5. TIAA (Pension Fund)	E	Interest	O	T	Sold (part)	01/23/20	J		
6. CREF (Pension Fund)		None	P1	T	Sold (part)	01/23/20	K		
7. Vanguard Wellesley Income Fund (Retirement Fund)	A	Dividend	M	T	Sold (part)	01/09/20	J		
8. Vanguard Windsor Fund (Retirement Fund)	D	Dividend	M	T	Sold (part)	01/09/20	J		
9. Vanguard Wellington Fund (Retirement Fund)	D	Dividend	M	T	Sold (part)	01/09/20	J		
10. Dodge & Cox Stock Fund (Rollover IRA)	D	Dividend	M	T					
11. Fidelity Capital Appreciation (Rollover IRA)	D	Dividend	L	T					
12. T. Rowe Price Growth Stock	C	Dividend	L	T					
13. IRA American Funds--Capital World Growth & Income CL A	A	Dividend	L	T	Sold (part)	02/18/20	J		
14. IRA American Funds--Investment Co of Am CL A	B	Dividend	K	T	Sold (part)	02/18/20	J		
15. Baird Core Plus Inst (Rollover IRA)	B	Dividend	K	T					
16. American Funds--Capital Inc Bldr Fund CL A	A	Dividend	J	T					
17. PNC Money Market	A	Interest	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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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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18. IRA Income Fund of Am Fd CL A	B	Dividend	K	T					
19. Franklin Rising Div Fd	A	Dividend	K	T	Buy (add'l)	11/09/20	J		
20. Income Fund of Am Fd CL A	A	Dividend	K	T					
21. Franklin Mut Glbl DScv Fd CL A	A	Dividend	J	T	Sold (part)	11/09/20	J		
22. Franklin Fltg Rate Dly Access	A	Dividend			Sold	11/09/20	J	A	
23. Franklin Fed Tax Free Income CL A	A	Dividend	J	T					
24. Franklin High Yield Tax Free	A	Dividend	J	T					
25. Franklin Fed Intr-TM Tx FR Incm	A	Dividend	J	T					
26. IRA American Fnd New Perspective Fd CL A	A	Dividend	J	T					
27. Franklin Dynatech Fund Cl A	A	Dividend	J	T					
28. Franklin Equity Income Fund A	A	Dividend	J	T					
29. Franklin Fed Intr--Tm Txfr Incm A	B	Dividend	L	T	Sold (part)	02/13/20	J	A	
30. Franklin Fed Ltd Term Tax Free	A	Dividend	L	T					
31. Franklin Fed Tax-Free Income A	B	Dividend	L	T	Sold (part)	02/13/20	J	A	
32. Franklin Growth Series Class A	A	Dividend	J	T					
33. Franklin High Yield Tax Free A	B	Dividend	K	T	Sold (part)	02/13/20	J	A	
34.					Sold (part)	06/15/20	K	A	

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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	
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35. Franklin Mut Gbl Dscv Fd Cl A	A	Dividend	J	T					
36. Franklin Rising Dividends Fd A	A	Dividend	K	T					
37. Templeton Global Smaller Cos A	A	Dividend	J	T					
38. Fidelity Asset Manager 40%	B	Dividend	L	T					
39. Fidelity Freedom Index 2025 Investor (Rollover IRA)	C	Dividend	M	T					
40. Fidelity 500 Index Premium Class	A	Dividend	K	T					
41. Fidelity Tax Free Bond	B	Dividend	L	T					
42. Fidelity Ohio Muni Income	C	Dividend	L	T					
43. Fidelity Govt Money Mkt	A	Dividend	L	T	Buy (add'l)	06/23/20	K		
44. Fidelity Asset Manager 60%	A	Dividend	K	T					
45. Fidelity Zero Int' Index	A	Dividend	K	T	Buy (add'l)	06/23/20	K		
46. Fidelity Zero Total Market Index	A	Dividend	K	T					
47. American TaxAdv G&I Port A now Am. Tax-Aware Cons G&IA	A	Dividend	K	T	Buy (add'l)	06/30/20	K		
48. Federated Prime Cash Oblig	A	Interest			Sold	02/14/20	K	A	
49. American Express National Bank	A	Interest			Closed	03/27/20	K	A	
50. Morgan Stanley Bank Na (X)	A	Interest	J	T	Buy	08/28/20	K		
51. Am. Fundamental Inv A (X)	A	Dividend	J	T	Buy	11/09/20	J		

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	(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)
52. Am. Growth Fd of Am A (X)	A	Dividend	J	T	Buy	11/09/20	J		
53. Am. New Persp. A (X)	A	Dividend	J	T	Buy	11/09/20	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 - Items 27-37 are from Trust #2.

Part VII - Item 4. Twelve monthly equal partial sales totalling K.

Part VII - Items 7, 8, 9. Twelve monthly equal partial sales totalling K.

Part VII - Items 5, 6. Four equal partial sales on 1/23, 2/23, 3/23, 4/23 totalling K.

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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/ **Karen N. Moore**

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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One Columbus Circle, N.E.
Washington, D.C. 20544