

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 05/10/2017
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 01/01/2016 to 12/31/2016
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. President, Board of Overseers	Harvard University
2. Trustee	Trust #2 (See note -- Part VIII)
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. Harvard University	2/5/16 - 2/7/16	Cambridge, MA	Board Meeting	Transportation, food, lodging
2. Harvard University	2/24/16 - 2/26/16	Cambridge, MA	Committee Meeting	Transportation, food, lodging
3. Harvard University	4/1/16 - 4/4/16	Cambridge, MA	Board Meeting	Transportation, food, lodging
4. Federal Judges Association	5/17/16 - 5/18/16	Washington, DC	Board Meeting	Transportation, food, lodging
5. Harvard University	5/24/16 - 5/27/16	Cambridge, MA	Board Meeting	Transportation, food, lodging

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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. Deutsche Cash Investment Trust	A	Dividend	J	T					
3. Deutsche Managed Municipal Bonds	D	Distribution	M	T					
4. IRA T. Rowe Price New Horizons Fund	E	Distribution	N	T					
5. TIAA (Pension Fund)	E	Interest	O	T					
6. CREF (Pension Fund)		None	P1	T					
7. Vanguard Wellesley Income Fund (Retirement Fund)	C	Dividend	M	T					
8. Vanguard Windsor Fund (Retirement Fund)	D	Dividend	M	T					
9. Vanguard Wellington Fund (Retirement Fund)	D	Dividend	M	T					
10. Dodge & Cox Stock Fund (Rollover IRA)	C	Int./Div.	L	T					
11. Pension Plan--Blkrk Infl Pro Bd K	A	Dividend			Closed	08/25/16	J		
12. Fidelity Capital Appreciation (Rollover IRA)	C	Dividend	L	T					
13. Pension Plan--Artisan Intl Inst	A	Dividend			Closed	08/25/16	K		
14. T. Rowe Price Growth Stock	A	Distribution	K	T					
15. IRA American Funds--Capital World Growth & Income CL A	B	Dividend	K	T					
16. IRA American Funds--Investment Co of Am CL A	B	Dividend	K	T					
17. Baird Core Plus Inst (Rollover IRA)	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 ~\$250,000,001 - \$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 \$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. Pension Plan--EV AC SMID Cap R6	A	Dividend			Closed	08/25/16	K		
19. Pension Plan--Glenmede Sm Cap Eq Is	A	Dividend			Closed	08/25/16	K		
20. American Funds--Capital Inc Bldr Fund CL A	A	Dividend	J	T					
21. Pension Plan--Opp Dev Mkt Y	A	Dividend			Closed	08/25/16	K		
22. PNC Money Market	A	Interest	K	T					
23. IRA Income Fund of Am Fd CL A	A	Dividend	K	T					
24. Franklin Rising Div Fd	A	Dividend	J	T					
25. Income Fund of Am Fd CL A	A	Dividend	J	T					
26. Franklin Mut Gbl DScv Fd CL A	A	Distribution	J	T					
27. Franklin Fltg Rate Dly Access	A	Dividend	J	T					
28. Franklin Fed Tax Free Income CL A	A	Dividend	J	T					
29. Franklin High Yield Tax Free	A	Dividend	J	T					
30. Franklin Fed Intr-TM Tx FR Incm	A	Dividend	J	T					
31. IRA American Fnd New Perspective Fd CL A	A	Distribution	J	T					
32. Key Bank Checking	A	Interest	M	T					
33. Franklin Dynatech Fund Cl A	A	Distribution	J	T					
34. Franklin Equity Income Fund A	A	Distribution	J	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. Franklin Fed Intr--Tm Txfr Incm A	A	Dividend	L	T	Buy	02/16/16	J		
36.					Buy	04/25/16	J		
37.					Buy	06/13/16	J		
38.					Buy	07/12/16	J		
39. Franklin Fed Ltd Term Tax Free	A	Dividend	L	T	Buy	02/16/16	J		
40.					Buy	04/25/16	J		
41.					Buy	06/13/16	J		
42.					Buy	07/12/16	J		
43. Franklin Fed Tax-Free Income A	B	Dividend	L	T	Buy	02/16/16	J		
44.					Buy	04/25/16	J		
45.					Buy	06/13/16	J		
46.					Buy	07/12/16	J		
47. Franklin Growth Series Class A	A	Distribution	J	T					
48. Franklin High Yield Tax Free A	B	Dividend	K	T	Buy	02/16/16	J		
49.					Buy	04/25/16	J		
50.					Buy	06/13/16	J		
51.					Buy	07/12/16	J		

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
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52. Franklin Mut Gbl Dscv Fd Cl A	A	Distribution	J	T					
53. Franklin Rising Dividends Fd A	A	Distribution	J	T					
54. Templeton Global Smaller Cos A	A	Distribution	J	T					
55. Fidelity Asset Manager 40%	A	Distribution	L	T	Buy	12/20/16	K		
56. Fidelity Freedom Index 2025 Investor (Rollover IRA)	B	Distribution	M	T	Buy	08/25/16	M		
57.									
58.									
59.									
60.									
61.									
62.									
63.									

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

Part I - Estate #1 and Trust #1 were closed in 2015. Items listed previously in 2015 in former Items 23-28 and 38 have therefore been deleted. Only remaining trust is Trust #2. Items 32-54 are from Trust #2.

Part VII - Former Items 10, 11, 12, 13, 17, 18, 19, 21 were rolled over into IRA on 8/25/16.

- Former Items 11, 13, 18, 19, 21 were closed and rolled into new #56, IRA Fidelity Freedom Index 2025 Investor on 8/25/16.

- Former Item 12 (Fidelity Capital Appreciation CLK) was rolled over into Fidelity Capital Appreciation on 8/17/16.

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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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Washington, D.C. 20544