

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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 05/09/2013
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 01/01/2012 to 12/31/2012
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Member, Board of Overseers	Harvard University
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.	
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.		
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. 2012	Squire Sanders & Dempsey
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 University	2/4/12 - 2/5/12	Cambridge, MA	Board Meeting	Transportation, food, lodging
2. Harvard University	3/29/12 - 4/1/12	Cambridge, MA	Board Meeting	Transportation, food, lodging
3. Harvard University	5/22/12 - 5/25/12	Cambridge, MA	Board Meeting	Transportation, food, lodging
4. Harvard University	9/22/12 - 9/23/12	Cambridge, MA	Board Meeting	Transportation, food, lodging
5. Harvard University	12/1/12 - 12/2/12	Cambridge, MA	Board Meeting	Transportation, food, lodging
6. New York University Law School	10/15/12 - 10/17/12	New York, NY	Madison Lecture	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. Huntington Bank	A	Interest	K	T					
2. Key Bank Account	A	Interest	L	T					
3. DWS Cash Investment Trust	A	Dividend	J	T					
4. DWS Managed Municipal Bonds	D	Distribution	M	T					
5. Dreyfus Municipal Money Market Fund	A	Dividend	K	T					
6. IRA T. Rowe Price New Horizons Fund	D	Distribution	M	T					
7. TIAA (Pension Fund)	E	Interest	O	T					
8. CREF (Pension Fund)		None	P1	T					
9. Vanguard Wellesley Income Fund (Retirement Fund)	B	Dividend	L	T					
10. Vanguard Windsor Fund (Retirement Fund)	B	Dividend	L	T					
11. Vanguard Wellington Fund (Retirement Fund)	B	Dividend	L	T					
12. Pension Plan---Dodge & Cox Stock Fund [See Pt VIII] Y									
13. Pension Plan--Baron Asset Inst [See Pt VIII] Y									
14. Squire Sanders & Dempsey Capital Contribution Account Y									
15. Pension Plan--Fidelity Capital Appreciation K [See Pt VIII] Y									
16. Pension Plan--Fidelity Diversified Int'l K [See Pt VIII] Y									
17. Huntington Bank Account [See Pt VIII] Y									

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. Victory Tax-Free Money Market--Key Bank [See Pt VIII] Y									
19. PNC Bank Account [See Pt VIII] Y									
20. T. Rowe Price Growth Stock	A	Dividend	K	T					
21. IRA American Funds--Capital World Growth & Income CL A	A	Dividend	K	T					
22. IRA American Funds--Growth Fund of Am CL A	A	Dividend	K	T					
23. IRA American Funds--Investment Co of Am CL A	A	Dividend	K	T					
24. IRA Amer. Funds--Capital World G & Inc CL A [See Pt VIII] Y									
25. IRA American Funds--Growth Fund of Am CL A [See Pt VIII] Y									
26. IRA American Funds--Inv. Co. of Am CL A [See Pt VIII] Y									
27. Pension Plan--WFA Small Cap Val Inst [See Pt VIII] Y									
28. American Funds--Capital Inc Bldr Fund CL A [See Pt VIII] Y									
29. Hartford Capital Appreciation Fund CL A [See Pt VIII] Y									
30. American Funds--Investment Co. of Am. CL A [See Pt VIII] Y									
31. American Funds--Fundamental Investors FD CL A [See Pt VIII] Y									
32. American Funds--Europacific Growth Fund CL A [See Pt VIII] Y									
33. Hartford Capital Appreciation Fund CL A [See Pt VIII] Y									
34. Federated Ohio Muni Income Fund CL A [See Pt VIII] Y									

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35. Growth Fund of Am CL A [See Pt VIII] Y									
36. Growth Fund of Am CL A [See Pt VIII] Y									
37. New Perspective Fund CL A [See Pt VIII] Y									
38. American Funds--Fundamental Investors FD CL A [See Pt VIII] Y									
39. Pension Plan--MSIF Mid Cap Grth 1 [See Pt VIII] Y									
40. Pension Plan--PIM Total Rt Inst [See Pt VIII] Y									
41. Pension Plan--GS Mid Cap Value Inst [See Pt VIII] Y									
42. Cash value gp Life ins., Pacific Life Ins Co. [See Pt VIII] Y									
43. Bank of America Account [See Pt VIII] Y									
44. New World Fund CL A [See Pt VIII] Y									
45. Small Cap World Fund CL A [See Pt VIII] Y									
46. IRA New World Fund CL A [See Pt VIII] Y									
47. IRA Small Cap World Fund CL A [See Pt VIII] Y									
48. PNC Money Market (X)	A	Interest	J	T					

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

PART VII - Items with Y notation are no longer reportable.

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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