AO 10
Rev. 1/2012

# FINANCIAL DISCLOSURE REPORT
# FOR CALENDAR YEAR 2011

*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) | 2. Court or Organization | 3. Date of Report |
|---|---|---|
| GIBBONS, JULIA S. | US COURT OF APPEALS SIXTH CIRCUIT | 5/11/2012 |
| **4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)** | **5a. Report Type (check appropriate type)** | **6. Reporting Period** |
| U.S. CIRCUIT JUDGE (ACTIVE) | ☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☐ Amended Report | 01/01/2011<br>**to**<br>12/31/2011 |
| **7. Chambers or Office Address** | | |
| 970 FEDERAL LBUILDING<br>167 N MAIN STREET<br>MEMPHIS, TN 38103 | | |

***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. Insert signature on last page.*

## I. POSITIONS. *(Reporting individual only; see pp. 9-13 of filing instructions.)*

☑ NONE *(No reportable positions.)*

| | POSITION | NAME OF ORGANIZATION/ENTITY |
|---|---|---|
| 1. | | |
| 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. | | |

| Name of Person Reporting | Date of Report |
|---|---|
| GIBBONS, JULIA S. | 5/11/2012 |

## 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. | 1/2011 | STATE OF TN - SALARY AS DISTRICT ATTORNEY GENERAL |
| 2. | 1/2011 | SHELBY COUNTY - COUNTY SUPPLEMENT AS DISTRICT ATTORNEY GENERAL |
| 3. | 1/15-12/11 | STATE OF TN - SALARY AS COMMISSONER OF SAFETY & HOMELAND SECURITY |
| 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. | UNIVERSITY OF TENNESSEE | 10/20/11-10/23/11 | KNOXVILLE, TN | MOOT COURT | TRANSPORTATION, LODGING, MEALS |
| 2. | | | | | |
| 3. | | | | | |
| 4. | | | | | |
| 5. | | | | | |

## 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. | U. S. BANK | CREDIT CARD | K |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| GIBBONS, JULIA S. | 5/11/2012 |

## 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 (1) Amount Code 1 (A-H) | B. (2) Type (e.g., div., rent, or int.) | C. Gross value at end of reporting period (1) Value Code 2 (J-P) | C. (2) Value Method Code 3 (Q-W) | D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption) | D. (2) Date mm/dd/yy | D. (3) Value Code 2 (J-P) | D. (4) Gain Code 1 (A-H) | D. (5) Identity of buyer/seller (if private transaction) |
|---|---|---|---|---|---|---|---|---|---|
| 1. IRA-EQUITABLE LIFE ANNUITY-EQUIVEST GUARANTEED INT ACCOUNT | A | Interest | K | T | | | | | |
| 2. IRA-EQUITABLE LIFE ANNUITY-EQUIVEST GUARANTEED INT ACCOUNT | A | Interest | K | T | | | | | |
| 3. SUNTRUST-MEMPHIS, TN | A | Interest | J | T | | | | | |
| 4. FEDERAL BLDG. FEDERAL CREDIT UNION ACCOUNT | A | Interest | J | T | | | | | |
| 5. STATE OF TN 401(K) | | | | | | | | | |
| 6. - REGIONS BANK | A | Interest | J | T | | | | | |
| 7. - FIDELITY PUTNAM FUND | A | Dividend | J | T | | | | | |
| 8. IRA ROLLOVER RETIREMENT PLAN | | | | | | | | | |
| 9. - AMERICAN FUNDS: INVESTMENT FUND OF AMERICA | A | Dividend | J | T | | | | | |
| 10. - HARTFORD MUTUAL FDS: HARTFORD CAPITAL APPRECIATION FUND | A | Dividend | J | T | | | | | |
| 11. - FRANKLIN FDS: FRANKLIN TEMPLETON MUTUAL DISCOVERY FUND | A | Dividend | J | T | | | | | |
| 12. - HENDERSON INTERNATIONAL OPPORTUNITIES FUND | A | Dividend | J | T | | | | | |
| 13. - EATON VANCE FDS: GREATER INDIA FUND | A | Dividend | J | T | | | | | |
| 14. - AMERICAN FUND: CAPITAL WORLD GROWTH & INCOME FUND | A | Dividend | J | T | | | | | |
| 15. - IVY FDS: ASSET STRATEGY FUND | A | Dividend | J | T | | | | | |
| 16. - VIRTUS MUTUAL FDS: ALTERNATIVES DIVERSIFIER FUND | A | Dividend | J | T | | | | | |

| | | | | | |
|---|---|---|---|---|---|
| 1. Income Gain Codes: (See Columns B1 and D4) | A =$1,000 or less | B =$1,001 - $2,500 | C =$2,501 - $5,000 | D =$5,001 - $15,000 | E =$15,001 - $50,000 |
| | F =$50,001 - $100,000 | G =$100,001 - $1,000,000 | H1 =$1,000,001 - $5,000,000 | H2 =More than $5,000,000 | |
| 2. Value Codes (See Columns C1 and D3) | J =$15,000 or less | K =$15,001 - $50,000 | L =$50,001 - $100,000 | M =$100,001 - $250,000 | |
| | N =$250,001 - $500,000 | O =$500,001 - $1,000,000 | P1 =$1,000,001 - $5,000,000 | P2 =$5,000,001 - $25,000,000 | |
| | P3 =$25,000,001 - $50,000,000 | | P4 =More than $50,000,000 | | |
| 3. Value Method Codes (See Column C2) | Q =Appraisal | R =Cost (Real Estate Only) | S =Assessment | T =Cash Market | |
| | U =Book Value | V =Other | W =Estimated | | |

| Name of Person Reporting | Date of Report |
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| GIBBONS, JULIA S. | 5/11/2012 |

## 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) |
| 17. - ING FDS: GROWTH & INCOME FUND | A | Dividend | J | T | Sold (part) | 11/25/11 | J | A | |
| 18. - PIONEER FUND: PIONEER FUND CLASS A M/F | A | Dividend | J | T | | | | | |
| 19. - CONVERGYS CORP - STOCK | | None | J | T | | | | | |
| 20. - SUNAMERICA 2015 HIGH WATERMARK FUND | | None | | | Sold (part) | 4/25/11 | J | A | |
| 21. | | | | | Sold | 9/27/11 | J | A | |
| 22. - REGIONS FDIC CASH ACCOUNT | A | Interest | J | T | | | | | |
| 23. - CITIGROUP INC-STOCK | A | Dividend | J | T | | | | | |
| 24. - FEDERATED MDT SMALL CAP VALUE FUND A | | None | J | T | Sold (part) | 1/28/11 | J | A | |
| 25. | | | | | Sold (part) | 10/18/11 | J | A | |
| 26. - PIONEER CULLEN VALUE FUND A | A | Dividend | J | T | Sold (part) | 6/13/11 | J | A | |
| 27. | | | | | Sold (part) | 10/14/11 | J | A | |
| 28. | | | | | Sold (part) | 11/7/11 | J | A | |
| 29. - ING EMERGING COUNTRIES FUND CL A | A | Dividend | J | T | | | | | |
| 30. - E HOUSE CHINA HOLDINGS-STOCK | A | Dividend | J | T | | | | | |
| 31. - FIRST TRUST HIGH INCOME LONG/ SHORT FUND | A | Dividend | J | T | Sold (part) | 1/20/11 | J | A | |
| 32. - BANK OF AMERICA | | None | | | Sold (part) | 1/11/11 | J | A | |
| 33. | | | | | Sold (part) | 2/8/11 | J | A | |

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2. Value Codes (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; N =$250,001 - $500,000; O =$500,001 - $1,000,000; P1 =$1,000,001 - $5,000,000; P2 =$5,000,001 - $25,000,000; P3 =$25,000,001 - $50,000,000; P4 =More than $50,000,000
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|---|---|---|---|---|---|---|---|---|---|
| | (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) |
| 34. | | | | | Sold | 2/22/11 | J | A | |
| 35. - RS GLOBAL NATURAL RESOURCES | A | Dividend | J | T | | | | | |
| 36. - ORACLE SYSTEMS | A | Dividend | | | Sold | 4/5/11 | J | A | |
| 37. - EPOCRATES | | None | J | T | Buy | 11/25/11 | J | | |
| 38. - FORD MOTOR CO | | None | J | T | Buy | 1/28/11 | J | | |
| 39. | | | | | Buy (add'l) | 3/14/11 | J | | |
| 40. - RARE ELEMENT RES | | None | J | T | Buy | 4/15/11 | J | | |
| 41. | | | | | Buy (add'l) | 4/25/11 | J | | |
| 42. | | | | | Buy (add'l) | 5/4/11 | J | | |
| 43. | | | | | Sold (part) | 11/7/11 | J | A | |
| 44. - HIGHLAND EQUITY OPPORTUNITIES | | None | J | T | Buy | 12/23/11 | J | | |
| 45. - CISCO SYSTEMS | A | Dividend | | | Buy | 1/20/11 | J | | |
| 46. | | | | | Buy (add'l) | 8/25/11 | J | | |
| 47. | | | | | Buy (add'l) | 9/6/11 | J | | |
| 48. | | | | | Sold (part) | 10/28/11 | J | A | |
| 49. | | | | | Sold (part) | 11/2/11 | J | A | |
| 50. | | | | | Sold | 11/8/11 | J | A | |

| | | | | | |
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|---|---|---|---|---|---|---|---|---|---|
| 51. - BEACON ROOFING SUPPLY | | None | | | Buy | 4/6/11 | J | | |
| 52. | | | | | Sold | 7/21/11 | J | A | |
| 53. - RF MICRO DEVICES | | None | | | Buy | 6/13/11 | J | | |
| 54. | | | | | Sold | 8/3/11 | J | A | |
| 55. | | | | | Buy | 8/25/11 | J | | |
| 56. | | | | | Sold | 8/31/11 | J | A | |
| 57. - FINISAR CORPORATION | | None | | | Buy | 8/4/11 | J | | |
| 58. | | | | | Buy (add'l) | 8/5/11 | J | | |
| 59. | | | | | Sold (part) | 8/12/11 | J | A | |
| 60. | | | | | Sold | 8/23/11 | J | A | |
| 61. | | | | | Buy | 10/10/11 | J | | |
| 62. | | | | | Buy (add'l) | 10/14/11 | J | | |
| 63. | | | | | Sold (part) | 10/27/11 | J | A | |
| 64. | | | | | Sold | 10/28/11 | J | A | |
| 65. - RESEARCH IN MOTION | | None | J | T | Buy | 10/17/11 | J | | |
| 66. | | | | | Buy (add'l) | 10/31/11 | J | | |
| 67. | | | | | Buy (add'l) | 11/7/11 | J | | |

| | | | | | |
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|---|---|---|---|---|---|---|---|---|---|
| 68. | | | | | Buy (add'l) | 11/14/11 | J | | |
| 69. | | | | | Sold (part) | 12/19/11 | J | A | |
| 70. - MARVELL TECHNOLOGY GROUP | | None | | | Buy | 11/2/11 | J | | |
| 71. | | | | | Buy (add'l) | 11/3/11 | J | | |
| 72. | | | | | Sold (part) | 11/11/11 | J | A | |
| 73. | | | | | Sold | 12/7/11 | J | A | |
| 74. AXA EQUITABLE LIFE INS CO | A | Interest | J | T | | | | | |
| 75. AXA EQUITABLE LIFE INS CO | A | Interest | K | T | | | | | |
| 76. | | | | | | | | | |
| 77. | | | | | | | | | |
| 78. | | | | | | | | | |
| 79. | | | | | | | | | |
| 80. | | | | | | | | | |
| 81. | | | | | | | | | |
| 82. | | | | | | | | | |

| | | | | | |
|---|---|---|---|---|---|
| 1. Income Gain Codes: (See Columns B1 and D4) | A =$1,000 or less | B =$1,001 - $2,500 | C =$2,501 - $5,000 | D =$5,001 - $15,000 | E =$15,001 - $50,000 |
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| | N =$250,001 - $500,000 | O =$500,001 - $1,000,000 | P1 =$1,000,001 - $5,000,000 | P2 =$5,000,001 - $25,000,000 | |
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| Name of Person Reporting | Date of Report |
|---|---|
| GIBBONS, JULIA S. | 5/11/2012 |

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

| Name of Person Reporting | Date of Report |
|---|---|
| GIBBONS, JULIA S. | 5/11/2012 |

## 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/ JULIA S. GIBBONS**

**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