

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) Moore, Karen N.	2. Court or Organization U.S. Court of Appeals-6th Cir.	3. Date of Report 05/10/2012
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 01/01/2011 to 12/31/2011
	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. 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.	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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Moore, Karen N.

Date of Report

05/10/2012

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.)*

<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. 2011	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.	University of Penn. School of Law	1/27/11 - 1/28/11	Philadelphia, PA	Moot Court	Transportation, food, lodging
2.	University of Iowa Law School	3/4/11 - 3/6/11	Iowa City, IA	Moot Court	Transportation, food, lodging
3.	University of Illinois School of Law	4/13/11 - 4/14/11	Champaign, IL	Moot Court	Transportation, food, lodging
4.	Mercer University School of Law	5/13/11 - 5/14/11	Macon, GA	Commencement Speech	Transportation, food, lodging
5.	Harvard University	2/5/11 - 2/6/11	Cambridge, MA	Board Meeting	Transportation, food, lodging

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Moore, Karen N.

Date of Report

05/10/2012

6.	Harvard University	4/1/11 - 4/3/11	Cambridge, MA	Board Meeting	Transportation, food, lodging
7.	Harvard University	5/24/11 - 5/26/11	Cambridge, MA	Board Meeting	Food, lodging
8.	Harvard University	10/1/11 - 10/2/11	Cambridge, MA	Board Meeting	Transportation, food, lodging
9.	Harvard University	12/3/11 - 12/5/11	Cambridge, MA	Board Meeting	Transportation, food, lodging

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Moore, Karen N.

Date of Report

05/10/2012

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. _____

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Moore, Karen N.

Date of Report

05/10/2012

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)
1. Huntington Bank Account	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	E	Distribution	M	T					
7. TIAA (Pension Fund)	E	Interest	O	T					
8. CREF (Pension Fund)		None	O	T					
9. Vanguard Wellesley Income Fund (Retirement Fund)	C	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]	D	Int./Div.	N	T	Buy		K		
13. Pension Plan--Baron Asset Inst [See Pt VIII]	G	Int./Div.			Buy		K		
14.					Sold	12/29/11	O		
15. Squire Sanders & Dempsey Capital Contribution Account		None	M	U					
16. Pension Plan--Fidelity Capital Appreciation K	B	Int./Div.	N	T					
17. Pension Plan--Fidelity Diversified Int'l K [See Pt VIII]	D	Int./Div.	N	T	Buy		K		

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	
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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Moore, Karen N.

Date of Report

05/10/2012

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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. Huntington Bank Account	A	Interest	L	T					
19. Victory Tax-Free Money Market--Key Bank	A	Dividend	L	T					
20. PNC Bank Account	A	Interest	L	T					
21. T. Rowe Price Growth Stock	A	Dividend	K	T					
22. IRA American Funds--Capital World Growth & Income CL A	A	Dividend	K	T	Buy	03/25/11	J		
23. IRA American Funds--Growth Fund of Am CL A	A	Dividend	J	T	Buy	03/25/11	J		
24. IRA American Funds--Investment Co of Am CL A	A	Dividend	J	T					
25. IRA American Funds--Capital World Growth & Income CL A	B	Dividend	L	T					
26. IRA American Funds--Growth Fund of Am CL A	A	Dividend	L	T					
27. IRA American Funds--Investment Co. of Am CL A		None			Sold	01/25/11	J		
28.					Sold	01/27/11	L		
29. Pension Plan--WFA Small Cap Val Inst [See Pt VIII]	C	Int./Div.	N	T	Buy		J		
30. American Funds--Capital Income Builder Fund CL A	D	Dividend	M	T					
31. Hartford Capital Appreciation Fund CL A	C	Dividend	M	T					
32. American Funds--Investment Co. of Am. CL A		None			Sold	01/25/11	J		
33.					Sold	01/27/11	K		
34. American Funds--Fundamental Investors FD CL A	A	Dividend	K	T					

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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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

Moore, Karen N.

Date of Report

05/10/2012

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35. American Funds--Europacific Growth Fund CL A	A	Dividend	K	T					
36. Hartford Capital Appreciation Fund CL A	B	Dividend	L	T					
37. Federated Ohio Muni Income Fund CL A	A	Dividend	K	T					
38. Growth Fund of Am CL A	A	Dividend	J	T					
39. Growth Fund of Am CL A	A	Dividend	K	T					
40. New Perspective Fund CL A	A	Distribution	K	T					
41. American Funds--Fundamental Investors FD CL A	A	Dividend	K	T					
42. Pension Plan--MSIF Mid Cap Grth 1 [See Pt VIII]	B	Int./Div.	O	T	Buy	12/29/11	O		
43. Pension Plan--PIM Total Rt Inst	D	Int./Div.	N	T					
44. Pension Plan--GS Mid Cap Value Inst [See Pt VIII]	A	Int./Div.	K	T	Buy		J		
45. Cash value gp Life ins., Pacific Life Ins Co. [See Pt VIII]		None	N	T	Buy		J		
46. Bank of America Account (X)	A	Interest	J	T					
47. New World Fund CL A (X)	A	Dividend	J	T	Buy	01/25/11	J		
48.					Buy	01/27/11	K		
49. Small Cap World Fund CL A (X)	A	Dividend	J	T	Buy	01/25/11	J		
50.					Buy	01/27/11	K		
51. IRA New World Fund CL A (X)	A	Dividend	K	T	Buy	01/25/11	J		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

Moore, Karen N.

Date of Report

05/10/2012

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52.					Buy	01/27/11	K		
53. IRA Small Cap World Fund CL A (X)	A	Dividend	K	T	Buy	01/25/11	J		
54.					Buy	01/27/11	K		
55.									

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FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Moore, Karen N.

Date of Report

05/10/2012

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

PART VII, Record 12, Column D(2): Regular purchases made; total for year listed in Column D(3)

PART VII, Record 13, Column D(2): Regular purchases made; total for year listed in Column D(3)

PART VII, Record 17, Column D(2): Regular purchases made; total for year listed in Column D(3)

PART VII, Record 29, Column D(2): Regular purchases made; total for year listed in Column D(3)

PART VII, Record 42, Column D(2): Regular purchases made; total for year listed in Column D(3)

PART VII, Record 44, Column D(2): Regular purchases made; total for year listed in Column D(3)

PART VII, Record 45, Column D(2): Regular purchases made; total for year listed in Column D(3)

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Moore, Karen N.

Date of Report

05/10/2012

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/ **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