

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 05/11/2016
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 01/01/2015 to 12/31/2015
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.	Executor	Estate #1
3.	Trustee	Trust #1
4.	Trustee	Trust #2
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	2/7/15 - 2/8/15	Cambridge, MA	Board Meeting	Transportation, food, lodging
2.	Harvard University	3/28/15 - 3/30/15	Cambridge, MA	Board Meeting	Transportation, food, lodging
3.	Harvard University	5/26/15 - 5/29/15	Cambridge, MA	Board Meeting	Transportation, food, lodging
4.	Harvard University	6/29/15 - 6/30/15	Cambridge, MA	Board Meeting	Transportation, food, lodging
5.	Harvard University	9/26/15 - 9/27/15	Cambridge, MA	Board Meeting	Transportation, food, lodging
6.	Harvard University	12/4/15 - 12/7/15	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.)*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.

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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)	D	Dividend	L	T					
8. Vanguard Windsor Fund (Retirement Fund)	D	Dividend	M	T					
9. Vanguard Wellington Fund (Retirement Fund)	D	Dividend	M	T					
10. Pension Plan---Dodge & Cox Stock Fund	C	Int./Div.	L	T					
11. Pension Plan--Blkrk Infl Pro Bd K	A	Dividend	J	T					
12. Pension Plan--Fidelity Capital Appreciation K	D	Dividend	K	T					
13. Pension Plan--Artisan Intl Inst	A	Dividend	K	T					
14. T. Rowe Price Growth Stock	C	Distribution	K	T	Buy	04/17/15	J		
15. IRA American Funds--Capital World Growth & Income CL A	A	Dividend	K	T					
16. IRA American Funds--Investment Co of Am CL A	B	Dividend	K	T					
17. Pension Plan--Baird Core Plus Inst	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 = \$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	

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18. Pension Plan--EV AC SMID Cap R6	C	Dividend	K	T					
19. Pension Plan--Glenmede Sm Cap Eq Is	A	Dividend	K	T					
20. American Funds--Capital Inc Bldr Fund CL A	A	Dividend	J	T					
21. Pension Plan--Opp Dev Mkt Y	A	Dividend	K	T					
22. PNC Money Market	A	Interest	K	T					
23. TD Bank	A	Interest			Closed	06/29/15	K		
24. Wells Fargo Money Mkt	A	Interest			Closed	02/13/15	O		
25. Key Bank Checking	A	Interest			Closed	07/15/15	M		
26. PNC Money Mkt	A	Interest			Closed	07/01/15	M		
27. First Fed. Lakewood S&L	A	Interest			Closed	06/23/15	M		
28. Huntington Nat. Bank Money Mkt	A	Interest			Closed	06/23/15	M		
29. IRA Income Fund of Am Fd CL A	A	Dividend	K	T					
30. Franklin Rising Div Fd	A	Dividend	J	T					
31. Income Fund of Am Fd CL A	A	Dividend	J	T					
32. Franklin Mut Gbl DScv Fd CL A	A	Distribution	J	T					
33. Franklin Fltg Rate Dly Access	A	Dividend	J	T					
34. Franklin Fed Tax Free Income CL A	A	Dividend	J	T					

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35. Franklin High Yield Tax Free	A	Dividend	J	T					
36. Franklin Fed Intr-TM Tx FR Incm	A	Dividend	J	T					
37. IRA American Fnd New Perspective Fd CL A	A	Distribution	J	T					
38. Key Bank Checking	A	Interest			Closed	12/30/15	L		
39. Key Bank Checking (X)	A	Interest	N	T	Open	02/06/15	M		
40. Franklin Dynatech Fund CI A		None	J	T	Buy	12/17/15	J		
41. Franklin Equity Income Fund A		None	J	T	Buy	12/17/15	J		
42. Franklin Fed Intr--Tm Txfr Incm A		None	J	T	Buy	12/17/15	J		
43. Franklin Fed Ltd Term Tax Free		None	J	T	Buy	12/17/15	J		
44. Franklin Fed Tax-Free Income A		None	J	T	Buy	12/17/15	J		
45. Franklin Growth Series Class A		None	J	T	Buy	12/17/15	J		
46. Franklin High Yield Tax Free A		None	J	T	Buy	12/17/15	J		
47. Franklin Mut Gbl Dscv Fd CI A	A	Distribution	J	T	Buy	12/17/15	J		
48. Franklin Rising Dividends Fd A		None	J	T	Buy	12/17/15	J		
49. Templeton Global Smaller Cos A	A	Dividend	J	T	Buy	12/17/15	J		

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

Part VII, Items 23-28: All held as executor of Estate #1.

Part VII, Item 38: Held as trustee of Trust #1.

Part VII, Items 39-49: Held as trustee of Trust #2.

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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