

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Rogers, John M.                                                                                                                      | <b>2. Court or Organization</b><br><br>U.S. Court of Appeals, 6th Cir                                                                                                                                                                                                                    | <b>3. Date of Report</b><br><br>05/07/2015                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>U.S. Circuit Judge -- Active                                                  | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2014<br>to<br>12/31/2014 |
| <b>7. Chambers or Office Address</b><br><br>100 E. Vine Street, Suite 400<br>Lexington KY 40507                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## 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. Professor Emeritus | University of Kentucky College of Law, Lexington KY |
| 2.                    |                                                     |
| 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. 07/31/01 | Publishing agreement with Aspen Publishers (now Wolters Kluwer) and two co-authors for an administrative law casebook with 15% royalty for the authors. |
| 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><br>(yours, not spouse's) |
|-------------|-------------------------------------------|----------------------------------------|
| 1. 2014     | Wolters Kluwer Publishing, Book Royalties | \$484.05                               |
| 2. 2014     | University of Kentucky College of Law     | \$4,500.00                             |
| 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. 2014     | University of Kentucky                           |
| 2. 2014     | Chinese Cultural & Education Center of Lexington |
| 3. 2014     | Birtley Industrial Equipment Co.                 |
| 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. American Law Institute | February 27-28, 2014 | Philadelphia, PA | Advisory Committee | Travel, meals, lodging        |
| 2. American Law Institute | November 19-21, 2014 | Philadelphia, PA | Advisory Committee | Travel, meals, lodging        |
| 3.                        |                      |                  |                    |                               |
| 4.                        |                      |                  |                    |                               |
| 5.                        |                      |                  |                    |                               |

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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.       |             |            |
| 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. USAA Aggressive Growth Fund (IRA)                                                                                        | B                                       | Dividend                                      | K                                               | T                                         | Distributed<br>(part)                           | 02/26/14                | J                               |                                |                                                                   |
| 2.                                                                                                                          |                                         |                                               |                                                 |                                           | Distributed<br>(part)                           | 10/03/14                | J                               |                                |                                                                   |
| 3. TIAA retirement account                                                                                                  | E                                       | Interest                                      | O                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 4. CREF retirement account                                                                                                  |                                         | None                                          | P1                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. US Savings Bonds Series EE                                                                                               | C                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 6. Morgan Stanley Smith Barney bank deposit<br>account                                                                      | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 7. USAA Subscriber's Savings Account                                                                                        | A                                       | Distribution                                  | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 8. Central Bank Checking Account                                                                                            | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 9. Neuberger Berman Genesis Fd NBGEX/<br>NBGIK                                                                              | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 10. Blackrock Eq Div Fd cl A MDDVX/<br>MADVX                                                                                | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. Touchstone Sands Cap Sel PTSGX/CFSIX                                                                                    | A                                       | Dividend                                      | L                                               | T                                         | Buy<br>(add'l)                                  | 04/07/14                | J                               |                                |                                                                   |
| 12. Lazard Emerging Mkts Port Fd LZEMX                                                                                      | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 13. PIMCO Commodity Real Return Strat Fd D<br>PCRDY                                                                         | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 04/07/14                | J                               | A                              |                                                                   |
| 14. Nuveen Tradewinds Intl Val. Fd cl A<br>NAIGX                                                                            | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 04/07/14                | K                               | A                              |                                                                   |
| 15. PIMCO Total Return Fd cl. D PTTDX                                                                                       | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 04/07/14                | J                               | A                              |                                                                   |
| 16. PIMCO Foreign Bond Fd cl A PFUAX                                                                                        | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 04/07/14                | J                               | A                              |                                                                   |
| 17. TCW Sm Cap Growth Fd cl N TGSNX/<br>TGSCX                                                                               | A                                       | Dividend                                      | K                                               | T                                         | Buy<br>(add'l)                                  | 04/07/14                | J                               |                                |                                                                   |

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

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                 |   |          |   |   |                |          |   |   |  |
|-------------------------------------------------|---|----------|---|---|----------------|----------|---|---|--|
| 18. Cohen & Steers Realty Shs. Fd. CSRSX        | A | Dividend | J | T |                |          |   |   |  |
| 19. Lazard Intl Strat Eq LISOX/LISIX            | A | Dividend | K | T | Buy<br>(add'l) | 04/07/14 | J |   |  |
| 20. Western Asset Money Mkt Fd. cl. A           |   | None     | J | T |                |          |   |   |  |
| 21. PIMCO Real Return Fd D PRRDX                | A | Dividend |   |   | Sold           | 04/07/14 | J | A |  |
| 22. Invesco Prem US Govt IUGXX                  |   | None     | J | T | Buy            | 09/26/14 | J |   |  |
| 23. Prudential Jennison Mid Cap PEEAX/<br>PEGZX | A | Dividend | J | T | Buy            | 04/07/14 | K |   |  |
| 24. PIMCO Sh Term PSHAX/PTSPX                   | A | Dividend | J | T | Buy            | 04/07/14 | J |   |  |
| 25. Blackrock Hi Yld BHYAX/BHYIX                | A | Dividend | J | T | Buy            | 04/07/14 | J |   |  |
| 26. Invesco Am Value MSVAX/MSAIX                | A | Dividend | K | T | Buy            | 04/07/14 | J |   |  |
| 27. USAA Bank CD #1                             | A | Interest |   |   | Sold           | 05/28/14 | L |   |  |
| 28. USAA Precious Metals Fund (USAGX)           | A | Dividend | K | T |                |          |   |   |  |
| 29. USAA World Growth Fund (USAWX)              | A | Dividend | K | T |                |          |   |   |  |
| 30. USAA International Fund (USIFX)             | A | Dividend | K | T |                |          |   |   |  |
| 31. USAA Sci & Tee Fund (USSCX)                 | B | Dividend | L | T |                |          |   |   |  |
| 32. USAA Growth & Inc Fund USGRX                | A | Dividend | K | T | Buy            | 05/28/14 | K |   |  |
| 33. USAA Inc Stock Fund USISX                   | A | Dividend | K | T | Buy            | 05/28/14 | K |   |  |
| 34. USAA Value Fund UVALX                       | A | Dividend | K | T | Buy            | 05/28/14 | K |   |  |

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

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                           |   |          |   |   |      |          |   |   |  |
|-----------------------------------------------------------|---|----------|---|---|------|----------|---|---|--|
| 35. Vanguard Trgt Retire 2050 Fnd Inv (Birtley 401k plan) | D | Dividend | M | T |      |          |   |   |  |
| 36. Shroder Emerg Mkt SEMVX                               | A | Dividend |   |   | Sold | 04/07/14 | J | A |  |
| 37. K. Anderson promissory note                           | A | Interest | J | T | Buy  | 08/18/14 | J |   |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
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| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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

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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/ John M. Rogers**

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