

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Rogers, Judith W.	2. Court or Organization U.S.Court of Appeals for the D.C. Circuit	3. Date of Report 07/22/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address U.S. Court of Appeals for the D.C. Circuit 333 Constitution Av., N.W. Washington, D.C. 20001		
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.		
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. 2011	D.C. Judges Retirement Fund	\$99,419.53
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.	
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.				
2.				
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.)*

	<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. SunTrust Bk.	A	Interest	M	T					
2. Cash at Pershing	A	Interest	J	T					
3. Am.Fds: Inv. Co. of Amer.	E	Dividend	N	T					
4. Am.Fds.: Wash. Mut. Inv. Fd.	D	Dividend	N	T					
5. Am.Fds.: New Persp. Fd.	E	Dividend	N	T					
6. Am.Fds.: Growth Fd. Amer.	E	Dividend	O	T					
7. Vanguard Small Cap Value Index	B	Dividend	L	T					
8. Am.Fds: New World Fund-A	B	Dividend	L	T	Buy (add'l)	06/11/13	K		
9. Am.Fds: Capital World Bond Fd-A	B	Dividend	K	T					
10. Am.Skd: T.Rowe Price Lg Cap Growth	A	Dividend	M	T					
11. Am.Skd: Marisico Cap Growth	A	Dividend	L	T					
12. Am.Skd: Goldman Sachs Sm Cap Val	A	Dividend	L	T					
13. Am.Skd: Internat'l Growth	A	Dividend	L	T					
14. Am.Skd: Blackrock Value Portfolio	A	Dividend	L	T					
15. Am.Skd: Wells Fargo Adv. VT Small Cap Grth Class 1	A	Dividend	L	T					
16. Am.Skd: T.Rowe Price Equity Income	A	Dividend	M	T					
17. Vanguard Bd Index	B	Dividend			Sold	06/10/13	L		

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 = \$250,000.01 - \$500,000.00	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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☐ 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. Vanguard Intrm. Tax Exempt Admrl Class	C	Dividend	M	T					
19. Loomis Sayles Global Bond	B	Dividend	K	T					
20. T.Rowe Price New Horizons	C	Dividend	L	T	Buy (add'l)	08/15/13	K		
21. First Eagle Overseas	D	Dividend	M	T	Buy (add'l)	01/28/13	J		
22. Vanguard Emerging Market ETF	B	Dividend	L	T					
23. Collar Fund		None			Sold	07/10/13	L	C	
24. Prudential Jennison Natural Resources		None			Sold	08/14/13	L		
25. Vanguard Energy	C	Dividend	L	T					
26. T.Rowe Price Real Estate	C	Dividend	M	T	Buy (add'l)	01/24/13	L		
27. Am.Fds.: Inc. Fd. Am (IRA)	D	Dividend	M	T	Sold (part)	04/15/13	J		
28. Vanguard Extended Markets Index	B	Dividend	M	T	Buy	7/12/13	L		
29. Vanguard Growth Index	B	Dividend	M	T	Buy	01/24/13	K		
30.					Buy (add'l)	06/11/13	K		
31.					Buy (add'l)	08/15/13	K		
32. Vanguard Value Index	B	Dividend	M	T	Buy	01/24/13	K		
33.					Buy (add'l)	06/11/13	K		
34.					Buy (add'l)	08/15/13	K		

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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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. Am.Skd: New Discovery Asset Allocation (Y)									
36. Am.Skd: Century Inc.& Growth (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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

III. Net income reported.

VII. Lines 14-20: I hold an annuity in Amerucan Skandia ("Am.Skd."), which buys and sells funds during the year. Holdings and valuations reflect year-end statement I received. In response to the Committee's December 5, 2012 letter inquiring about A. Skd. Am. Century Inc & Growth reported in line 20, this explanatory note of information inadvertently omitted is provided, as suggested by the General Counsel. On March 25, 2010, \$100,000 in the subaccount of Goldman Sachs Small Cap Value (line 16) was sold and the American Century Fund (line20) was purchased.

Lines 16-18: In response to the July 18, 2014 letter from the Chairman of the Financial Disclosure Committee, please be advised that the two funds (now listed in Part VII lines 35-36) were sold in 2012. The sale of Am.Skd. New Discovery Asset Allocation on May 24, 2012 is shown in line 17 of the original 2012 report.

This same information should have been repeated in line 17 of the amended 2012 report. The sale of Am. Skd. Century Inc & Growth on May 4, 2012 should have appeared in columns D (1) and (2) of the amended 2012 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/ Judith W. 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