

UNITED STATES COURT OF APPEALS

SIXTH CIRCUIT

U. S. COURTHOUSE, 85 MARCONI BLVD.

COLUMBUS, OHIO 43215

CHAMBERS OF  
ALAN E. NORRIS  
UNITED STATES CIRCUIT JUDGE

June 17, 2009

Judge Bobby R. Baldock, Chair  
Judicial Conference of the United States  
Committee on Financial Disclosure  
One Columbus Circle, N.E.  
Washington, D.C. 20544

RECEIVED  
2009 JUN 22 A 11:26  
FINANCIAL  
DISCLOSURE OFFICE

Dear Judge Baldock:

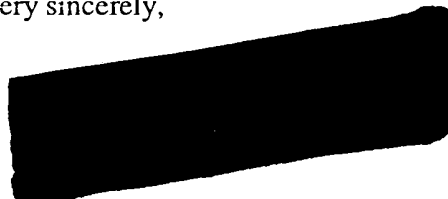
I have your letter of June 11th pointing out the omission of any mention of "Env. Protect. Technologies Corp.," on my financial disclosure report dated April 29th of this year.

In recent years I listed the stock as yielding no income, but failed to point out it has no value. Earlier reports noted "Probably no value and paid no dividends."

As the result of my omission, the Committee last year observed my earlier notation and advised "[if] this stock has no value or a minimum value of \$1,000 or below, it is not reportable and should be removed from future reports." Taking this advice to heart, I removed it. A copy of Judge Ortrie E. Smith's letter of May 28, 2008 is enclosed.

Be assured, the stock is worthless.

Very sincerely,



AEN/tlc

**FINANCIAL DISCLOSURE REPORT  
FOR CALENDAR YEAR 2008**

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)  Norris, Alan E.	<b>2. Court or Organization</b>  Sixth Circuit Court of Appeals	<b>3. Date of Report</b>  04/28/2009
<b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)  U.S. Circuit Judge (senior)	<b>5a. Report Type</b> (check appropriate type) <input type="checkbox"/> Nomination,                      Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final <b>5b.</b> <input type="checkbox"/> Amended Report	<b>6. Reporting Period</b>  01/01/2008 to 12/31/2008
<b>7. Chambers or Office Address</b>  328 U.S. Courthouse 85 Marconi Boulevard Columbus OH 43215	<b>8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations.</b>  Reviewing Officer _____ Date _____	

**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. Sign on last page.

**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. Trustee	Clements Foundation, Westerville, Ohio
2. Partner	Schrock Road Professional Building, a partnership, Westerville, Ohio
3.	
4.	
5.	

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**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. 01/01/67	to 6/30/86 - Ohio Public Employees Retirement System, contributed during former state employment.
2. 1981	ABA - Administered "Keogh" Plan, contributed during law practice
3.	

**FINANCIAL DISCLOSURE REPORT**  
Page 2 of 6

Name of Person Reporting  
Norris, Alan E.

Date of Report  
04/28/2009

**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> <i>(yours, not spouse's)</i>
1. 1/1-12/31	Ohio Public Employees Retirement System	\$51,625.97
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.	Ohio Public Employees Retirement System (spouse)
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.				

**FINANCIAL DISCLOSURE REPORT**

Page 3 of 6

Name of Person Reporting

Norris, Alan E.

Date of Report

04/28/2009

**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. KeyBank	credit card debt [REDACTED]	J
2.		
3.		
4.		
5.		

**FINANCIAL DISCLOSURE REPORT**

Name of Person Reporting

Norris, Alan E.

Date of Report

04/28/2009

**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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. 1/4 int. rental property, Westerville, OH app raised 1/19/04	D	Rent	M	Q					
2. common stock, IBM	A	Dividend	J	T					
3. checking account, Bank One/Chase Bank Columbus, Ohio	A	Interest	K	T					
4. Keogh, ABA/Equitable Life Ins.	D	Distribution	M	T					
5. House, Sugar Creek, Ohio		None			Sold	6/11	L		R.A. & E. Schlabach
6. Savings account, Ohio Savings Bank, Cols OH (now AmTrust)	D	Interest	M	T					
7. Guardian Life Insurance Policy #1	A	Dividend	J	T					
8.									
9.									
10.									
11.									
12.									
13.									
14.									
15.									
16.									
17.									

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 \$50,000,000	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 5 of 6

Name of Person Reporting

Norris, Alan E.

Date of Report

04/28/2009

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

Item #5 - House in Sugar Creek, belonging to [REDACTED] was sold June 11, 2008 for the gross selling price of "L" amount, at a loss occasioned by extensive repairs

**FINANCIAL DISCLOSURE REPORT**

Page 6 of 6

Name of Person Reporting

Norris, Alan E.

Date of Report

04/28/2009

**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



**NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)**

**FILING INSTRUCTIONS**

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure  
Administrative Office of the United States Courts  
Suite 2-301  
One Columbus Circle, N.E.  
Washington, D.C. 20544