| AO 10 Rev. 1/2011 | FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2010 | *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)**<br>Moore, Karen N. | **2. Court or Organization**<br>U.S. Court of Appeals-6th Cir. | **3. Date of Report**<br>05/11/2011 |
| **4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)**<br>U.S. Circuit Judge - Active | **5a. Report Type (check appropriate type)**<br>☐ Nomination, Date<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☐ Amended Report | **6. Reporting Period**<br>01/01/2010<br>to<br>12/31/2010 |
| **7. Chambers or Office Address**<br>Carl B. Stokes U.S. Courthouse<br>801 W. Superior Ave., Ste 21A<br>Cleveland, Ohio 44113-1831 | **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.**<br>**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.)*

| | 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. | | |

| Name of Person Reporting | Date of Report |
|---|---|
| Moore, Karen N. | 05/11/2011 |

## 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. | 2010 | 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.)*

| | SOURCE | DATES | LOCATION | PURPOSE | ITEMS PAID OR PROVIDED |
|---|---|---|---|---|---|
| 1. | Yale University School of Law | 4/15/10 -4/16/10 | New Haven, CT | Teaching | Transportation, food, lodging |
| 2. | Arizona State University Law School | 4/25/10 -4/26/10 | Phoenix, AZ | Seminar | Transportation, food, lodging |
| 3. | University of Tennessee School of Law | 9/16/10 -9/17/10 | Knoxville, TN | Moot Court | Transportation, food, lodging |
| 4. | Harvard University | 10/02/10 -10/03/10 | Cambridge, MA | Board Meeting | Transportation, food, lodging |
| 5. | | | | | |

| Name of Person Reporting | Date of Report |
| --- | --- |
| Moore, Karen N. | 05/11/2011 |

## 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. | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| Moore, Karen N. | 05/11/2011 |

## 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 (1) Amount Code 1 (A-H) | (2) Type (e.g., div., rent, or int.) | C. Gross value at end of reporting period (1) Value Code 2 (J-P) | (2) Value Method Code 3 (Q-W) | D. Transactions during reporting period (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 | A | Interest | K | T | | | | | |
| 2. Key Bank | A | Interest | K | 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 | A | 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) | B | Dividend | L | T | | | | | |
| 10. Vanguard Windsor Fund (Retirement Fund) | A | Dividend | L | T | | | | | |
| 11. Vanguard Wellington Fund (Retirement Fund) | B | Dividend | L | T | | | | | |
| 12. Pension Plan---Dodge & Cox Stock Fund [See Pt VIII] | C | Int./Div. | N | T | Buy | | K | | |
| 13. Pension Plan--Baron Asset Inst [See Pt VIII] | D | Int./Div. | O | T | Buy | | K | | |
| 14. Squire Sanders & Dempsey Capital Contribution Account | | None | M | U | | | | | |
| 15. Cash value gp. life ins.,Mass. Mut Life Ins [See Pt.VIII] | | None | | | | 04/01/10 | N | | |
| 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 | B =$1,001 - $2,500 | C =$2,501 - $5,000 | D =$5,001 - $15,000 | E =$15,001 - $50,000 |
| | F =$50,001 - $100,000 | G =$100,001 - $1,000,000 | H1 =$1,000,001 - $5,000,000 | H2 =More than $5,000,000 | |
| 2. Value Codes (See Columns C1 and D3) | J =$15,000 or less | K =$15,001 - $50,000 | L =$50,001 - $100,000 | M =$100,001 - $250,000 | |
| | N =$250,001 - $500,000 | O =$500,001 - $1,000,000 | P1 =$1,000,001 - $5,000,000 | P2 =$5,000,001 - $25,000,000 | |
| | P3 =$25,000,001 - $50,000,000 | | P4 =More than $50,000,000 | | |
| 3. Value Method Codes (See Column C2) | Q =Appraisal | R =Cost (Real Estate Only) | S =Assessment | T =Cash Market | |
| | U =Book Value | V =Other | W =Estimated | | |

| Name of Person Reporting | Date of Report |
|---|---|
| Moore, Karen N. | 05/11/2011 |

## 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 (1) Amount Code 1 (A-H) | B. (2) Type (e.g., div., rent, or int.) | C. Gross value at end of reporting period (1) Value Code 2 (J-P) | C. (2) Value Method Code 3 (Q-W) | D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption) | D. (2) Date mm/dd/yy | D. (3) Value Code 2 (J-P) | D. (4) Gain Code 1 (A-H) | D. (5) Identity of buyer/seller (if private transaction) |
|---|---|---|---|---|---|---|---|---|---|---|
| 18. | Huntington Bank | A | Interest | K | T | | | | | |
| 19. | Victory Tax-Free Money Market--Key Bank | A | Dividend | L | T | | | | | |
| 20. | PNC Bank fka National City Bank | 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 | 04/14/10 | J | | |
| 23. | IRA American Funds--Growth Fund of Am CL A | A | Dividend | J | T | | | | | |
| 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 | Buy | 02/16/10 | J | | |
| 27. | IRA American Funds--Investment Co. of Am CL A | B | Dividend | L | T | Buy | 02/16/10 | J | | |
| 28. | Pension Plan--WFA Small Cap Val Inst [See Pt VIII] | B | Int./Div. | M | T | Buy | | J | | |
| 29. | American Funds--Capital Income Builder Fund CL A | D | Dividend | M | T | | | | | |
| 30. | Hartford Capital Appreciation Fund CL A | | None | M | T | | | | | |
| 31. | American Funds--Investment Co. of Am. CL A | A | Dividend | K | T | | | | | |
| 32. | American Funds--Fundamental Investors FD CL A | A | Dividend | K | T | | | | | |
| 33. | American Funds--Europacific Growth Fund CL A | A | Dividend | K | T | Buy | 02/22/10 | J | | |
| 34. | Hartford Capital Appreciation Fund CL A | | None | L | T | | | | | |

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

| Name of Person Reporting | Date of Report |
|---|---|
| Moore, Karen N. | 05/11/2011 |

## 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) | B. Income during reporting period | | C. Gross value at end of reporting period | | D. Transactions during reporting period | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Place "(X)" after each asset exempt from prior disclosure | (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) |
| 35. Federated Ohio Muni Income Fund CL A | A | Dividend | K | T | | | | | |
| 36. Growth Fund of Am CL A | A | Dividend | J | T | | | | | |
| 37. Growth Fund of Am CL A | A | Dividend | K | T | | | | | |
| 38. New Perspective Fund CL A | A | Distribution | K | T | | | | | |
| 39. American Funds--Fundamental Investors FD CL A | A | Dividend | K | T | | | | | |
| 40. Pension Plan--MSIF Mid Cap Grth I [See Pt VIII] | A | Int./Div. | K | T | Buy | | J | | |
| 41. Pension Plan--PIM Total Rt Inst | E | Int./Div. | N | T | | | | | |
| 42. Pension Plan--GS Mid Cap Value Inst [See Pt VIII] | A | Int./Div. | K | T | Buy | | J | | |
| 43. Cash value gp Life ins.,Pacific Life Ins Co. (X)[See PtVIII] | D | Int./Div. | N | T | | 04/01/10 | N | | |
| 44. | | | | | | | | | |
| 45. | | | | | | | | | |

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

| Name of Person Reporting | Date of Report |
|---|---|
| Moore, Karen N. | 05/11/2011 |

## 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 15, Transfer Out (§ 1035 transfer) to Pacific Life Ins. Co. 4/1/10. See Record 43.

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

PART VII, Record 28, Column D(2): Regular purchases made; total for year listed in Column D(3)

PART VII, Record 40, 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 43, On 4/1/10, Group Life Ins. was transferred in § 1035 Transfer from Mass. Mutual Life Ins., Record 15, to Pacific Life Ins. Co. Total Annual Premium amount is C.

| Name of Person Reporting | Date of Report |
|---|---|
| Moore, Karen N. | 05/11/2011 |

## 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 WILFULLY 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