

**FINANCIAL DISCLOSURE REPORT  
FOR CALENDAR YEAR 2012**

<b>1. Person Reporting (last name, first, middle initial)</b> Norris, Alan E.	<b>2. Court or Organization</b> Sixth Circuit Court of Appeals	<b>3. Date of Report</b> 05/08/2013
<b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b> U.S. Circuit Judge (senior)	<b>5a. Report Type (check appropriate type)</b> <input type="checkbox"/> Nomination      Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final	<b>6. Reporting Period</b> 01/01/2012 to 12/31/2012
	<b>5b.</b> <input type="checkbox"/> Amended Report	
<b>7. Chambers or Office Address</b> 328 U.S. Courthouse 85 Marconi Boulevard Columbus, OH 43215		

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

05/08/2013

**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. Jan.-Dec.	Ohio Public Employees Retirement System	\$55,819.73
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. Jan.-Dec.	Ohio Public Employees Retirement System
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

<b>Name of Person Reporting</b> Norris, Alan E.	<b>Date of Report</b> 05/08/2013
--	-------------------------------------

**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]	K
2.		
3.		
4.		
5.		

**FINANCIAL DISCLOSURE REPORT**

Name of Person Reporting

Norris, Alan E.

Date of Report

05/08/2013

**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.	1/4 int. rental property, Westerville, OH appraised 1/19/04	D	Rent	M	Q			
2.	common stock, IBM	A	Dividend	K	T					
3.	checking account, Bank one/Chase Bank Columbus, Oh	A	Interest	K	T					
4.	Keogh, ABA/Equitable Life Ins.	D	Distribution	M	T					
5.	Savings Account, WesBanco Cols, OH (formerly AmTrust)	A	Interest	M	T					
6.	GuardianLife Insurance Policy #1	A	Dividend	J	T					
7.	1 Shares Barclays TIPS Bond Fund	A	Dividend	J	T					
8.	Pimco FDS bond Fund	A	Dividend	J	T					
9.										
10.										
11.										
12.										
13.										
14.										
15.										
16.										
17.										

- 1. Income Gain Codes:      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
- (See Columns BI and D4)      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      J = \$15,000 or less      K = \$15,001 - \$50,000      L = \$50,001 - \$100,000      M = \$100,001 - \$250,000
- (See Columns C1 and D3)      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
- 3. Value Method Codes      P3 = \$25,000,001 - \$50,000,000      P4 = More than \$50,000,000
- (See Column C2)      Q = Appraisal      R = Cost (Real Estate Only)      S = Assessment      T = Cash Market
- U = Book Value      V = Other      W = Estimated

**FINANCIAL DISCLOSURE REPORT**

Page 5 of 6

<b>Name of Person Reporting</b>	<b>Date of Report</b>
Norris, Alan E.	05/08/2013

---

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

**FINANCIAL DISCLOSURE REPORT**

Page 6 of 6

Name of Person Reporting Norris, Alan E.	Date of Report 05/08/2013
---	------------------------------

**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/ Alan E. Norris

**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