

# FINANCIAL DISCLOSURE REPORT

Calendar Year 2003

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

1. Person Reporting (Last name, First name, Middle initial) Rogers, John M	2. Court or Organization U.S. Court of Appeals, 6th Cir	3. Date of Report 5/4/2004
4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge -- Active	5. Report Type (check appropriate type) <input type="radio"/> Nomination,      Date <input type="radio"/> Initial <input checked="" type="radio"/> Annual <input type="radio"/> Final	6. Reporting Period 1/1/2003 to 12/31/2003
7. Chambers or Office Address 100 E. Vine Street, Suite 400 Lexington KY 40507	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.  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. Professor Emeritus

University of Kentucky College of Law, Lexington KY

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## II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

NONE - (No reportable agreements.)

DATE

PARTIES AND TERMS

1. 04/17/97

Contract with Ashgate Publishing Co., Ltd., Aldershot, England, for 10% royalty on my book, International Law and United States Law

2. 07/31/01

Publishing agreement with Aspen Publishers and two co-authors for an administrative law casebook with 15% royalty for the authors.

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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>GROSS INCOME</u> (yours, not spouse's)
1. 2003	Aspen Publishing Co., Book Royalties	\$565.82

**B. Spouse's Non-Investment Income** - (If you were married during any portion of the reporting year, please 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. 2003	Kentucky World Trade Center

**IV. REIMBURSEMENTS** -- transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

 **NONE** - (No such reportable reimbursements.)

<u>SOURCE</u>	<u>DESCRIPTION</u>
1. Boston College Law School	April 22-23, 2003, Moot Court Competition Judge (Transportation, Meals, and Hotel).
2. Washington and Lee Law School	Oct 24-25, 2003, Moot Court Competition Judge (Transportation, Meals, and Hotel).

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**V. GIFTS.** (Includes those to spouse and dependent children. See pp. 28-31 of instructions.)

**NONE** - (No such reportable gifts.)

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.		

**VI. LIABILITIES.** (Includes those of spouse and dependent children. See pp. 32-34 of instructions.)

**NONE** - (No reportable liabilities.)

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		

**VII. INVESTMENTS and TRUSTS** - income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

A.	B.		C.		D.				
	(1)	(2)	(1)	(2)	(1)	from disclosure			
						(2)	(3)	(4) Gain Code 1	(5)
				(Q-W)					
2.	USAA Aggressive Growth Fund (IRA)	None	K	T					
3.	TIAA retirement account	Interest	N	T					
4.	CREF retirement account	None	O	T					
5.	US Savings Bonds Series EE	Interest	M	T					
6.	First Federal Bank savings acct (formerly 1st Fed Savgs Bk)	Interest	K	T					
7.	Smith Barney money market account	Dividend	J	T					
8.	USAA Subscriber's Savings Account	Distribution	J	T					
9.	Central Bank Checking Account	Interest	J	T					
10.	Smith Barney Adjustable Rate Income Fund, Class L	Dividend	J	T	Buy	11/2/2002	J	A	
11.	Smith Barney Adjustable Rate Income Fund Class L	Dividend	J	T	Sell	12/3	J	A	
12.	Smith Barney Managed Municipals Fund Class L	Dividend	J	T	Buy	5/7	J	A	
13.	Smith Barney Managed Municipals Fund Class L	Dividend	J	T	Sell	12/3	J	A	
14.	Smith Barney Aggressive Growth Fund Class L	None	J	T	Buy	9/12	J	A	
15.	Smith Barney Small Cap Value Fund Class L	None	J	T	Buy	10/16	J	A	
16.	Smith Barney Fundamental Value Fund	None	J	T	Buy	9/12	J	A	
17.	Smith Barney Mid Cap Core Fund Class L	None	J	T	Buy	9/12	J	A	
18.	Smith Barney Large Cap Growth Fund Class L	None	J	T	Buy	9/12	J	A	

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 B1 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 D5) N = \$250,000-\$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: Q = Appraisal R = Cost (Real Estate Only) S = Assessment T = Cash/Market  
 (See Column C2) U = Book Value V = Other W = Estimated

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

### Part VII:

- 1) Oracle Common Stock, listed on line 1 of nomination report, sold on July 15, 2002, valuation code J, gain code A.
- 2) Lexmark Common Stock, listed on line 2 of nomination report, sold on July 15, 2002, valuation code J, gain code A.
- 3) Inventory of Needlepoint Items, listed on line 10 of nomination report, partially sold in 2002 to reduce value below \$1 000, valuation code J, gain code A.
- 4) First Fed. Savings Bank CD, listed on line 11 of nomination report, cashed on July 3, 2002, valuation code J, gain code A.
- 5) Life Ins. Policy, Phoenix Life Ins. Co., listed on line 12 of nomination report, transferred on Dec. 9, 2002, val. code J, gain code A.
- 6) 1/3 of life ins. policy, USBA, listed on line 13 of nomination report, transferred on Nov. 18, 2002, val. code J, gain code A.

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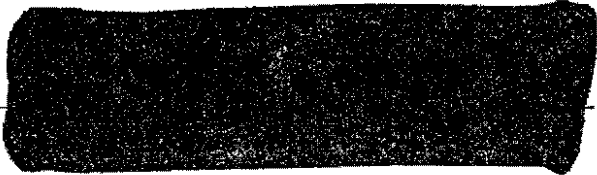
5/4/2004

**K. 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. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature \_\_\_\_\_



Date \_\_\_\_\_

4 May 2004

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