AO 10 Rev. 1/2010

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2009

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)	**2. Court or Organization**	**3. Date of Report**
Rogers, John M.	U.S. Court of Appeals, 6th Cir	05/1/2010
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type** (check appropriate type)	**6. Reporting Period**
U.S. Circuit Judge -- Active	☐ Nomination, Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	01/01/2009 to 12/31/2009
7. Chambers or Office Address	**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.**	
100 E. Vine Street, Suite 400 Lexington KY 40507	**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
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.	07/31/01	Publishing agreement with Aspen Publishers and two co-authors for an administrative law casebook with 15% royalty for the authors.
2.		
3.		

Name of Person Reporting	Date of Report
Rogers, John M.	05/1/2010

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.	2009	Aspen Publishing Co., Book Royalties	$2,818.99
2.	2009	University of Kentucky College of Law	$4,500.00
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.	2009	Kentucky World Trade Center
2.	2009	Chinese Cultural & Education Center of Lexington
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.	University of Texas Law School	March 5-6, 2009	Austin, TX	Clerkship Information Program	Ttravel, hotel, meals.
2.					
3.					
4.					
5.					

Name of Person Reporting	Date of Report
Rogers, John M.	05/1/2010

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
Rogers, John M.	05/1/2010

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)
1. USAA Aggressive Growth Fund (IRA)	A	Dividend	L	T					
2. TIAA retirement account	E	Interest	N	T					
3. CREF retirement account		None	O	T					
4. US Savings Bonds Series EE	D	Interest	M	T					
5. First Federal Bank savings acct	A	Interest	J	T					
6. Smith Barney bank deposit account	A	Interest	J	T					
7. USAA Subscriber's Savings Account	A	Distribution	J	T					
8. Central Bank Checking Account	A	Interest	J	T					
9. Legg Mason Partners Aggressive Growth Fund		None			Sold	10/23/09	J	A	
10. Legg Mason PartnersSmall Cap Value Fund		None			Sold	10/23/09	J	A	
11. Legg Mason Partners Fundamental Value Fund		None			Sold	10/23/09	J	A	
12. Legg Mason Partners Mid Cap Core Fund		None			Sold	10/23/09	J	A	
13. DWS Global Thematic Fund		None			Sold	10/23/09	J	A	
14. Thornburg Inv Inc Builder Fund	A	Dividend			Sold	10/23/09	J	A	
15. First Federal Bank CD #1	A	Interest	K	T					
16. First Federal Bank CD #2	A	Interest	K	T					
17. ING VP Intermediate Bond Port - I		None	J	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
Rogers, John M.	05/1/2010

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)
18. ING VP Strategic Alloc Growth Port-I		None	J	T					
19. American Balanced Fund R- 3 (ING fam)		None	J	T					
20. ING Van Kempen Comstock Port - Init		None	J	T					
21. Growth Fund of America R-3 (ING fam)		None	J	T					
22. EuroPacific Growth Fund R-3		None	K	T					
23. First Federal Bank CD #3	A	Interest	K	T					
24. First Federal Bank CD #4	A	Interest	K	T	Buy	04/23/09	K		
25. PIMCO Total Return Fund Cl C PTTCX	A	Dividend	J	T	Buy	07/17/09	J		
26. AllianceBernstein Lg Cap Growth Fd APGYX		None	J	T	Buy	10/26/09	J		
27. Blackrock Eq Div Fd cl A MDDVX		None	J	T	Buy	10/26/09	J		
28. Janus Perkins Sm Cap Val Fd cl J JSCVX		None	J	T	Buy	10/26/09	J		
29. Lazard Emerging Mkts Port Fd LZEMX		None	J	T	Buy	10/26/09	J		
30. Western Asset Money Mkt Fd cl A LMTXX	A	Dividend	J	T	Buy	10/26/09	J		
31. Nuveen Tradewinds Intl Val. Fd cl A NAIGX		None	J	T	Buy	10/26/09	J		
32. PIMCO Total Return Fd c. D PTTDX	A	Dividend	J	T	Buy	10/26/09	J		
33. PIMCO Foreign Bond Fd cl A PFUAX	A	Dividend	J	T	Buy	10/26/09	J		
34. TCW Sm Cap Growth Fd cl N TGSNX		None	J	T	Buy	10/26/09	J		

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
Rogers, John M.	05/1/2010

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

Name of Person Reporting	Date of Report
Rogers, John M.	05/1/2010

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