

**FINANCIAL DISCLOSURE REPORT  
FOR CALENDAR YEAR 2011**

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

|   |  |  |
|---|--|--|
| <b>1. Person Reporting (last name, first, middle initial)</b><br><br>Rogers, John M.  | <b>2. Court or Organization</b><br><br>U.S. Court of Appeals, 6th Cir  | <b>3. Date of Report</b><br><br>05/7/2012                        |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>U.S. Circuit Judge -- Active  | <b>5a. Report Type (check appropriate type)</b><br><input type="checkbox"/> Nomination      Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2011<br>to<br>12/31/2011 |
| <b>7. Chambers or Office Address</b><br><br>100 E. Vine Street, Suite 400<br>Lexington KY 40507   |  |  |
| <p align="center"><b>IMPORTANT NOTES:</b> <i>The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. Insert signature on last page.</i></p> |  |  |

**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. | 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.)*

|    | <u>DATE</u> | <u>PARTIES AND TERMS</u>   |
|----|-------------|--|
| 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. |             |  |

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Name of Person Reporting

Rogers, John M.

Date of Report

05/7/2012

**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><br>(yours, not spouse's) |
|-------------|--------------------------------------|--|
| 1. 2011     | Aspen Publishing Co., Book Royalties | \$701.00                               |
| 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. 2011     | Kentucky World Trade Center                      |
| 2. 2011     | 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.)

|    | <u>SOURCE</u>               | <u>DATES</u>         | <u>LOCATION</u> | <u>PURPOSE</u>         | <u>ITEMS PAID OR PROVIDED</u> |
|----|-----------------------------|----------------------|-----------------|------------------------|-------------------------------|
| 1. | Stanford Federalist Society | May 9, 2011          | Stanford, CA    | Give talk              | Travel, hotel, meals.         |
| 2. | Federal Bar Association     | May 13, 2011         | Memphis, TN     | Mock argument          | Travel, hotel, meals          |
| 3. | Liberty University          | September 24, 2011   | Lynchburg, VA   | Moot court             | Travel, hotel, meals          |
| 4. | Stanford University         | October 26-27, 2011  | Stanford, CA    | Symposium              | Travel, hotel, meals          |
| 5. | Brigham Young University    | November 17-18, 2011 | Provo, UT       | Professor in Residence | Travel, hotel, meals          |

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| Name of Person Reporting<br><b>Rogers, John M.</b> | Date of Report<br>05/7/2012 |
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**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. |                 |                    |                   |
| 2. |                 |                    |                   |
| 3. |                 |                    |                   |
| 4. |                 |                    |                   |
| 5. |                 |                    |                   |

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| Name of Person Reporting<br><b>Rogers, John M.</b> | Date of Report<br><b>05/7/2012</b> |
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## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |  | C.<br>Gross value at end<br>of reporting period |                          | D.<br>Transactions during reporting period |                  |                          |                         |  |
|---|---|--|---|--------------------------|--|------------------|--------------------------|-------------------------|--|
|   | (1)                                     | (2)                                    | (1)   | (2)                      | (1)  | (2)              | (3)                      | (4)                     | (5)  |
|   | Amount<br>Code 1<br>(A-H)               | Type (e.g.,<br>div., rent,<br>or int.) | Value<br>Code 2<br>(J-P)                        | Value<br>Code 3<br>(Q-W) | Type (e.g.,<br>buy, sell,<br>redemption)   | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. USAA Aggressive Growth Fund (IRA)  | A                                       | Dividend                               | L   | T                        |  |                  |                          |                         |  |
| 2. TIAA retirement account  | E                                       | Interest                               | O   | T                        |  |                  |                          |                         |  |
| 3. CREF retirement account  |   | None                                   | O   | T                        |  |                  |                          |                         |  |
| 4. US Savings Bonds Series EE   | D                                       | Interest                               | M   | T                        |  |                  |                          |                         |  |
| 5. ING Fidelity VIP MidCap Portfolio SRV  |   | None                                   | J   | T                        | Buy  | 05/12/11         | J                        |                         |  |
| 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. First Federal Bank CD #1   | A                                       | Interest                               | K   | T                        |  |                  |                          |                         |  |
| 10. First Federal Bank CD #2  | A                                       | Interest                               | K   | T                        |  |                  |                          |                         |  |
| 11. ING VP Intermediate Bond Port - I   |   | None                                   | J   | T                        |  |                  |                          |                         |  |
| 12. ING VP Strategic Alloc Growth Port-I  |   | None                                   | K   | T                        |  |                  |                          |                         |  |
| 13. American Balanced Fund R- 3 (ING fam)   |   | None                                   | J   | T                        |  |                  |                          |                         |  |
| 14. ING Van Kempen Comstock Port - Init   |   | None                                   | K   | T                        |  |                  |                          |                         |  |
| 15. Growth Fund of America R-3 (ING fam)  |   | None                                   | J   | T                        |  |                  |                          |                         |  |
| 16. EuroPacific Growth Fund R-3   |   | None                                   | K   | T                        |  |                  |                          |                         |  |
| 17. First Federal Bank CD #3  | A                                       | Interest                               | K   | T                        |  |                  |                          |                         |  |

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 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  
 P3 = \$25,000,001 - \$50,000,000 P4 = More than \$50,000,000  
 3. Value Method Codes R = Cost (Real Estate Only) S = Appraisal T = Cash Market  
 (See Column C2) U = Book Value V = Other W = Estimated

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| Name of Person Reporting<br><b>Rogers, John M.</b> | Date of Report<br><b>05/7/2012</b> |
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## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |  | C.<br>Gross value at end<br>of reporting period |                                    |  | D.<br>Transactions during reporting period |                          |                         |  |  |
|---|---|--|---|------------------------------------|--|--|--------------------------|-------------------------|--|--|
|   | (1)                                     | (2)                                    | (1)   | (2)                                | (1)                                      | (2)  | (3)                      | (4)                     | (5)  |  |
|   | Amount<br>Code 1<br>(A-H)               | Type (e.g.,<br>div., rent,<br>or int.) | Value<br>Code 2<br>(J-P)                        | Value<br>Method<br>Code 3<br>(Q-W) | Type (e.g.,<br>buy, sell,<br>redemption) | Date<br>mm/dd/yy                           | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |  |
| 18. First Federal Bank CD #4  | A                                       | Interest                               | K   | T                                  |  |  |                          |                         |  |  |
| 19. Wanger USA Mut Fd   |   | None                                   | J   | T                                  | Buy                                      | 05/12/11                                   | J                        |                         |  |  |
| 20. Neuberger Berman Genesis Fd NBGEX   |   | None                                   | J   | T                                  | Buy                                      | 12/27/11                                   | J                        |                         |  |  |
| 21. Blackrock Eq Div Fd cl A MDDVX  | A                                       | Dividend                               | K   | T                                  |  |  |                          |                         |  |  |
| 22. Janus Perkins Sm Cap Val Fd cl T JSCVX  | A                                       | Dividend                               | J   | T                                  |  |  |                          |                         |  |  |
| 23. Lazard Emerging Mkts Port Fd LZEMX  | B                                       | Dividend                               | K   | T                                  |  |  |                          |                         |  |  |
| 24. PIMCO Commodity Real Return Strat Fd D PCRDX  | A                                       | Dividend                               | J   | T                                  | Buy                                      | 07/13/11                                   | J                        |                         |  |  |
| 25. Nuveen Tradewinds Intl Val. Fd cl A NAIGX   | A                                       | Dividend                               | J   | T                                  |  |  |                          |                         |  |  |
| 26. PIMCO Total Return Fd cl. D PTTDX   | A                                       | Dividend                               | J   | T                                  |  |  |                          |                         |  |  |
| 27. PIMCO Foreign Bond Fd cl A PFUAX  | A                                       | Dividend                               | J   | T                                  |  |  |                          |                         |  |  |
| 28. TCW Sm Cap Growth Fd cl N TGSNX   |   | None                                   | J   | T                                  |  |  |                          |                         |  |  |
| 29. Cohen & Steers Realty Shs. Fd. CSRSX  | A                                       | Dividend                               | J   | T                                  |  |  |                          |                         |  |  |
| 30. Fidelity Adv'r New Insights Fd. cl. A FNIAX   |   | None                                   | K   | T                                  |  |  |                          |                         |  |  |
| 31. Goldman Sachs Tr Bric Fd cl. A GBRAx  |   | None                                   | J   | T                                  |  |  |                          |                         |  |  |
| 32. Western Asset Money Mkt Fd. cl. A   | A                                       | Dividend                               | J   | T                                  | Buy                                      | 03/01/11                                   | J                        |                         |  |  |
| 33. PIMCO REal Return Fd D PRRDX  | A                                       | Dividend                               | J   | T                                  | Buy                                      | 07/13/11                                   | J                        |                         |  |  |

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

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| <b>Name of Person Reporting</b><br>Rogers, John M. | <b>Date of Report</b><br>05/7/2012 |
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**VIII. ADDITIONAL INFORMATION OR EXPLANATIONS.** *(Indicate part of report.)*

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| Name of Person Reporting | Date of Report |
| Rogers, John M.          | 05/7/2012      |

**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/ John M. Rogers**

**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  
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Washington, D.C. 20544