AO 10
Rev. 1/2017

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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	04/11/2022
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 -- Senior	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
100 E. Vine Street, Suite 400 Lexington KY 40507		

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.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Professor Emeritus	University of Kentucky Rosenberg 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 (now Wolters Kluwer) and two co-authors for an administrative law casebook with 15% royalty for the authors.
2.		
3.		

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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.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.	2021	Wolters Kluwer Publishing, Book Royalties	$425.00
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.)*

	DATE	SOURCE AND TYPE
1.	2021	Chinese Cultural & Education Center of Lexington
2.	2021	Clark University
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.					
2.					
3.					
4.					
5.					

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.			

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Rogers, John M.	04/11/2022

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	B		C		D				
	Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		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)
1.	TIAA retirement account-Traditional Guaranteed	E	Interest	O	T					
2.	CREF retirement account-CREF Stock R3		None	P1	T	Distributed (part)	12/01/21	L		
3.	US Savings Bonds Series EE	C	Interest	M	T					
4.	Broker cash Acct.-USAA Treas. Mkt.	A	Interest	J	T					
5.	USAA Subscriber's Savings Account	B	Distribution	J	T					
6.	Central Bank Checking Account	A	Interest	L	T					
7.	Chase Checking Account		None	J	T					
8.	USAA Fed. Savings Bank	A	Interest	J	T					
9.	USAA Precious Metals Fund (USAGX)	A	Dividend	K	T					
10.	USAA Sustainable World Fund (USAWX)	E	Dividend	L	T					
11.	USAA Sci & Tec Fund (USSCX)	E	Dividend	M	T					
12.	USAA Growth & Inc Fund (USGRX)	D	Dividend	L	T					
13.	USAA Value Fund (UVALX)	C	Dividend	L	T					
14.	USAA Growth Fund (USAAX)	D	Dividend	M	T					
15.	USAA Small Cap Stock Fund (USCAX)	D	Dividend	K	T					
16.	USAA Extended Mkt Index Fund (USMIX)	D	Dividend	L	T					
17.	USAA Target Retirem't Inc Fund (URINX)	C	Dividend	K	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		

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Rogers, John M.	04/11/2022

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☐ NONE *(No reportable income, assets, or transactions.)*

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		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. USAA NASDAQ-100 Index Fund (USNQX)	D	Dividend	M	T	Buy (add'l)	02/25/21	K		
19.					Buy (add'l)	05/19/21	K		
20. USAA 500 Index Fund (USSPX)	B	Dividend	L	T	Buy	12/14/21	K		
21.					Buy (add'l)	12/21/21	K		
22. USAA Aggressive Growth Fund Retail (USAUX)	E	Dividend	M	T					
23. USAA NASDAQ 100 Index Retail (USNQX)	D	Dividend	N	T	Buy (add'l)	01/15/21	J		
24.					Buy (add'l)	07/15/21	J		
25. Vanguard 500 Index Fund (VFIAX)	A	Dividend	K	T	Buy	02/19/21	J		
26.					Buy (add'l)	04/21/21	K		
27. USAA Sci & Tech Fund (USSCX)	E	Dividend	M	T					
28. USAA 500 Index (USSPX/USPRX)	E	Dividend	N	T					
29. USAA Growth Fund (IRA) (USAAX)	D	Dividend	L	T					
30. USAA Aggressive Growth Fund (IRA) (USAUX)	D	Dividend	L	T					
31. USAA 500 Index (IRA) (USSPX)	C	Dividend	L	T					
32. USAA NASDAQ-100 (IRA) (USNQX)	B	Dividend	L	T					
33. USAA SCI & TECH (IRA) (USSCX)	D	Dividend	L	T					

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

Part VII, line 2: In response to the Committee's request six years ago, I understand that you are asking for income generated by the assets, and I understand the difference between market fluctuations and income. However, the statements do not provide the level of detail required. Rather than guess, I have listed "none."

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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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544