AO 10
Rev. 3/2023

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

*Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)*

| 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 | 05/14/2024 |
| **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 -- Inactive | ☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☐ Amended Report | 01/01/2023<br>**to**<br>12/31/2023 |
| **7. Chambers or Office Address** | | |
| 100 E. Fifth Street<br>Cincinnati, OH 45202 | | |

***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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ 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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements.)*

☐ 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. | | |

## III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

### A. Filer's Non-Investment Income

☑ NONE *(No reportable non-investment income.)*

| | DATE | SOURCE AND TYPE | INCOME (yours, not spouse's) |
|---|---|---|---|
| 1. | | | |
| 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 |
|---|---|---|
| 1. | 2023 | University of Kentucky |
| 2. | 2023 | Clark University |
| 3. | | |
| 4. | | |

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

*(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☐ NONE *(No reportable reimbursements.)*

| | SOURCE | DATES | LOCATION | PURPOSE | ITEMS PAID OR PROVIDED |
|---|---|---|---|---|---|
| 1. | American Law Institute | November 26-27, 2023 | Philadelphia, PA | Advisor Meeting | Meals |
| 2. | | | | | |
| 3. | | | | | |
| 4. | | | | | |
| 5. | | | | | |

## V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

| | SOURCE | DESCRIPTION | VALUE |
|---|---|---|---|
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

## VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

| | CREDITOR | DESCRIPTION | VALUE CODE |
|---|---|---|---|
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Rogers, John M.** | 05/14/2024 |

## VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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) | |
|---|---|---|---|---|---|---|---|---|---|---|
| 1. | TIAA retirement account-Traditional Guaranteed | E | Interest | O | T | Distributed (part) | 12/01/23 | K | | |
| 2. | CREF retirement account-CREF Stock R3 | | None | P1 | T | Distributed (part) | 12/01/23 | L | | |
| 3. | US Savings Bonds Series EE | | None | M | T | | | | | |
| 4. | Broker cash Acct.-USAA Treas. Mkt. | A | Interest | J | T | | | | | |
| 5. | USAA Subscriber's Savings Account | A | Distribution | J | T | | | | | |
| 6. | Central Bank Checking Account | A | Interest | M | T | | | | | |
| 7. | USAA CD [redacted] | A | Interest | K | T | Buy | 08/28/23 | K | | |
| 8. | Chase Checking Account | A | Interest | J | T | | | | | |
| 9. | Chase Savings Account | A | Interest | J | T | | | | | |
| 10. | USAA Fed. Savings Bank | A | Interest | J | T | | | | | |
| 11. | USAA Precious Metals Fund (USAGX) | A | Dividend | K | T | | | | | |
| 12. | USAA Sustainable World Fund (USAWX) | A | Dividend | L | T | | | | | |
| 13. | USAA Sci & Tec Fund (USSCX) | | None | M | T | | | | | |
| 14. | USAA Growth & Inc Fund (USGRX) | A | Dividend | L | T | | | | | |
| 15. | USAA Value Fund (UVALX) | A | Dividend | L | T | | | | | |
| 16. | USAA Growth Fund (USAAX) | | None | M | T | | | | | |
| 17. | USAA Small Cap Stock Fund (USCAX) | A | 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 | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Rogers, John M.** | 05/14/2024 |

## VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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) | |
|---|---|---|---|---|---|---|---|---|---|
| 18. USAA Extended Mkt Index Fund (USMIX) | A | Dividend | K | T | | | | | |
| 19. USAA Target Retirem't Inc Fund (URINX) | A | Dividend | L | T | | | | | |
| 20. USAA NASDAQ-100 Index Fund (USNQX) | A | Dividend | M | T | | | | | |
| 21. USAA 500 Index Fund (USSPX/USPRX) | B | Dividend | M | T | Buy (add'l) | 08/04/23 | L | | |
| 22. Fidelity Int'l Index Fund (FSPSX) | B | Dividend | L | T | Buy | 06/01/23 | L | | |
| 23. USAA Aggressive Growth Fund Retail (USAUX) | A | Dividend | M | T | | | | | |
| 24. USAA NASDAQ 100 Index Retail (USNQX) | B | Dividend | N | T | | | | | |
| 25. Vanguard 500 Index Fund (VFIAX) | A | Dividend | K | T | | | | | |
| 26. USAA Sci & Tech Fund (USSCX) | | None | M | T | | | | | |
| 27. USAA 500 Index (USSPX/USPRX) | D | Dividend | N | T | | | | | |
| 28. Schwab Intl Index (SWISX) | A | Dividend | K | T | Buy | 05/26/23 | J | | |
| 29. T Rowe Price Health Sci (PRHSX) | A | Dividend | K | T | Buy | 06/06/23 | K | | |
| 30. USAA Growth Fund (IRA) (USAAX) | D | Dividend | L | T | | | | | |
| 31. USAA Aggressive Growth Fund (IRA) (USAUX) | A | Dividend | L | T | | | | | |
| 32. USAA 500 Index (IRA) (USSPX) | A | Dividend | L | T | | | | | |
| 33. USAA NASDAQ-100 (IRA) (USNQX) | A | Dividend | L | T | | | | | |
| 34. USAA SCI & TECH (IRA) (USSCX) | | None | 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

| Name of Person Reporting | Date of Report |
|---|---|
| **Rogers, John M.** | 05/14/2024 |

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

Part II, line 1: Pursuant to this agreement, I shared in royalties for the first four editions of the casebook. For the fifth and any subsequent editions, I am receiving no royalties.

Part VII, line 2: In response to the Committee's request eight 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."

| Name of Person Reporting | Date of Report |
|---|---|
| **Rogers, John M.** | 05/14/2024 |

## 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. § 13141 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. § 13106)**

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite G-330
One Columbus Circle, N.E.
Washington, D.C. 20544