AO 10
Rev. 1/2021

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
Moore, Karen N.	U.S. Court of Appeals-6th Cir.	02/22/2023
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	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
Carl B. Stokes U.S. Courthouse 801 W. Superior Ave., Ste 21A Cleveland, Ohio 44113-1831		

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.	Trustee	Trust #2
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.		
2.		
3.		

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.			
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.		
2.		
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.			

Name of Person Reporting	Date of Report
Moore, Karen N.	02/22/2023

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. Key Bank Account	A	Interest	N	T					
2. Key Bank Gold Money Market Savings	A	Interest	L	T					
3. IRA T. Rowe Price New Horizons Fund	G	Dividend	O	T	Sold (part)	01/20/21	K		
4. TIAA Traditional (X)	B	Interest	O	T	Sold (part)	01/22/21	K		
5. TIAA Real Estate (X)		None	M	T	Sold (part)	01/22/21	J		
6. CREF Stock R3 (X)		None	O	T	Sold (part)	01/22/21	K		
7. CREF Global Equities R3 (X)		None	M	T	Sold (part)	01/22/21	J		
8. T-C Emrg Mkts Eq Idx-Inst (X)	C	Dividend	M	T	Sold (part)	01/22/21	J		
9. CREF Social Choice R3 (X)		None	N	T	Sold (part)	01/22/21	J		
10. T-C Real Est.Sec.Fnd Inst exch to PIMCO Inf Resp Mult Ast Fnd Inst (X)					Sold (part)	01/22/21	J		
11.	B	Dividend			Closed	11/30/21	M		
12. PIMCO Inf Resp Mult Ast Inst exch from T-C Real Est Sec Fnd Inst (X)	C	Dividend	M	T	Open	11/30/21	M		
13.				T	Sold (part)	12/22/21	J		
14. T-C Lg-Cap Val-Inst exch to Diamond Hill Lrg CapFdY (X)					Sold (part)	01/22/21	J		
15.		None			Closed	11/30/21	M		
16. Diamond Hill Lrg Gp Fd Y exch from T-C Lg Cap Val-Inst (X)	E	Dividend	M	T	Open	11/30/21	M		
17.				T	Sold (part)	12/22/21	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		

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Moore, Karen N.	02/22/2023

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

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18. T-C Mid-Cap Val Fd Inst exch to Boston Trust SMID Cap (X)					Sold (part)	01/22/21	J		
19.		None			Closed	11/30/21	M		
20. Boston Trust SMID Cap exch from 18 & 22 (X)	D	Dividend	N	T	Open	11/30/21	N		
21.					Sold (part)	12/22/21	J		
22. T-C Quant Small-Cap Eq Inst exch to Boston Trust SMID Cap (20) (X)					Sold (part)	01/22/21	J		
23.		None			Closed	11/30/21	M		
24. T-C S&P 500 Idx-Inst (X)	A	Dividend	K	T	Sold (part)	01/22/21	J		
25. Harbor Divsfed Intl All Cp Rt (X)	E	Dividend	N	T	Sold (part)	01/22/21	J		
26. CREF Bond Mkt R3 (X)		None	K	T	Sold (part)	01/22/21	J		
27. Vanguard Wellesley Income Fund (Retirement Fund)	C	Dividend	M	T	Sold (part)	01/11/21	J		
28. Vanguard Windsor Fund (Retirement Fund) (exchange to Diamond Hill)	A	Dividend			Closed	12/01/21	N	A	
29. Diamond Hill Large Cap Fund (Vanguard Pension Plan--Windsor exchge)(X)	A	Dividend	N	T	Open	12/01/21	N		
30. Vanguard Wellington Fund (Retirement Fund)	D	Dividend	M	T	Sold (part)	01/11/21	J		
31. Dodge & Cox Stock Fund (Rollover IRA)	B	Dividend	M	T					
32. Fidelity Capital Appreciation (Rollover IRA)	E	Dividend	M	T					
33. T. Rowe Price Growth Stock	D	Dividend	M	T					
34. IRA American Funds--Capital World Growth & Income CL A	C	Dividend	L	T	Sold (part)	02/25/21	J	A	

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35. IRA American Funds--Investment Co of Am CL A	C	Dividend	K	T					
36. Baird Core Plus Inst (Rollover IRA)	A	Dividend	K	T	Sold (part)	07/09/21	K	A	
37. American Funds--Capital Inc Bldr Fund CL A	A	Dividend	J	T					
38. PNC Money Market	A	Interest	K	T					
39. IRA Income Fund of Am Fd CL A	B	Dividend	K	T					
40. Franklin Rising Div Fd	A	Dividend	K	T					
41. Income Fund of Am Fd CL A	A	Dividend	K	T					
42. Franklin Mut Glbl DScv Fd CL A	A	Dividend	J	T					
43. Franklin Fed Tax Free Income CL A	A	Dividend	J	T					
44. Franklin High Yield Tax Free	A	Dividend	J	T					
45. Franklin Fed Intr-TM Tx FR Incm	A	Dividend	J	T					
46. IRA American Fnd New Perspective Fd CL A	A	Dividend	J	T					
47. Franklin Dynatech Fund Cl A	A	Dividend	J	T					
48. Franklin Equity Income Fund A	A	Dividend	J	T					
49. Franklin Fed Intr--Tm Txfr Incm A	A	Dividend	K	T	Sold (part)	02/25/21	K	A	
50.					Sold (part)	07/14/21	J	A	
51. Franklin Fed Ltd Term Tax Free	A	Dividend	L	T					

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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

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52. Franklin Fed Tax-Free Income A	A	Dividend	K	T	Sold (part)	02/25/21	K	A	
53.					Sold (part)	07/14/21	J	A	
54. Franklin Growth Series Class A	B	Dividend	J	T					
55. Franklin High Yield Tax Free A	B	Dividend	K	T					
56. Franklin Mut Glbl Dscv Fd Cl A	A	Dividend			Sold	02/25/21	J	A	
57. Franklin Rising Dividends Fd A	B	Dividend	K	T					
58. Templeton Global Smaller Cos A	A	Dividend	J	T					
59. Fidelity Asset Manager 40%	B	Dividend	L	T					
60. Fidelity Freedom Index 2025 Investor (Rollover IRA)	C	Dividend	M	T					
61. Fidelity 500 Index Premium Class	A	Dividend	K	T					
62. Fidelity Tax Free Bond	B	Dividend	L	T					
63. Fidelity Ohio Muni Income	B	Dividend	L	T					
64. Fidelity Govt Money Mkt	A	Dividend	L	T	Sold (part)	07/09/21	K	A	
65. Fidelity Asset Manager 60%	B	Dividend	L	T	Buy (add'l)	07/09/21	K		
66. Fidelity Zero Int' Index	A	Dividend	K	T					
67. Fidelity Zero Total Market Index	A	Dividend	L	T					
68. Am. Tax-Aware Cons G&IA	B	Dividend	L	T	Buy (add'l)	05/07/21	K		

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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

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69. Morgan Stanley Bank Na	A	Interest			Closed	09/03/21	J	A	
70. Am. Fundamental Inv A	A	Dividend	J	T					
71. Am. Growth Fd of Am A	A	Dividend	J	T					
72. Am. New Persp. A	A	Dividend	J	T					
73. Franklin Ohio Tax-Free Income (X)	A	Interest	K	T	Buy	05/07/21	K		
74. Huntington Nat'l Bank (X)	A	Interest	K	T	Open	04/05/21	J		
75. Goldman Sachs Bank (X)	A	Interest	J	T	Open	07/14/21	K		

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

Part VII - Item 3. Twelve monthly equal partial sales totaling K.

NOTE: Part VII, Items 4 through 26 were previously reported as 4-TIAA and 5-CREF. Amended report lists individual funds, all held in TIAA-CREF Pension Fund.

Part VII - Item 4. Twelve monthly equal partial sales totaling K. (Previously reported as TIAA and CREF. Now reporting individual funds.)

Part VII - Item 5. Twelve monthly equal partial sales totaling J. (Previously reported as TIAA and CREF. Now reporting individual funds.)

Part VII - Item 6. Twelve monthly equal partial sales totaling K. (Previously reported as TIAA and CREF. Now reporting individual funds.)

Part VII - Item 7. Twelve monthly equal partial sales totaling J. (Previously reported as TIAA and CREF. Now reporting individual funds.)

Part VII - Item 8. Twelve monthly equal partial sales totaling J. (Previously reported as TIAA and CREF. Now reporting individual funds.)

Part VII - Item 9. Twelve monthly equal partial sales totaling J. (Previously reported as TIAA and CREF. Now reporting individual funds.)

Part VII - Item 10. Eleven monthly equal partial sales totaling J. (Previously reported as TIAA and CREF. Now reporting individual funds.)

Part VII - Item 14. Eleven monthly equal partial sales totaling J. (Previously reported as TIAA and CREF. Now reporting individual funds.)

Part VII - Item 18. Eleven monthly equal partial sales totaling J. (Previously reported as TIAA and CREF. Now reporting individual funds.)

Part VII - Item 22. Eleven monthly equal partial sales totaling J. (Previously reported as TIAA and CREF. Now reporting individual funds.)

Part VII - Item 24. Twelve monthly equal partial sales totaling J. (Previously reported as TIAA and CREF. Now reporting individual funds.)

Part VII - Item 25. Twelve monthly equal partial sales totaling J. (Previously reported as TIAA and CREF. Now reporting individual funds.)

Part VII - Item 26. Twelve monthly equal partial sales totaling J. (Previously reported as TIAA and CREF. Now reporting individual funds.)

Part VII - Items 27-30. Twelve monthly equal partial sales totaling K.

Part VII - Items 47-58, 69, and 75 are from Trust #2.

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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/ Karen N. Moore

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