

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) RICE, WALTER H.	2. Court or Organization U. S. DISTRICT COURT, SD OHIO	3. Date of Report 08/25/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) UNITED STATES DISTRICT JUDGE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address UNITED STATES DISTRICT COURT 200 WEST SECOND ST., ROOM 909 DAYTON, OH 45402		
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. SEE PART VIII, PAGE 13	See Part VIII
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 14

Name of Person Reporting

RICE, WALTER H.

Date of Report

08/25/2015

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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2014

CITY OF VANDALIA - (salary as Magistrate/)

2. 2014

Ohio Public Employees Retirement System; monthly pension checks

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 14

Name of Person Reporting

RICE, WALTER H.

Date of Report

08/25/2015

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 14

Name of Person Reporting

RICE, WALTER H.

Date of Report

08/25/2015

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		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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. Fifth-Third Bank, Dayton, OH fka PNC Bank (savings account)	A	Interest	L	T					
2. Society National Bank, nka KeyBank, Dayton - checking acct)	A	Interest	J	T					
3. Allergen - common stock	A	Dividend	J	T					
4. Beckman Instrument - common stock	A	Dividend	J	T					
5. Fifth-Third Bank, fka PNC Bank, Dayton (checking acct)	A	Interest	J	T					
6. International Paper	A	Dividend	K	T					
7. Fifth-Third Bank, Dayton (interest bearing checking account)	A	Interest	K	T					
8. Fifth-Third Bank, Dayton (interest bearing savings account)	A	Interest	L	T					
9. Wright-Patterson Credit Union	B	Interest	K	T					
10. Integra Financial	A	Dividend	J	T					
11. SmithKline Beecham - Preferred Stock	A	Dividend	J	T					
12. Curators Univ Mo Sys Facs Rev Ser B	B	Interest	L	T					
13. Mass St Sba Ded Sls Tax Rev Ser A	B	Interest	L	T					
14. Ohio State Higher Ed Lt Ser A RF	B	Interest	L	T					
15. Connecticut St	B	Interest			Redeemed	11/3/14	K		
16. Harris Tex Met Tran At	B	Interest	L	T					
17. Alaska Mun Bd Bk Ak Mun	B	Interest	L	T					

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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 14

Name of Person Reporting

RICE, WALTER H.

Date of Report

08/25/2015

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		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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. Baltimore MD Rev Sub-Wastewater Proj	B	Interest	L	T					
19. California St. Var Purp	C	Interest	L	T					
20. Chicago Ill O Hare Intl	B	Interest	L	T	Buy	6/20/14	L		
21. Consumer Discretionary SPDR	A	Dividend	K	T	Buy	4/29/14	J		
22. - Consumer Discretionary SPDR			K	T	Buy (add'l)	5/6/14	J		
23. - Consumer Discretionary SPDR			K	T	Buy (add'l)	5/13/14	J		
24. - Consumer Discretionary SPDR			K	T	Buy (add'l)	5/20/14	J		
25. - Consumer Discretionary SPDR			K	T	Sold (part)	10/21/14	J	A	
26. - Consumer Discretionary SPDR			K	T	Sold (part)	12/15/14	J	A	
27. District Columbia Ser A	B	Interest	K	T					
28. First Tr Exchange Traded Fund	A	Dividend	J	T	Buy	4/29/14	J		
29. - First Tr Exchange Traded Fund			J	T	Buy (add'l)	5/6/14	J		
30. - First Tr Exchange Traded Fund			J	T	Buy (add'l)	5/13/14	J		
31. - First Tr Exchange Traded Fund			J	T	Buy (add'l)	5/20/14	J		
32. - First Tr Exchange Traded Fund			J	T	Sold (part)	10/21/14	J	A	
33. First TR ISE Cloud Comp	A	Dividend	J	T	Buy	4/29/14	J		
34. - First TR ISE Cloud Comp			J	T	Buy (add'l)	5/6/14	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 14

Name of Person Reporting

RICE, WALTER H.

Date of Report

08/25/2015

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		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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)

35. - First TR ISE Cloud Comp			J	T	Buy (add'l)	5/13/14	J		
36. - First TR ISE Cloud Comp			J	T	Buy (add'l)	5/20/14	J		
37. - First TR ISE Cloud Comp			J	T	Sold (part)	12/15/14	J	A	
38. Florida St Brd Ed Pub Cap Outlay	C	Interest	L	T					
39. Intermountain Pwr Agy	B	Interest	L	T	Buy	4/22/14	L		
40. Iowa St Hosp Rev Univ Hosps Clinics	C	Interest	L	T					
41. Ishares Nasdaq Biotech	A	Dividend	J	T	Buy	4/29/14	J		
42. - Ishares Nasdaq Biotech			J	T	Buy (add'l)	5/6/14	J		
43. - Ishares Nasdaq Biotech			J	T	Buy (add'l)	5/13/14	J		
44. - Ishares Nasdaq Biotech			J	T	Buy (add'l)	5/20/14	J		
45. - Ishares Nasdaq Biotech			J	T	Sold (part)	10/21/14	J	A	
46. - Ishares Nasdaq Biotech			J	T	Sold (part)	12/15/14	J	A	
47. Nebraska Pub Pwr Dist Rev Gen Natl	C	Interest	L	T					
48. New Hampshire St Tpk Sys Rev Ser B Rf	B	Interest			Redeemed	4/1/14	L	A	
49. New Jersey St Trans Tr	A	Interest	L	T					
50. New Mexico Fin Auth Rev Sr Lien-Pub Proj Ser B	B	Interest			Redeemed	6/2/14	L	A	
51. New York NYC Mun WFA Wtr-SS RV Second BB Rf	C	Interest	L	T					

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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 14

Name of Person Reporting

RICE, WALTER H.

Date of Report

08/25/2015

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		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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)
52. Nevada St Hwy Impt Rev Motr Vehicle Fuel RF	C	Interest	L	T					
53. Texas St Pub Fin Auth Lt Sera A RF	C	Interest	L	T					
54. University Minn Ser A	B	Interest	K	T					
55. BIF Money Fund	A	Interest	K	T					
56. ABBVIE Inc. (ABBV)	A	Dividend	K	T	Sold (part)	10/21/14	J	A	
57. Automatic Data Proc (ADP)	A	Dividend	K	T	Buy (add'l)	10/9/14	J		
58. Alliance Bernstein Interm Diversified Muni (AIDAX)	A	Dividend			Sold	10/16/14	K	A	
59. AllianceBernstein High Income Muni Fund (ABTYX)	B	Dividend			Sold	10/14/14	K	A	
60. Altria Group Inc (MO)	A	Dividend	J	T	Sold (part)	10/21/14	J	A	
61. Amn Elec Power (AEP)	A	Dividend	J	T	Buy	10/21/14	J		
62. Anheuser Busch	A	Dividend	J	T	Buy	6/25/14	J		
63. - Anheuser Busch			J	T	Buy (add'l)	10/21/14	J		
64. Astrazeneca	A	Dividend	J	T	Buy	12/15/14	J		
65. AT&T Inc. (T)	A	Dividend	J	T	Buy	10/21/14	J		
66. Automatic Data Proc	A	Dividend	K	T	Buy	10/9/14	J		
67. BCE Inc. (BCE)	A	Dividend	J	T					
68. BP Pln Spon	A	Dividend	J	T	Buy	9/15/14	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 14

Name of Person Reporting

RICE, WALTER H.

Date of Report

08/25/2015

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		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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)
69. - BP Pln Spon			J	T	Buy (add'l)	10/21/14	J		
70. Bristol-Myers Squibb Co (BMY)	A	Dividend			Sold	6/25/14	J	A	
71. Chevron Corp.	A	Dividend			Sold	9/15/14	J	A	
72. Conagra Foods Inc. (CAG)	A	Dividend			Sold	6/25/14	J	A	
73. Digital Rlty Tr Inc. (DLR)	A	Dividend	J	T					
74. Dominion	A	Dividend	K	T	Buy	12/15/14	J		
75. Du Pont E I De Nemours (DD)	A	Dividend	J	T					
76. Eaton Corp Plc (ETN)	A	Dividend			Sold	1/16/14	J	A	
77. Eli Lilly	A	Dividend	J	T	Buy	6/25/14	J		
78. - Eli Lilly			J	T	Buy (add'l)	10/21/14	J		
79. General Electric (GE)	A	Dividend	J	T	Sold (part)	10/21/14	J	A	
80. GlaxoSmithKline (GSK)	A	Dividend			Buy	10/21/14	J		
81. - GlaxoSmithKline					Sold (part)	12/12/14	J	A	
82. - GlaxoSmithKline					Sold	12/15/14	J	A	
83. Intel Corp (INTC)	B	Dividend	L	T	Sold (part)	10/21/14	J	A	
84. JPMorgan Chase & Co. (JPM)	A	Dividend	J	T					
85. Kraft Foods Group Inc. (KRFT)	A	Dividend	J	T	Buy	10/21/14	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 ~\$250,000,001 - \$500,000,000	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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 14

Name of Person Reporting

RICE, WALTER H.

Date of Report

08/25/2015

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		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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)

86. Kimberly Clark (KMB)	A	Dividend	J	T	Sold (part)	10/21/14	J	A	
87. Lockheed	A	Dividend	J	T	Buy	1/16/14	J		
88. - Lockheed	A	Dividend	J	T	Sold (part)	10/21/14	J	A	
89. McDonalds Corp. (MCD)	A	Dividend	J	T	Buy (add'l)	10/21/14	J		
90. Nextera Energy Inc. SHS (NEE)	A	Dividend			Sold (part)	10/21/14	J	A	
91. - Nextera Energy Inc. SHS					Sold (part)	12/15/14	J	A	
92. - Nextera Energy Inc. SHS					Sold (part)	12/16/14	J	A	
93. - Nextera Energy Inc. SHS					Sold	12/17/14	J	A	
94. Occidental Pete Corp (OXY)	A	Dividend	J	T	Buy (add'l)	10/21/14	J		
95. Paccar Inc. (PCAR)	A	Dividend	J	T	Sold (part)	10/21/14	J	A	
96. Philip Morris Intl Inc. (PM)	A	Dividend	J	T					
97. PPL Corporation (PPL)	A	Dividend	J	T					
98. Sector SPDR Financial	A	Dividend	K	T	Buy	4/29/14	J		
99. Sector SPDR Financial	A	Dividend	K	T	Buy (add'l)	5/6/14	J		
100. Sector SPDR Financial	A	Dividend	K	T	Buy (add'l)	5/13/14	J		
101. Sector SPDR Financial	A	Dividend	K	T	Buy (add'l)	5/20/14	J		
102. Sector SPDR Financial	A	Dividend	K	T	Sold (part)	10/21/14	J	A	

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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 14

Name of Person Reporting

RICE, WALTER H.

Date of Report

08/25/2015

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		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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)
103. Sector SPDR Financial	A	Dividend	K	T	Sold (part)	12/15/14	J	A	
104. Sempra Energy (SRE) *see Part VIII*									
105. SPDR Gold Trust (GLD)	A	Dividend	K	T	Buy	4/29/14	J		
106. - SPDR Gold Trust			K	T	Buy (add'l)	5/6/14	J		
107. - SPDR Gold Trust			K	T	Buy (add'l)	5/13/14	J		
108. - SPDR Gold Trust			K	T	Buy (add'l)	5/20/14	J		
109. - SPDR Gold Trust			K	T	Sold (part)	10/21/14	J	A	
110. - SPDR Gold Trust			K	T	Sold (part)	12/15/14	J	A	
111. Spectra Energy Corp. (SE)	A	Dividend	J	T	Sold (part)	10/21/14	J	A	
112. Thomson Reuters Corp (TRI)	A	Dividend	J	T					
113. Toronto Dominion Bank (TD)	A	Dividend	J	T	Sold (part)	10/21/14	J	A	
114. Vanguard Consumer	A	Dividend	J	T	Buy	4/29/14	J		
115. - Vanguard Consumer			J	T	Buy (add'l)	5/6/14	J		
116. - Vanguard Consumer			J	T	Buy (add'l)	5/13/14	J		
117. - Vanguard Consumer			J	T	Buy (add'l)	5/20/14	J		
118. - Vanguard Consumer			J	T	Sold (part)	12/15/14	J	A	
119. Vanguard Energy	A	Dividend	K	T	Buy	4/29/14	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	

FINANCIAL DISCLOSURE REPORT

Page 11 of 14

Name of Person Reporting

RICE, WALTER H.

Date of Report

08/25/2015

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		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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)
120. - Vanguard Energy			K	T	Buy (add'l)	5/6/14	J		
121. - Vanguard Energy			K	T	Buy (add'l)	5/13/14	J		
122. - Vanguard Energy			K	T	Buy (add'l)	5/20/14	J		
123. - Vanguard Energy			K	T	Buy (add'l)	10/21/14	J		
124. - Vanguard Energy			K	T	Sold (part)	12/15/14	J	A	
125. Vanguard Industrial	A	Dividend	K	T	Buy	4/29/14	J		
126. - Vanguard Industrial			K	T	Buy (add'l)	5/6/14	J		
127. - Vanguard Industrial			K	T	Buy (add'l)	5/13/14	J		
128. - Vanguard Industrial			K	T	Buy (add'l)	5/20/14	J		
129. - Vanguard Industrial			K	T	Buy (add'l)	10/21/14	J		
130. - Vanguard Industrial			K	T	Sold (part)	12/15/14	J	A	
131. Vanguard Information Tech	A	Dividend	K	T	Buy	4/29/14	J		
132. - Vanguard Information Tech			K	T	Buy (add'l)	5/6/14	J		
133. - Vanguard Information Tech			K	T	Buy (add'l)	5/13/14	J		
134. - Vanguard Information Tech			K	T	Buy (add'l)	5/20/14	J		
135. - Vanguard Information Tech			K	T	Sold (part)	10/21/14	J	A	
136. - Vanguard Information Tech			K	T	Buy (add'l)	12/15/14	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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 12 of 14

Name of Person Reporting

RICE, WALTER H.

Date of Report

08/25/2015

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		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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)
137. Vanguard Materials	A	Dividend	J	T	Buy	4/29/14	J		
138. - Vanguard Materials			J	T	Buy (add'l)	5/6/14	J		
139. - Vanguard Materials			J	T	Buy (add'l)	5/13/14	J		
140. - Vanguard Materials			J	T	Buy (add'l)	5/20/14	J		
141. - Vanguard Materials			J	T	Sold (part)	12/15/14	J	A	
142. Ventas Inc. REIT (VTR)	A	Dividend	K	T	Buy (add'l)	10/21/14	J		
143. Verizon Communicatns Com (VZ)	A	Dividend	J	T	Buy (add'l)	10/21/14	J		
144. ML Bank Deposit Program	A	Interest	M	T					
145. ML Money Market	A	Interest	J	T					
146. Albuquerque NM Mun SD	A	Interest	L	T	Buy	12/19/14	L		
147. Arizona Wtr Infrastr	A	Interest	L	T	Buy	12/4/14	L		

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	

FINANCIAL DISCLOSURE REPORT

Page 13 of 14

Name of Person Reporting

RICE, WALTER H.

Date of Report

08/25/2015

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

I. POSITIONS:

BOARD OF TRUSTEES ----- ISUS, INC. ----- a charter school which is partially funded by the State of Ohio. The school is no longer operating.

FORMER AND CURRENT MEMBER, BOARD OF DIRECTORS, "BUILDING BRIDGES" --- an adjunct to Juvenile Probation Department, concentrating on work therapy for hard-core juvenile offenders.

FOUNDING TRUSTEE ----- AVIATION HERITAGE FOUNDATION, INC. ----- an organization formed to administer the National Aviation Heritage Area, which pulls together all of the aviation heritage sites and activities in an eight to ten county area, in order to guarantee that the Dayton area will forever be considered not only the Birthplace of Aviation, but also where the aviation industry was founded and where, even today, it serves to provide the cutting edge of aviation technology.

TRUSTEE ----- WRIGHT DUNBAR, INC. ----- an organization dedicated to restoring the Third Street commercial corridor running the length of the Wright-Dunbar Neighborhood, the site of the Dayton Aviation National Historical Park and the early 20th century homes of the Wright brothers and Paul Laurence Dunbar.

BOARD OF ADVISORS ----- THE UNIVERSITY OF DAYTON SCHOOL OF LAW

CHAIRMAN ----- DR. MARTIN LUTHER KING, JR., MEMORIAL COMMITTEE ----- a committee charged with developing a concept of a suitable memorial to Dr. King.

MEMBER, BOARD OF TRUSTEES ----- MONTGOMERY COUNTY VOLUNTEER LAWYERS PROJECT ----- an organization conceived and operated to provide legal services to indigents in all aspects of civil law; the organization supplements the work done by our local Legal Aid Society.

CHAIRPERSON ----- DAYTON DIALOGUE ON RACE RELATIONS ----- an organization dedicated to racial reconciliation through understanding and action.

FORMER CO-CHAIRPERSON ----- COMMUNITY-WIDE EX-OFFENDER REENTRY TASK FORCE AND CURRENT CO-CHAIR REENTRY POLICY BOARD ----- a group of service providers, criminal justice professionals and community leaders tasked with development and implementation of a protocol and programs to facilitate successful return of ex-offenders from incarceration to become contributing, taxpaying members of the community.

CHAIR, AMERICAN VETERANS HERITAGE COMMISSION ----- a group tasked with planning, preserving, and rehabilitating the historic buildings on the Dayton Veterans Affairs Campus and including thereon a museum to honor the contributions of America's veterans to their communities in times of peace, as well as in times of war. The Commission also conducts programs to educate and inspire persons of all ages on the meaning of patriotism and sacrifice for one's country.

FORMER CHAIR, DAYTON INTERNATIONAL PEACE MUSEUM --- a museum dedicated to espousing peaceful solutions to issues that divide people, on a global, national and local setting. Resigned 1/11.

VII. INVESTMENTS AND TRUSTS

Lines 18, 19, 99, 147 & 155 were all sold in whole (NOT "part" as noted in the 2013 FDR)

FINANCIAL DISCLOSURE REPORT

Page 14 of 14

Name of Person Reporting

RICE, WALTER H.

Date of Report

08/25/2015

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/ WALTER H. RICE**

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