

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 01/18/2018
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 01/01/2016 to 12/31/2016
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Board member	Building Bridges
2.	Founding Trustee	Aviation Heritage Foundation, Inc.
3.	Trustee	Wright Dunbar, Inc.
4.	Board of Advisors	The University of Dayton School of Law
5.	Former Co-Chairperson/Current Board member	Dayton Dialogue on Race Relations
6.	Co-Chair	Reentry Policy Board (part of the Community-wide Ex-Offender Reentry Task Force)
7.	Chair	American Veterans Heritage Commission
8.		
9.		

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.		
2.		

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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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2016	Ohio Public Employees Retirement System; monthly pension checks
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

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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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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. Health Care Select SPDRMississippi	A	Dividend	K	T	Sold (part)	1/25/16	J	A	
2. - Health Care Select SPDR					Buy (add'l)	9/23/16	J		
3. Fifth-Third Bank, Dayton, OH fka PNC Bank (savings account)	A	Interest	L	T					
4. Society National Bank, nka KeyBank, Dayton - checking acct)	A	Interest	J	T					
5. Allergen - common stock	A	Dividend	J	T					
6. Beckman Instrument - common stock	A	Dividend	J	T					
7. Fifth-Third Bank, fka PNC Bank, Dayton (checking acct)	A	Interest	J	T					
8. Fifth-Third Bank, Dayton (interest bearing checking account)	A	Interest	K	T					
9. Fifth-Third Bank, Dayton (interest bearing savings account)	A	Interest	L	T					
10. Wright-Patterson Credit Union	B	Interest	K	T					
11. Integra Financial	A	Dividend	J	T					
12. SmithKline Beecham - Preferred Stock	A	Dividend	J	T					
13. Curators Univ Mo Sys Facs Rev Ser B	A	Interest	L	T					
14. Ohio State Higher Ed Lt Ser A RF		None			Sold	11/16/16	L		
15. Harris Tex Met Tran At	A	Interest	L	T					
16. Alaska Mun Bd Bk Ak Mun	A	Interest	L	T					
17. Baltimore MD Rev Sub-Wastewater Proj	A	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	

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18. California Resources Corp* (See Part VIII)		None			Sold (part)	3/3/2016	J	A	
19. - California Resources Corp					Sold	3/3/2016	J		
20. California St. Var Purp	A	Interest	L	T					
21. Carnival Corp Paired SHS	A	Dividend	J	T	Buy	9/13/16	J		
22. - Carnival					Buy (add'l)	9/14/16	J		
23. - Carnival					Buy (add'l)	9/15/16	J		
24. - Carnival					Buy (add'l)	9/16/16	J		
25. - Carnival					Buy (add'l)	9/19/16	J		
26. - Carnival					Buy (add'l)	11/9/16	J		
27. Chicago Ill O Hare Intl	A	Interest	L	T					
28. Coca Cola Com'	A	Dividend	J	T	Sold (part)	5/2/16	J	A	
29. - Coca Cola					Buy (add'l)	11/9/16	J		
30. Conocophillips		None			Sold (part)	2/5/2016	J		
31. - Conocophillips					Sold	2/8/2016	J		
32. Consumer Discretionary SPDR	A	Dividend	K	T	Sold (part)	1/25/16	J	A	
33. - Consumer Discretionary					Buy (add'l)	2/16/16	J		
34. - Consumer Discretionary					Buy (add'l)	9/23/16	J		

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35. District Columbia Ser A	A	Interest	K	T					
36. Energy Northwest Wash	B	Interest	L	T	Buy	1/12/16	L		
37. Exxon Mobil Corp	A	Dividend			Buy	2/5/16	J		
38. - Exxon Mobil Corp					Buy (add'l)	2/8/16	J		
39. - Exxon Mobil Corp					Sold (part)	7/26/16	J	A	
40. - Exxon Mobil Corp					Sold (part)	7/27/16	J	A	
41. - Exxon Mobil Corp					Sold (part)	7/28/16	J	A	
42. - Exxon Mobil Corp					Sold	7/29/16	J	A	
43. First Tr Exchange Traded Fund	A	Dividend	J	T	Buy (add'l)	1/25/16	J		
44. - First Tr Exchange Traded Fund	A	Dividend	J	T	Sold (part)	9/23/16	J	A	
45. First TR ISE Cloud Comp	A	Dividend	J	T	Buy (add'l)	1/25/16	J		
46. - First TR ISE Cloud Comp	A	Dividend	J	T	Sold (part)	9/23/16	J	A	
47. Florida St Brd Ed Pub Cap Outlay	B	Interest	L	T					
48. Intermountain Pwr Agcy	C	Interest			Redeemed	7/1/16	L		
49. Intl Business Machines Corp (IBM)	A	Dividend	K	T	Buy (add'l)	5/5/16	J		
50. - IBM					Buy (add'l)	5/6/16	J		
51. - IBM					Buy (add'l)	5/9/16	J		

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52. - IBM					Buy (add'l)	5/10/16	J		
53. - IBM					Buy (add'l)	5/11/16	J		
54. - IBM					Buy (add'l)	11/9/16	J		
55. Ishares Nasdaq Biotech	A	Dividend	J	T	Buy (add'l)	9/23/16	J		
56. Nebraska Pub Pwr Dist Rev Gen Natl	B	Interest			Redeemed	1/4/16	L		
57. New Jersey St Transn Tr	C	Interest			Redeemed	12/15/16	L		
58. Nevada St Hwy Impt Rev Motr Vehicle Fuel RF	C	Interest	L	T					
59. University Minn Ser A	B	Interest			Redeemed	12/1/16	K		
60. BIF Money Fund		None	M	T					
61. ABBVIE Inc. (ABBV)	A	Dividend			Sold (part)	7/14/16	J	A	
62. - ABBVIE Inc.					Sold (part)	7/15/16	J	B	
63. - ABBVIE Inc.					Sold (part)	7/18/16	J	B	
64. - ABBVIE Inc.					Sold (part)	7/19/16	J	A	
65. - ABBVIE Inc.					Sold (part)	7/20/16	J	A	
66. - ABBVIE Inc.					Sold	7/21/16	J	A	
67. Automatic Data Proc (ADP)	A	Dividend			Sold (part)	5/2/16	J	A	
68. - ADP					Sold (part)	5/5/2016	J	A	

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69. - ADP					Sold (part)	5/6/16	J	A	
70. - ADP					Sold (part)	5/9/16	J	A	
71. - ADP					Sold	5/10/16	J	A	
72. Altria Group Inc (MO)	A	Dividend			Sold (part)	5/5/16	J	A	
73. - Altria					Sold (part)	5/6/16	J	A	
74. - Altria					Sold	5/9/16	J	A	
75. Amn Elec Power (AEP)	A	Dividend	J	T	Buy (add'l)	11/9/16	J		
76. Astrazeneca	A	Dividend	K	T	Sold (part)	5/2/16	J		
77. - Astrazeneca					Buy (add'l)	4/19/16	J		
78. - Astrazeneca					Buy (add'l)	4/20/16	J		
79. - Astrazeneca					Buy (add'l)	11/9/16	J		
80. AT&T Inc. (T)	A	Dividend	K	T	Buy (add'l)	11/3/16	J		
81. - AT&T					Buy (add'l)	11/4/16	J		
82. - AT&T					Buy (add'l)	11/9/16	J		
83. Centurylink Inc	A	Dividend			Sold (part)	5/2/16	J		
84. - Centurylink Inc.					Sold (part)	11/3/16	J		
85. - Centurylink Inc.					Sold (part)	11/4/16	J		

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86. - Centurylink Inc.					Sold	11/7/16	J		
87. - Centurylink Inc.					Buy (add'l)	10/18/16	J		
88. - Centurylink Inc.					Buy (add'l)	10/19/16	J		
89. - Centurylink Inc.					Buy (add'l)	10/20/16	J		
90. - Centurylink Inc.					Buy (add'l)	10/21/16	J		
91. - Centurylink Inc.					Buy (add'l)	10/24/16	J		
92. CME Group Inc.	A	Dividend	J	T	Buy	11/3/16	J		
93. - CME Group					Buy (add'l)	11/4/16	J		
94. - CME Group					Buy (add'l)	11/7/16	J		
95. - CME Group					Buy (add'l)	11/8/16	J		
96. - CME Group					Buy (add'l)	11/9/16	J		
97. - CME Group					Buy (add'l)	11/10/16	J		
98. - CME Group					Buy (add'l)	11/11/16	J		
99. Digital Rlty Tr Inc. (DLR)	A	Dividend	J	T	Sold (part)	1/19/16	J	A	
100. - Digital Rlty					Sold (part)	1/20/16	J	A	
101. - Digital Rlty					Sold (part)	7/18/16	J	A	
102. - Digital Rlty					Sold (part)	7/19/16	J	A	

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103. - Digital Rlty					Sold (part)	9/13/16	J	A	
104. - Digital Rlty					Sold (part)	9/14/16	J	A	
105. - Digital Rlty					Sold (part)	9/15/16	J	A	
106. Dominion	A	Dividend	K	T	Sold (part)	5/2/16	J		
107. - Dominion					Buy (add'l)	11/15/16	J		
108. Eli Lilly	A	Dividend			Sold (part)	1/20/16	J	A	
109. - Eli Lilly					Sold (part)	2/18/16	J	A	
110. - Eli Lilly					Sold (part)	2/19/16	J	A	
111. - Eli Lilly					Sold	2/22/16	J	A	
112. General Electric (GE)	A	Dividend	K	T	Buy (add'l)	11/9/16	J		
113. Intel Corp (INTC)	A	Dividend	K	T	Buy (add'l)	11/9/16	J		
114. JPMorgan Chase & Co. (JPM)	A	Dividend	K	T	Buy (add'l)	11/9/16	J		
115. Kraft Foods Group Inc. (KRFT)	A	Dividend	J	T	Buy (add'l)	11/9/16	J		
116. Kimberly Clark (KMB)	A	Dividend	J	T	Sold (part)	1/19/16	J	A	
117. - Kimberly Clark					Buy (add'l)	11/9/16	J		
118. Lockheed	A	Dividend	K	T					
119. Massachusetts ST Dev Fin	A	Interest	M	T	Buy	8/3/16	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	

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Name of Person Reporting

RICE, WALTER H.

Date of Report

01/18/2018

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. McDonalds Corp. (MCD)	A	Dividend	K	T	Sold (part)	1/19/16	J	A	
121. - McDonalds Corp					Buy (add'l)	11/9/16	J		
122. MetLife Inc. Com	A	Dividend	K	T	Sold (part)	10/18/16	J	A	
123. - MetLife Inc. Com					Sold (part)	10/19/16	J	A	
124. - MetLife Inc. Com					Buy (add'l)	7/14/16	J		
125. - MetLife Inc. Com					Buy (add'l)	7/15/16	J		
126. - MetLife Inc. Com					Buy (add'l)	7/18/16	J		
127. - MetLife Inc. Com					Buy (add'l)	7/19/16	J		
128. - MetLife Inc. Com					Buy (add'l)	7/20/16	J		
129. - MetLife Inc. Com					Buy (add'l)	7/21/16	J		
130. - MetLife Inc. Com					Buy (add'l)	7/22/16	J		
131. - MetLife Inc. Com					Buy (add'l)	11/9/16	J		
132. Minnesota St. Ser D	B	Interest	L	T	Buy (add'l)	12/16/16	L		
133. Mississippi St	B	Interest	L	T	Buy	12/7/16	L		
134. New York NYC Trans Fin Auth	B	Interest			Buy	1/22/16	L		
135. - New York NYC Trans Fin Auth					Sold	11/16/16	L		
136. North Dakota Pub Fun	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	

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Name of Person Reporting

RICE, WALTER H.

Date of Report

01/18/2018

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. Occidental Pete Corp (OXY)	A	Dividend	K	T	Sold (part)	5/2/16	J		
138. - Occidental Pete Corp					Buy (add'l)	1/19/16	J		
139. - Occidental Pete Corp					Buy (add'l)	1/20/16	J		
140. - Occidental Pete Corp					Buy (add'l)	11/9/16	J		
141. Paccar Inc. (PCAR)	A	Dividend	K	T	Buy (add'l)	1/19/16	J		
142. - Paccar					Buy (add'l)	1/20/16	J		
143. - Paccar					Buy (add'l)	11/19/16	J		
144. Philip Morris Intl Inc. (PM)	A	Dividend	K	T	Sold (part)	1/19/16	J		
145. - Philip Morris Intl Inc.					Buy (add'l)	5/5/16	J		
146. - Philip Morris Intl Inc.					Buy (add'l)	5/6/16	J		
147. - Philip Morris Intl Inc.					Buy (add'l)	5/9/16	J		
148. - Philip Morris Intl Inc.					Buy (add'l)	5/10/16	J		
149. - Philip Morris Intl Inc.					Buy (add'l)	5/11/16	J		
150. - Philip Morris Intl Inc.					Buy (add'l)	11/9/16	J		
151. Pfizer Inc.	A	Dividend	K	T	Buy (add'l)	2/18/16	J		
152. - Pfizer Inc.					Buy (add'l)	2/19/16	J		
153. - Pfizer Inc.					Buy (add'l)	2/22/16	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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Name of Person Reporting

RICE, WALTER H.

Date of Report

01/18/2018

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)
154. - Pfizer Inc.					Buy (add'l)	2/23/16	J		
155. - Pfizer Inc.					Buy (add'l)	7/14/16	J		
156. - Pfizer Inc.					Buy (add'l)	7/15/16	J		
157. - Pfizer Inc.					Buy (add'l)	7/18/16	J		
158. - Pfizer Inc.					Buy (add'l)	11/9/16	J		
159. PPL Corporation (PPL)	A	Dividend	J	T	Sold (part)	2/5/16	J	A	
160. - PPL					Buy (add'l)	10/18/16	J		
161. - PPL					Buy (add'l)	10/19/16	J		
162. - PPL					Buy (add'l)	10/20/16	J		
163. - PPL					Buy (add'l)	10/21/16	J		
164. - PPL					Buy (add'l)	11/9/16	J		
165. Procter & Gamble Co.	A	Dividend	K	T	Buy (add'l)	11/9/16	J		
166. Real Estate Select Sector SPDR FD SHS	A	Dividend	J	T	Buy	9/23/16	J		
167. Royal Dutch	A	Dividend	K	T	Buy (add'l)	7/26/16	J		
168. - Royal Dutch					Buy (add'l)	7/27/16	J		
169. - Royal Dutch					Buy (add'l)	7/28/16	J		
170. - Royal Dutch					Buy (add'l)	7/29/16	J		

1. Income Gain Codes: (See Columns B1 and D4)	A ~\$1,000 or less F ~\$50,001 - \$100,000 J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$25,000,001 - \$50,000,000	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000 K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000 L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$50,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000 M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	E ~\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q ~Appraisal U ~Book Value	R ~Cost (Real Estate Only) V ~Other	S ~Assessment W ~Estimated	T ~Cash Market	
3. Value Method Codes (See Column C2)					

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Name of Person Reporting

RICE, WALTER H.

Date of Report

01/18/2018

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)
171. - Royal Dutch					Buy (add'l)	8/1/16	J		
172. - Royal Dutch					Buy (add'l)	11/9/16	J		
173. Sector SPDR Energy	A	Dividend	K	T	Buy	2/16/16	J		
174. - Sector SPDR Energy					Buy (add'l)	9/23/16	J		
175. Sector SPDR Financial	A	Dividend	J	T	Buy (add'l)	1/25/16	J		
176. - Sector SPDR Financial					Sold (part)	9/23/16	J	A	
177. Spectra Energy Corp. (SE)	A	Dividend	K	T	Buy (add'l)	1/19/16	J		
178. - Spectra Energy Corp. (SE)					Buy (add'l)	1/20/16	J		
179. - Spectra Energy Corp. (SE)					Sold (part)	2/18/16	J	A	
180. - Spectra Energy Corp.					Sold (part)	2/19/16	J	A	
181. - Spectra Energy Corp.					Sold (part)	10/18/16	J	A	
182. - Spectra Energy Corp.					Sold	10/19/16	J	A	
183. Thomson Reuters Corp (TRI)	A	Dividend	J	T					
184. Toronto Dominion Bank (TD)	A	Dividend	J	T	Buy (add'l)	1/19/16	J		
185. - Toronto Dominion Bank					Buy (add'l)	1/20/16	J		
186. - Toronto Dominion Bank					Buy (add'l)	1/21/16	J		
187. - Toronto Dominion Bank					Buy (add'l)	11/9/16	J		

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	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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Name of Person Reporting

RICE, WALTER H.

Date of Report

01/18/2018

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)
188. - Toronto Dominion Bank					Sold (part)	5/2/16	J	A	
189. Vanguard Consumer	A	Dividend	K	T	Sold (part)	1/25/16	J	A	
190. - Vanguard Consumer					Buy (add'l)	9/23/16	J		
191. Vanguard Energy					Sold (part)	1/25/16	J		
192. - Vanguard Energy					Sold	2/16/16	J		
193. Vanguard Industrial	A	Dividend	K	T	Sold (part)	9/23/16	J	A	
194. Vanguard Information Tech	A	Dividend	K	T	Buy (add'l)	1/25/16	J		
195. - Vanguard Information Tech					Sold (part)	9/23/16	J	A	
196. Vanguard Materials	A	Dividend	J	T	Buy (add'l)	1/25/16	J		
197. - Vanguard Materials					Sold (part)	9/23/16	J		
198. Ventas Inc. REIT (VTR)	A	Dividend	J	T	Sold (part)	9/13/16	J		
199. - Ventas Inc. REIT					Sold (part)	9/14/16	J		
200. - Ventas Inc. REIT					Sold (part)	9/15/16	J		
201. - Ventas Inc. REIT					Buy (add'l)	11/9/16	J		
202. Veritiv* (see Part VIII)		None	J	T					
203. Verizon Communicatns Com (VZ)	A	Dividend	K	T	Buy (add'l)	11/9/16	J		
204. Virginia CBA Va Ed	A	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	

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Name of Person Reporting

RICE, WALTER H.

Date of Report

01/18/2018

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)
205. ML Bank Deposit Program	A	Interest	M	T					
206. ML Money Market Account (cash)	A	Interest	J	T					
207. Albuquerque NM Mun SD	A	Interest	L	T					
208. Arizona Wtr Infrastr	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 \$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	

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Name of Person Reporting

RICE, WALTER H.

Date of Report

01/18/2018

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.

FORMER 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

Veritiv - this stock was a spinoff of International Paper that was inadvertently not on reports from Merrill Lynch in 2014-2015. Shares were given on 7/2/2014 and 7/8/2014. The values in the report in Part VII are correct for FY2016.

California Resources Corp - this stock was a spinoff of Occidental that was inadvertently not on reports from Merrill Lynch in 2014-2015. Shares were given on 12/1/2014 and 12/4/2014. The values in the report for transactions during FY2016 in Part VII are correct.

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Name of Person Reporting

RICE, WALTER H.

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01/18/2018

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

RICE, WALTER H.

Date of Report

01/18/2018

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