

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Merz, Michael R.                                                                                                                     | <b>2. Court or Organization</b><br><br>U.S. District Court, S.D. Ohio                                                                                                                                                                                                                    | <b>3. Date of Report</b><br><br>05/12/2017                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>Magistrate Judge full time recalled                                           | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2016<br>to<br>12/31/2016 |
| <b>7. Chambers or Office Address</b><br><br>Room 501<br>200 West Second Street<br>Dayton, Ohio 45402                                                                                                      |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## 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. Trustee/director, president  | East End Community Services Corporation |
| 2. Trustee/ director, president | Dayton Metro Library Foundation         |
| 3. Director                     | State Library of Ohio                   |
| 4.                              |                                         |
| 5.                              |                                         |

## 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.          |                          |
| 3.          |                          |

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Name of Person Reporting

Merz, Michael R.

Date of Report

05/12/2017

**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. U.S. Conference of Catholic  
Bishops

11/12/16-11/13/16

Baltimore, MD

Meetings about child sexual  
abuse by clerics

Air fare, lodging, and meals

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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

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Name of Person Reporting

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Fifth Third Bank                                                                                                         | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. John Hancock Life insurance cash value policy                                                                            | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. MetLife insurance cash value policy                                                                                      | A                                       | Int./Div.                                     | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 4. IRA # 1 (H)                                                                                                              |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 5. Goldman Sachs Bank Insured (Cash Account) (X)                                                                            | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 6. AT&T Common shares                                                                                                       | B                                       | Dividend                                      | K                                               | T                                         | Sold (part)                                     | 03/22/16                | J                               |                                |                                                                   |
| 7.                                                                                                                          |                                         |                                               |                                                 |                                           | Sold (part)                                     | 07/05/16                | K                               | C                              |                                                                   |
| 8. Alcoa, Inc.                                                                                                              | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/18/16                | J                               | B                              |                                                                   |
| 9. Amgen common                                                                                                             | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 10. Apple common                                                                                                            | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. Biogen, Inc.                                                                                                            | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. Bristol-Myers Squibb                                                                                                    |                                         | None                                          | J                                               | T                                         | Buy                                             | 11/01/16                | J                               |                                |                                                                   |
| 13. Carriage Services, Inc.                                                                                                 | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 14. Centurylink Inc                                                                                                         |                                         | None                                          | K                                               | T                                         | Buy                                             | 12/30/16                | K                               |                                |                                                                   |
| 15. CVS Health Corp                                                                                                         |                                         | None                                          | J                                               | T                                         | Buy                                             | 01/15/16                | J                               |                                |                                                                   |
| 16. Donnelly RR & Sons common                                                                                               | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 17. Expeditors Intl Wash Inc.                                                                                               | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

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

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Name of Person Reporting

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                      |   |          |   |   |             |          |   |   |  |
|--------------------------------------|---|----------|---|---|-------------|----------|---|---|--|
| 18. Express Scripts Holding          | A | Dividend | J | T |             |          |   |   |  |
| 19. Exxon Mobil common               | B | Dividend | K | T | Sold (part) | 03/22/16 | J |   |  |
| 20. Fastenal Co.                     | A | Dividend | J | T |             |          |   |   |  |
| 21. Gilead Sciences Inc              | A | Dividend | J | T | Buy         | 06/21/16 | J |   |  |
| 22. Goodyear Tire & Rubber common    | A | Dividend |   |   | Buy         | 06/14/16 | J |   |  |
| 23.                                  |   |          |   |   | Sold        | 09/26/16 | J | B |  |
| 24. Hancock Holding Co.              | A | Dividend |   |   | Sold        | 12/30/16 | K | D |  |
| 25. Harley Davidson, Inc.            | A | Dividend | J | T |             |          |   |   |  |
| 26. Health Care REIT Inc. common (Y) |   |          |   |   |             |          |   |   |  |
| 27. Hospitality PPTYS TR             | B | Dividend | K | T | Buy         | 01/13/16 | J |   |  |
| 28. IBM Corp.                        | A | Dividend | K | T |             |          |   |   |  |
| 29. Invesco LTD                      | A | Dividend | K | T | Buy         | 06/28/16 | K |   |  |
| 30. Johnson Controls Inc             | A | Dividend | J | T | Buy         | 01/07/16 | J |   |  |
| 31. Kindermorgan Inc DE              | A | Dividend |   |   | Buy         | 02/17/16 | J |   |  |
| 32.                                  |   |          |   |   | Sold        | 09/26/16 | J | B |  |
| 33. LSC Communications Inc (X)       | A | Dividend | J | T |             |          |   |   |  |
| 34. McKesson Corp                    |   | None     | K | T | Buy         | 12/30/16 | K |   |  |

|                         |                                  |                             |                                |                                 |                         |
|-------------------------|----------------------------------|-----------------------------|--------------------------------|---------------------------------|-------------------------|
| 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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|                                                                                                                           | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                             |   |          |   |   |                |          |   |   |  |
|-------------------------------------------------------------|---|----------|---|---|----------------|----------|---|---|--|
| 35. Monsanto Co.                                            | A | Dividend |   |   | Sold           | 07/08/16 | J |   |  |
| 36. PPL Corp. common                                        | A | Dividend |   |   | Sold           | 07/08/16 | J | C |  |
| 37. Peoples United Financial                                | B | Dividend | K | T | Sold<br>(part) | 03/22/16 | J |   |  |
| 38. Pitney Bowes Inc                                        | A | Dividend | K | T | Buy            | 11/10/16 | K |   |  |
| 39. Qualcomm, Inc                                           | A | Dividend | K | T |                |          |   |   |  |
| 40. Royal Dutch Shell PLC sponsored ADR<br>Repstgn A common | C | Dividend | K | T |                |          |   |   |  |
| 41. Schlumberger LTD                                        | A | Dividend |   |   | Sold           | 09/05/16 | J |   |  |
| 42. Southwest Airlines                                      | A | Dividend | J | T |                |          |   |   |  |
| 43. Stericycle Inc                                          |   | None     | K | T | Buy            | 09/19/16 | J |   |  |
| 44.                                                         |   |          |   |   | Buy<br>(add'l) | 11/10/16 | J |   |  |
| 45. Talen Energy Corp (Y)                                   |   |          |   |   |                |          |   |   |  |
| 46. Verizon Communications                                  | A | Dividend | K | T |                |          |   |   |  |
| 47. Washington REIT SB1                                     | B | Dividend | K | T | Sold<br>(part) | 03/22/16 | J |   |  |
| 48. Welltower Inc.                                          | B | Dividend | J | T | Sold<br>(part) | 03/22/16 | J |   |  |
| 49.                                                         |   |          |   |   | Sold<br>(part) | 06/29/16 | J | B |  |
| 50. Ishares Trust S&P US PFD Stock Index<br>Fund            | B | Dividend | K | T | Sold<br>(part) | 03/22/16 | J |   |  |
| 51. Nuveen Credit Strategies Income Fund (Y)                |   |          |   |   |                |          |   |   |  |

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

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|---------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                           | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52. Nuveen Municipal Value Fund (X)                                                                                       | B                                       | Dividend                                      | K                                               | T                                         | Sold<br>(part)                                  | 03/22/16                | J                               |                                |                                                                   |
| 53. IRA #2 (H)                                                                                                            |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 54. Alcoa Inc                                                                                                             | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/18/16                | J                               |                                |                                                                   |
| 55. AT&T Inc. common                                                                                                      | B                                       | Dividend                                      | K                                               | T                                         | Sold<br>(part)                                  | 07/01/16                | J                               |                                |                                                                   |
| 56.                                                                                                                       |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/05/16                | J                               | C                              |                                                                   |
| 57. Amgen Inc.common                                                                                                      | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 07/01/16                | J                               | A                              |                                                                   |
| 58. Apple Inc., common                                                                                                    | A                                       | Dividend                                      | K                                               | T                                         | Sold<br>(part)                                  | 07/01/16                | J                               | A                              |                                                                   |
| 59. Biogen, Inc.                                                                                                          | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 60. Carriage Services, Inc.                                                                                               | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 61. Donnelly RR & Sons                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 07/01/16                | J                               | A                              |                                                                   |
| 62. Expeditors Intl Wash Inc                                                                                              | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 07/01/16                | J                               | A                              |                                                                   |
| 63. Express Scripts Holding Co. common                                                                                    | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 64. Exxon Mobil Corp. common                                                                                              | B                                       | Dividend                                      | K                                               | T                                         | Sold<br>(part)                                  | 07/01/16                | J                               | A                              |                                                                   |
| 65. Fastenal Co.                                                                                                          | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 66. Goodyear Tire & Rubber Co. common                                                                                     | A                                       | Dividend                                      |                                                 |                                           | Buy                                             | 06/14/16                | J                               |                                |                                                                   |
| 67.                                                                                                                       |                                         |                                               |                                                 |                                           | Sold                                            | 09/26/16                | J                               | B                              |                                                                   |
| 68. Hancock Holding Company                                                                                               | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 12/30/16                | K                               | D                              |                                                                   |

|                                                  |                                                                                       |                                                        |                                                              |                                                                                          |                         |
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| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                              | T = Cash Market                                                                          |                         |

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| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 69. Harley Davidson Inc                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 70. International Business Machines Corp.                                                                                   | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 71. Monsanto Co.                                                                                                            | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 07/08/16                | J                               |                                |                                                                   |
| 72. PPL Corp. common                                                                                                        | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 07/08/16                | J                               | B                              |                                                                   |
| 73. People United Financial Inc. common                                                                                     | B                                       | Dividend                                      | K                                               | T                                         | Sold<br>(part)                                  | 07/01/16                | J                               |                                |                                                                   |
| 74. Qualcomm Inc.                                                                                                           | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 75. Royal Dutch Shell PLC Sponsored ADR<br>Repstg A shares                                                                  | C                                       | Dividend                                      | K                                               | T                                         | Sold<br>(part)                                  | 07/01/16                | J                               |                                |                                                                   |
| 76. Schlumberger Ltd                                                                                                        | A                                       | Dividend                                      |                                                 |                                           | Sold<br>(part)                                  | 06/21/16                | J                               |                                |                                                                   |
| 77.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 09/15/16                | J                               |                                |                                                                   |
| 78. Southwest Airlines                                                                                                      | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 79. Talen Energy Corp (Y)                                                                                                   |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 80. Verizon Communications                                                                                                  | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 07/01/16                | J                               |                                |                                                                   |
| 81. Washington Real Estate Investment Trust                                                                                 | B                                       | Dividend                                      | K                                               | T                                         | Sold<br>(part)                                  | 07/01/16                | J                               |                                |                                                                   |
| 82. Welltower, Inc.                                                                                                         | B                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 06/21/16                | J                               |                                |                                                                   |
| 83.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 06/29/16                | J                               | C                              |                                                                   |
| 84. Ishares S&P U.S. Preferred Stock Index<br>ETF                                                                           | B                                       | Dividend                                      | K                                               | T                                         | Sold<br>(part)                                  | 06/21/16                | J                               | A                              |                                                                   |
| 85. Nuveen Municipal Value Fund                                                                                             | B                                       | Dividend                                      | K                                               | T                                         | Sold<br>(part)                                  | 07/01/16                | 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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Date of Report

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 86. Johnson Controls Inc                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 01/07/16                | J                               |                                |                                                                   |
| 87. Hospitality PPTYS TR SBI                                                                                                | B                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 01/03/16                | J                               |                                |                                                                   |
| 88. Kindermorgan Inc DE                                                                                                     | A                                       | Dividend                                      |                                                 |                                           | Buy                                             | 02/17/16                | J                               |                                |                                                                   |
| 89.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 09/26/16                | J                               | B                              |                                                                   |
| 90. Gildead Sciences Inc                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/21/16                | J                               |                                |                                                                   |
| 91. Invesco LTD                                                                                                             | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 06/28/16                | J                               |                                |                                                                   |
| 92. Stericycle Inc                                                                                                          |                                         | None                                          | J                                               | T                                         | Buy                                             | 09/19/16                | J                               |                                |                                                                   |
| 93.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 11/10/16                | J                               |                                |                                                                   |
| 94. LSC Communications (X)                                                                                                  | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 95. Bristol-Myers Squibb                                                                                                    |                                         | None                                          | J                                               | T                                         | Buy                                             | 11/01/16                | J                               |                                |                                                                   |
| 96. Pitney Bowes Inc                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 11/10/16                | J                               |                                |                                                                   |
| 97. CVS Health Corp                                                                                                         |                                         | None                                          | J                                               | T                                         | Buy                                             | 11/15/16                | J                               |                                |                                                                   |
| 98. Centurylink Inc                                                                                                         |                                         | None                                          | J                                               | T                                         | Buy                                             | 12/30/16                | J                               |                                |                                                                   |
| 99. McKesson Corp                                                                                                           |                                         | None                                          | J                                               | T                                         | Buy                                             | 12/30/16                | J                               |                                |                                                                   |
| 100. Investment Account #1 (H)                                                                                              |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 101. Artisan Global Value Investors CL                                                                                      | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 07/15/16                | J                               |                                |                                                                   |
| 102. Diamond Hill Corp Credit CL 1                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 07/15/16                | J                               |                                |                                                                   |

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

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Name of Person Reporting

Merz, Michael R.

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 103. Doubleline Total Return Bond                                                                                           | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 07/15/16                | J                               |                                |                                                                   |
| 104. IVA Worldwide CL A                                                                                                     |                                         | None                                          | J                                               | T                                         | Buy                                             | 07/15/16                | J                               |                                |                                                                   |
| 105. James Balanced Golden Rainbow Retail CL                                                                                | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 07/15/16                | J                               |                                |                                                                   |
| 106. Wells Fargo Absolute Return ADM CL                                                                                     |                                         | None                                          | J                                               | T                                         | Buy                                             | 07/15/16                | J                               |                                |                                                                   |
| 107. Westwood Income OPPTYS CL                                                                                              |                                         | None                                          | J                                               | T                                         | Buy                                             | 07/15/16                | J                               |                                |                                                                   |

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

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

IRA #1 (lines 5-84) of the 2015 report was divided into two separate IRAs. The assets on 2015 lines 5-47 became 2016 IRA #1, and the assets on 2015 lines 48-84 became 2016 IRA #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/ **Michael R. Merz**

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  
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