

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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>GRIFFIN, RICHARD A.                                                                                                   | <b>2. Court or Organization</b><br><br>6TH CIRCUIT US COURT OF APPEAL                                                                                                                                                                                                                    | <b>3. Date of Report</b><br><br>04/24/2014                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>CIRCUIT JUDGE, ACTIVE                                          | <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>01/01/2013<br>to<br>12/31/2013 |
| <b>7. Chambers or Office Address</b><br><br>13919 S. WEST BAYSHORE DR.<br>SUITE 208<br>TRAVERSE CITY, MI 49684                                                                             |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p><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.)

POSITION

NAME OF ORGANIZATION/ENTITY

|    |  |  |
|----|--|--|
| 1. |  |  |
| 2. |  |  |
| 3. |  |  |
| 4. |  |  |
| 5. |  |  |

## II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

|               |                                                                                           |
|---------------|-------------------------------------------------------------------------------------------|
| 1. PENSION PL | MICH. JUDGES RETIREMENT SYSTEM, DEFINED BENEFIT 234 P.A. 1992, AS AMENDED BY 95 P.A. 2002 |
| 2.            |                                                                                           |
| 3.            |                                                                                           |

**FINANCIAL DISCLOSURE REPORT**

Page 2 of 6

Name of Person Reporting

GRIFFIN, RICHARD A.

Date of Report

04/24/2014

**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<br>(yours, not spouse's) |
|---------|-----------------------------------------------------------------|---------------------------------|
| 1. 2013 | Michigan Judges Retirement System, Defined Benefit Pension Plan | \$90,864.60                     |
| 2.      |                                                                 |                                 |
| 3.      |                                                                 |                                 |
| 4.      |                                                                 |                                 |

**B. Spouse's Non-Investment Income -** *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☒ NONE *(No reportable non-investment income.)*

| DATE | SOURCE AND TYPE |
|------|-----------------|
| 1.   |                 |
| 2.   |                 |
| 3.   |                 |
| 4.   |                 |

**IV. REIMBURSEMENTS** *— transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☒ NONE *(No reportable reimbursements.)*

| SOURCE | DATES | LOCATION | PURPOSE | ITEMS PAID OR PROVIDED |
|--------|-------|----------|---------|------------------------|
| 1.     |       |          |         |                        |
| 2.     |       |          |         |                        |
| 3.     |       |          |         |                        |
| 4.     |       |          |         |                        |
| 5.     |       |          |         |                        |

**FINANCIAL DISCLOSURE REPORT**

Page 3 of 6

Name of Person Reporting

GRIFFIN, RICHARD A.

Date of Report

04/24/2014

**V. GIFTS.** *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

| <u>SOURCE</u> | <u>DESCRIPTION</u> | <u>VALUE</u> |
|---------------|--------------------|--------------|
| 1.            |                    |              |
| 2.            |                    |              |
| 3.            |                    |              |
| 4.            |                    |              |
| 5.            |                    |              |

**VI. LIABILITIES.** *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

| <u>CREDITOR</u> | <u>DESCRIPTION</u> | <u>VALUE CODE</u> |
|-----------------|--------------------|-------------------|
| 1.              |                    |                   |
| 2.              |                    |                   |
| 3.              |                    |                   |
| 4.              |                    |                   |
| 5.              |                    |                   |

# FINANCIAL DISCLOSURE REPORT

Page 4 of 6

Name of Person Reporting

GRIFFIN, RICHARD A.

Date of Report

04/24/2014

## 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.  | HUNTINGTON NATIONAL BANK -<br>ACCOUNTS                 | A | Interest | J | T |  |  |  |  |
| 2.  | MICHIGAN JUDGES RETIREMENT<br>SYSTEM, PENSION PLAN (Y) |   |          |   |   |  |  |  |  |
| 3.  |                                                        |   |          |   |   |  |  |  |  |
| 4.  |                                                        |   |          |   |   |  |  |  |  |
| 5.  |                                                        |   |          |   |   |  |  |  |  |
| 6.  |                                                        |   |          |   |   |  |  |  |  |
| 7.  |                                                        |   |          |   |   |  |  |  |  |
| 8.  |                                                        |   |          |   |   |  |  |  |  |
| 9.  |                                                        |   |          |   |   |  |  |  |  |
| 10. |                                                        |   |          |   |   |  |  |  |  |
| 11. |                                                        |   |          |   |   |  |  |  |  |
| 12. |                                                        |   |          |   |   |  |  |  |  |
| 13. |                                                        |   |          |   |   |  |  |  |  |
| 14. |                                                        |   |          |   |   |  |  |  |  |
| 15. |                                                        |   |          |   |   |  |  |  |  |
| 16. |                                                        |   |          |   |   |  |  |  |  |
| 17. |                                                        |   |          |   |   |  |  |  |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 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                                              |                         |

**FINANCIAL DISCLOSURE REPORT**

Page 5 of 6

Name of Person Reporting

GRIFFIN, RICHARD A.

Date of Report

04/24/2014

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

# FINANCIAL DISCLOSURE REPORT

Page 6 of 6

| Name of Person Reporting | Date of Report |
|--------------------------|----------------|
| GRIFFIN, RICHARD A.      | 04/24/2014     |

## 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/ **RICHARD A. GRIFFIN**

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