

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Batchelder, Alice M.	2. Court or Organization 6th Cir. Ct. of Appeals	3. Date of Report 7/28/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address [REDACTED]		
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. member	National Conference of Bar Examiners -- Const'l Law Drafting Committee
2. member	Intellectual Property Law & Technology Advisory Council of the University of Akron School of Law
3. member	Cleveland Chapter Bd. Of Advisors -- Federalist Society
4. member	Board of Trustees -- Grove City College -- see note 5
5. member	Board of Directors -- Foundation for Research on Economics and the Environment

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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Batchelder, Alice M.

Date of Report

7/28/2014

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 4/4/	National Conference of Bar Examiners -- see note 6	\$3,500.00
2. 9/12	National Conference of Bar Examiners -- see note 6	\$3,500.00
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. jan - dec	OPERS -- pension
2. jan - dec	Ohio House of Representatives -- salary
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. Liberty Fund	February 1-3	Cincinnati, OH	seminar	transportation, lodging and food
2. Liberty University	March 22-23	Lynchburg, VA	Moot Court judge	transportation, lodging and food
3. National Conference of Bar Examiners	April 4-6	Santa Barbara, CA	Con Law drafting comm.	transportation, lodging and food
4. Alliance Defending Freedom	Aug. 6-8	Phoenix, AZ	seminar presentation	transportation, lodging and food
5. Foundation for Research on Economics and Environment	Aug. 19-23	Three Forks, MT	seminar	transportation, lodging and food
6. National Conference of Bar Examiners	Sept. 12-15	Tucson, AZ	Con Law drafting comm.	transportation, lodging and food

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Batchelder, Alice M.

Date of Report

7/28/2014

7.

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Batchelder, Alice M.

Date of Report

7/28/2014

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.	First Nat'l Bank of Wyoming	Mtge/Note on Property # 23	L
2.	Farmers Savings Bank	Mtge/Note on Property # 9	L
3.	Westfield Bank	Mtge/Note on Properties 1, 8, 14, 20	M
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Batchelder, Alice M.

Date of Report

7/28/2014

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. 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. 2. Brokerage Account # 1 -- IRA account -- see note 2	B	Dividend	L	T	none				
2. - IRA asset: Wells Fargo Bank Deposit Sweep Account									
3. - IRA asset: iSHARES TR 1-3 yr Treas Index Fd									
4. - IRA asset: iSHARES S&P Midcap 400 Value Index Fund									
5. - IRA asset: iSHARES S&P Midcap 400 Growth Index Fund									
6. - IRA asset: iSHARES TRUST MSCI EAFE Index Fund									
7. - IRA asset: iSHARES IBOXX Investment Grade Corp Bond Fund									
8. - IRA asset: iSHARES S&P 500 Value Index Fund									
9. - IRA asset: iSHARES S&P 500 Growth Index Fund									
10. 3. Brokerage Account # 2 -- IRA Account -- see note 2	B	Dividend	L	T	none				
11. - IRA asset: Wells Fargo Bank Deposit Sweep									
12. - IRA asset: iSHARES S&P Midcap 400 Value Index Fund									
13. - IRA asset: iSHARES S&P Midcap 400 Growth Index Fund									
14. - IRA asset: iSHARES TRUST MSCI IAFE Index Fund									
15. - IRA asset: iSHARES BOXX Investment Grade Corp. Bond Fund									
16. - IRA asset: iSHARES TR 1-3 yr Treas Index Fund									
17. - IRA asset: iSHARES S&P 500 Value Index Fund									

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

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Batchelder, Alice M.

Date of Report

7/28/2014

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

18. - IRA asset: iSHARES S&P 500 Growth Index Fund									
19. 4. Brokerage Account # 3 -- SEP IRA Account -- see note 2	A	Dividend	K	T	none				
20. - IRA asset: Wells Fargo Bank Deposit Sweep									
21. - IRA asset: RPM, Inc. stock									
22. - IRA asset: J.M. Smucker Co. class A stock									
23. - IRA asset: iSHARES S&P Midcap 400 Value Index Fund									
24. - IRA asset: iSHARES S&P Midcap 400 Growth Index Fund									
25. - IRA asset: iSHARES TRUST MSCI EAFE Index Fund									
26. - IRA asset: iSHARES BOXX Investment Grade Corp. Bond Fund									
27. - IRA asset: iSHARES TR 1-3 yr Treas Index Fd									
28. - IRA asset: iSHARES S&P 500 Value Index Fund									
29. - IRA asset: iSHARES S&P 500 Growth Index Fund									
30. 5. Brokerage Account # 4 --see note 2	A	Dividend	K	T	none				
31. -IRA asset: Wells Fargo Bank Deposit Sweep									
32. - Account asset: iSHARES S&P Midcap 400 Value Index Fund									
33. - Account asset: iSHARES S&P Midcap 400 Growth Index Fd									
34. - Account asset: iSHARES TRUST MSCI EAFE Index Fd									

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

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

Batchelder, Alice M.

Date of Report

7/28/2014

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

35. - Account ass iSHARES BOXX Investment Grade Corp. Bond Fun									
36. - Account asset: iSHARES TR 1-3 yr Treas Index Fd									
37. - Account asset: iSHARES S&P 500 Value Index Fund									
38. - Account asset: iSHARES S&P 500 Growth Index Fund									
39. REAL ESTATE -- see note4									
40. Prop. # 1 -- duplex -- Medina, Ohio	D	Rent	M	Q					
41. Prop. # 2 -- 2-family -- Medina, Ohio (1/3 interest)	D	Rent	K	Q					
42. Prop. # 3 -- Single family -- Medina, Ohio (1/3 interest)	C	Rent	K	Q					
43. Prop. # 4 -- 4 duplex units -- Medina, Ohio (1/2 interest)	D	Rent	M	Q					
44. Prop. # 5 -- 2 duplex units -- Medina, Ohio (1/2 interest)	D	Rent	L	Q					
45. Prop. # 6 -- 2-fam. & 3-fam. Houses -- Medina, OH (1/2 int)	D	Rent	L	Q					
46. Prop. # 7 -- Apartments -- Medina, Ohio (1/3 interest)	E	Rent	N	Q					
47. Prop. # 8 -- 2 duplex units -- Medina OH	D	Rent	M	Q					
48. Prop. # 9 -- Farm -- Lodi, OH	B	Rent	O	Q					
49. Prop. # 10 -- hog feeder, Lodi, OH (1/5 int)		None	J	W					
50. Prop. # 11 -- single family -- Medina OH	D	Rent	M	Q					
51. Prop. # 12 -- single family -- Medina, OH (1/2 interest)	C	Rent	K	Q					

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

Batchelder, Alice M.

Date of Report

7/28/2014

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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
52. Prop. # 13 -- Commercial bldg -- Medina OH (2/3 interest) X	E	Rent	N	Q		01/01/12			Wm. Batchelder, Jr. Estate
53. Prop. # 14 -- duplex -- Medina, OH	D	Rent	M	Q					
54. Prop. # 15 -- vacant lot -- Medina, OH (1/2 interest)		None	K	Q					
55. Prop. # 16 -- 2.2 ac. Vacant land -- Medina OH		None	M	Q					
56. Prop. # 17 -- single family -- Medina, OH	D	Rent	M	Q					
57. Prop. # 18 -- single family -- Medina OH (1/2 interest)	C	Rent	K	W					
58. Prop. # 19 -- commercial bldg -- Medina OH	E	Rent	M	Q					
59. Prop. # 20 -- Comm. Bldg with apt. -- Medina OH	D	Rent	M	Q					
60. Prop. # 23 -- 100 ac. vacant land -- Big Horn County, WY	A	Rent	N	W					
61. MISCELLANEOUS									
62. Floating Rate Demand Note -- GE Interest Plus	A	Interest	K	T					
63. Checking Acct -- Farmers Savings Bank	A	Interest	K	T					

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Batchelder, Alice M.

Date of Report

7/28/2014

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

Note 1: Re: assets in Sec. VII whose value method is reported as "Q": I have again used the Medina County Auditor's most recent appraisal figures. I am unable to provide the date of the appraisal in any of these cases because it was not provided to me. These appraisals are the basis for our real estate taxes.

Note 2: As has been the case in prior years, each of the funds included in our brokerage accounts is an iShares fund.

My broker advised me in 2008 that:

"Barclay's Global Investors is the manager for the following positions held in your account:

ISHS S & P MIDCAP 400 VALUE

ISHS S & P MIDCAP 400 INDEX

ISHS MSCI EAFE INDEX

ISHARES INVESTMENT BD FUND

ISHS TR 13 YR TREAS IND

ISHS S& P 500 VAL INDX FD

ISHS S & P 500 GRWTH FD"

These are still all of the positions held in these brokerage accounts. The broker advises that as of this date there has been no change in this information.

Note 3: Line 35 of Sec. VII -- I have no idea why the program still (as of July 28, 2014) will not let me type in both the dash (which is apparently necessary to convince the program that these are all assets of the brokerage account) and the fact that this is an account asset. Hence, "account ass".

Note 4: All properties except the one on line 60 of Section VII are in Medina County, Ohio. The property on Line 60 is in Big Horn County, Wyoming.

Note 5: The "audit" feature advises me that I should list the assets of the entity of which I am a trustee. I am assuming that this is not true when that entity is an educational institution, and the audit has simply detected the term "trust" in the item. Otherwise, this requirement is ridiculous, and I cannot comply with it.

Note 6: In Lines 1 and 2 of Sec. IIIA: The meetings of the National Conference of Bar Examiners for which this compensation was paid occurred from April 4-6 and September 12-15.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Batchelder, Alice M.

Date of Report

7/28/2014

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/ Alice M. Batchelder

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