

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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

1. Person Reporting (last name, first, middle initial) Rice, David E.	2. Court or Organization U.S. Bankruptcy Court, District of MD	3. Date of Report 04/26/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Bankruptcy Judge - active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address 101 W. Lombard Street Chambers 9636 Baltimore, MD 21201		
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.	President	Egenton Home, Inc.
2.	Trustee	Trust #1
3.		
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 17

Name of Person Reporting

Rice, David E.

Date of Report

04/26/2018

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
2.		
3.		
4.		

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
2.	
3.	
4.	

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

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. National Conference of Bankruptcy Judges	10/9-11/2017	Las Vegas, NV	Seminar	Hotel
2. American Bankruptcy Institute	8/3-8/5/2017	Hershey, PA	Seminar	Hotel
3. Bankruptcy Bar Association for the District of Maryland	5/4-5/5/2017	Annapolis, MD	Seminar	Meals, hotel
4. Federal Judicial Center	3/13-3/15/2017	Charleston, S.C.	Seminar	Hotel, travel
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 17

Name of Person Reporting

Rice, David E.

Date of Report

04/26/2018

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.	U.S. Dept. of Education	Student loans	K
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 17

Name of Person Reporting

Rice, David E.

Date of Report

04/26/2018

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. PNC Bank Accounts	A	Interest	M	T					
2. Pentagon FCU Account	A	Interest	J	T					
3. APG FCU Account	A	Interest	J	T					
4. USAA Federal Accounts	A	Interest	K	T					
5. New Perspective Mutual Fund	C	Dividend	L	T					
6. McCormick Common (MKC)	B	Dividend	L	T					
7. PNC Bank IRA's CD's	A	Interest	K	T					
8. TD Ameritrade Money Market Account	A	Interest	J	T					
9. Facebook, Inc. (FB)		None	K	T					
10. Groupon, Inc. (GRPN)		None	J	T					
11. Netflix, Inc. (NFLX)		None	J	T					
12. Eastman Kodak Warrants		None			Sold	11/29/17	J	A	
13. Zynga, Inc. (ZNGA)		None	J	T					
14. Square, Inc. (SQ)		None	J	T	Sold (part)	11/29/17	J	B	
15. Snap, Inc. (SNAP)		None	J	T	Buy	07/18/17	J		
16. Blue Apron Holdings, Inc. (APRN)		None	J	T	Buy	08/07/17	J		
17.					Buy (add'l)	08/18/17	J		

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

FINANCIAL DISCLOSURE REPORT

Page 5 of 17

Name of Person Reporting

Rice, David E.

Date of Report

04/26/2018

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

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

18.					Buy (add'l)	11/29/17	J		
19. Brokerage Account #1 (H)									
20. Pimco Short Term Bond Fund (PTSPX)	A	Dividend	J	T	Buy (add'l)	02/17/17	J		
21.					Buy (add'l)	07/07/17	J		
22. Matthews Asian Japan Inv. Fund (MJFOX)	A	Dividend	J	T	Buy (add'l)	02/17/17	J		
23.					Buy (add'l)	07/07/17	J		
24. Artisan Midcap Value Inv. Fund (ARTOX)	A	Dividend			Buy (add'l)	02/17/17	J		
25.					Buy (add'l)	07/07/17	J		
26.					Sold	11/17/17	K	A	
27. EV Income Fund of Boston A (EVIBX)	A	Dividend	J	T	Buy (add'l)	02/17/17	J		
28.					Sold (part)	07/17/17	J	A	
29. Ivy Mid Cap Growth A Fund (WMGAX)	A	Dividend	K	T	Buy (add'l)	02/17/17	J		
30.					Buy (add'l)	07/07/17	J		
31. Morgan Stanley Bank account (formerly Citibank deposit account)	A	Interest	J	T					
32. IBM Common (IBM)	A	Dividend	K	T					
33. Invesco Van Kampen Comstock Fund (ACSTX)	B	Dividend	L	T	Buy (add'l)	02/17/17	J		
34.					Sold (part)	07/07/17	J	B	

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		

FINANCIAL DISCLOSURE REPORT

Page 6 of 17

Name of Person Reporting

Rice, David E.

Date of Report

04/26/2018

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. Cambiar Small Cap Fund (CAMSX)	A	Dividend	J	T	Buy (add'l)	02/17/17	J		
36.					Buy (add'l)	07/07/17	J		
37. Alliance Bernstein Small Cap Growth Fund (QUAYX)	A	Dividend	J	T	Buy (add'l)	02/17/17	J		
38.					Buy (add'l)	07/07/17	J		
39. Columbia Select Large Cap Growth Fund (UMLGX)	A	Dividend	L	T	Buy (add'l)	02/17/17	J		
40.					Buy (add'l)	07/07/17	J		
41. Nuveen Tradewinds International Value Fund (NAIGX)	B	Dividend	K	T	Buy (add'l)	02/17/17	J		
42.					Sold (part)	07/07/17	J	A	
43. Pimco Total Return Fund (PTTDX)	A	Dividend	K	T	Buy (add'l)	02/17/17	J		
44.					Buy (add'l)	07/07/17	J		
45. American EuroPacific Growth Fund (AEPFX)	A	Dividend	K	T	Buy (add'l)	02/17/17	J		
46.					Sold (part)	07/07/17	J	A	
47. Bank United, NA (CD)	A	Interest			Matured	02/17/17	K	A	
48. Blackrock Low Dur Bond Fund Inv A (BLDAX)	A	Dividend	K	T	Buy (add'l)	02/17/17	J		
49.					Sold (part)	07/07/17	J	A	
50. Hartford Schroder Emerging Markets Equity Fund (SEMNX)	A	Dividend	K	T	Buy (add'l)	02/17/17	J		
51. (formerly Schroder Emerging Markets Equity Fund)					Sold (part)	07/07/17	J	A	

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		

FINANCIAL DISCLOSURE REPORT

Page 7 of 17

Name of Person Reporting

Rice, David E.

Date of Report

04/26/2018

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
52. Blackrock Inflation Prot. Bond Fund (BPRIX)	A	Dividend	K	T	Buy (add'l)	02/17/17	J		
53.					Buy (add'l)	07/17/17	J		
54. iShares S&P Mid-Cap 400 Value Fund (IJJ)	A	Dividend	K	T	Buy	11/17/17	K		
55. IRA #1 (H)									
56. Cambiar International Equity Fund (CAMIX)	B	Dividend			Buy (add'l)	04/06/17	J		
57.					Sold	09/28/17	L	E	
58. SPDR Barclays Capital High Yield Bond ETF (JNK)	A	Dividend			Buy (add'l)	04/06/17	J		
59.					Sold	09/28/17	J	A	
60. MSLiquidAssetFund (now MS Private Bank, N.A.)	A	Interest	J	T					
61. Vanguard Mid-Cap Value Index Fund (VOE)	A	Dividend			Sold (part)	04/06/17	J	C	
62.					Sold	09/28/17	J	D	
63. Cambiar Opportunity Fund (CAMWX)	B	Dividend			Sold (part)	04/06/17	K	C	
64.					Sold	09/28/17	L	D	
65. Cohen and Steers Realty Shares Fund (CSRSX)	A	Dividend			Buy (add'l)	01/03/17	J		
66.					Buy (add'l)	04/06/17	J		
67.					Sold	09/28/17	J	A	
68. Goldman Sachs Absolute Return Fund (GJRTX)	A	Dividend	K	T	Buy (add'l)	04/06/17	J		

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 17

Name of Person Reporting

Rice, David E.

Date of Report

04/26/2018

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
69.					Buy (add'l)	09/28/17	J		
70.					Buy (add'l)	12/18/17	J		
71. Ivy Mid Cap Growth Fund (IYMIX)	A	Dividend			Sold (part)	04/06/17	J	B	
72.					Sold	09/28/17	J	C	
73. JP Morgan Dynamic Small Cap Growth Fund (JDSCX)	A	Dividend			Sold (part)	04/06/17	J	A	
74.					Sold	09/28/17	J	C	
75. Mainstay Large Cap Growth Fund (MLAIX)	A	Dividend			Buy (add'l)	01/03/17	J		
76.					Sold (part)	04/06/17	K	C	
77.					Sold	09/28/17	L	D	
78. Royce Premier Fund (RYPRX)	A	Dividend			Sold (part)	04/06/17	J	A	
79.					Sold	09/28/17	J	A	
80. Guggenheim ManFutStratFD (RYMFX)	A	Dividend			Buy (add'l)	01/03/17	J		
81.					Buy (add'l)	04/06/17	J		
82.					Sold	04/24/17	K	A	
83. Wells Fargo Adv Em Markets Growth Fund (EMGYX)	A	Dividend			Buy (add'l)	04/06/17	J		
84.					Sold	09/28/17	L	D	
85. Vanguard Short Term Bond Fund (BSV)	A	Dividend			Buy (add'l)	01/03/17	J		

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 17

Name of Person Reporting

Rice, David E.

Date of Report

04/26/2018

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
86.					Sold (part)	04/06/17	J	A	
87.					Sold	09/28/17	K	A	
88. Harding Loevner Int'l Equity Fund (HLMIX)	A	Dividend			Buy (add'l)	04/06/17	J		
89.					Sold	09/28/17	L	E	
90. Metropolitan West Total Return Bond Fund (MWTIX)	A	Dividend			Buy (add'l)	01/03/17	J		
91.					Buy (add'l)	04/06/17	J		
92.					Sold	09/28/17	L	A	
93. Alerian MLP ETF (AMLPE)	B	Dividend			Buy (add'l)	04/06/17	J		
94.					Sold	09/28/17	K	A	
95. Templeton Int'l Bond Fund (FIBZX)	A	Dividend			Sold	04/06/17	J	A	
96. John Hancock Seaport Fund (JSFDX)	A	Dividend			Buy (add'l)	01/03/17	J		
97.					Buy (add'l)	04/06/17	J		
98.					Sold	09/28/17	K	B	
99. Pimco Enhanced Shrt ETF (MINT)	A	Dividend			Buy (add'l)	01/03/17	J		
100.					Buy (add'l)	04/06/17	J		
101.					Sold	09/28/17	J	A	
102. AQR Managed Futures Strategy Fund (AQMIX)	A	Dividend			Buy	04/24/17	K		

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 10 of 17

Name of Person Reporting

Rice, David E.

Date of Report

04/26/2018

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
103.					Sold	09/28/17	K	A	
104. iShares Inc. MSCI Japan ETF (EWJ)	A	Dividend			Buy	04/06/17	J		
105.					Sold	09/28/17	J	A	
106. iShares JPMorgan Em Bond ETF	A	Dividend			Buy	04/06/17	J		
107.					Sold	09/28/17	J	A	
108. American Centruy Emerging Mkts Fund (AMKIX)	A	Dividend	L	T	Buy	09/28/17	L		
109.					Sold (part)	12/18/17	J	A	
110. Janus Henderson Int'l Opportunity Fund (HFOIX)	A	Dividend	K	T	Buy	09/28/17	K		
111.					Buy (add'l)	12/18/17	J		
112. Vanguard FTSE Developed Mkts Fund (VEA)	A	Dividend	K	T	Buy	09/28/17	K		
113.					Buy (add'l)	12/18/17	J		
114. iShares S&p 500 Value ETF (IVE)	A	Dividend	K	T	Buy	09/28/17	K		
115.					Buy (add'l)	12/18/17	J		
116. iShares S&P 500 Growth ETF (IVW)	A	Dividend	K	T	Buy	09/28/17	K		
117.					Buy (add'l)	12/18/17	J		
118. Baron Small Cap Inst Fund (BSFIX)	A	Dividend	K	T	Buy	09/28/17	K		
119.					Sold (part)	12/18/17	J	A	

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

FINANCIAL DISCLOSURE REPORT

Page 11 of 17

Name of Person Reporting

Rice, David E.

Date of Report

04/26/2018

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. Touchstone Sands Capital Select Growth Fund (CFSIX)	A	Dividend	K	T	Buy	09/28/17	K		
121.					Sold (part)	12/18/17	J	A	
122. Royce Opportunity Fund (RYPNX)	A	Dividend	K	T	Buy	09/28/17	K		
123.					Sold (part)	12/18/17	J	A	
124. Oppenheimer Large Cap Revenue ETF (RWL)	A	Dividend	K	T	Buy	09/28/17	K		
125.					Buy (add'l)	12/18/17	J		
126. Prudential Jennison Mid-Cap Growth Fund (PEGZX)	A	Dividend	K	T	Buy	09/28/17	K		
127.					Sold (part)	12/18/17	J	A	
128. iShares S&P Mid-Cap 400 Value ETF (IJJ)	A	Dividend	K	T	Buy	09/28/17	K		
129.					Sold (part)	12/18/17	J	A	
130. Wisdomtree Managed Futures Strategy ETF (WDTI)	A	Dividend	K	T	Buy	09/28/17	K		
131.					Buy (add'l)	12/18/17	J		
132. Abbey Capital Futures Strategy Fund (ABYIX)	A	Dividend	J	T	Buy	12/18/17	J		
133. IRA #2 (H)									
134. Morgan Stanley Bank deposit account	A	Interest	J	T					
135. Bank Baroda (CD)	A	Interest			Matured	02/23/17	K	A	
136. Wells Fargo Bank (CD)	A	Interest			Sold	02/17/17	K	A	

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

FINANCIAL DISCLOSURE REPORT

Page 12 of 17

Name of Person Reporting

Rice, David E.

Date of Report

04/26/2018

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. Wells Fargo Bank (CD)	A	Interest			Sold	02/17/17	K	A	
138. Eaton Vance Tax Managed Income Fund (ETB)	C	Dividend	K	T	Buy	02/17/17	K		
139.					Buy (add'l)	02/24/17	J		
140.					Buy (add'l)	09/28/17	K		
141. iShares Cohen & Steers REIT Fund (ICF)	B	Dividend	K	T	Buy	02/17/17	K		
142.					Buy (add'l)	02/24/17	J		
143.					Buy (add'l)	09/28/17	K		
144. iShares IBOXX Inv. Grade Corp. Bond Fund (LQD)	B	Dividend	K	T	Buy	02/17/17	K		
145.					Buy (add'l)	02/24/17	J		
146.					Buy (add'l)	09/28/17	K		
147. Powershares S&P 500 High Div Portfolio (SPHD)	B	Dividend	K	T	Buy	02/17/17	K		
148.					Buy (add'l)	02/24/17	J		
149.					Buy (add'l)	09/28/17	K		
150. SPDR BBG Barclays Convertible Sec. Fund (CWB)	B	Dividend	K	T	Buy	02/17/17	K		
151.					Buy (add'l)	02/24/17	J		
152.					Buy (add'l)	09/28/17	K		
153. SPDR S&P Dividend Fund (SDY)	A	Dividend	K	T	Buy	02/17/17	K		

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

FINANCIAL DISCLOSURE REPORT

Page 13 of 17

Name of Person Reporting

Rice, David E.

Date of Report

04/26/2018

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154.					Buy (add'l)	02/24/17	J		
155.					Buy (add'l)	09/28/17	K		
156. Voya Global Advantage Fund (IGA)	C	Dividend	K	T	Buy	02/17/17	K		
157.					Buy (add'l)	02/24/17	J		
158.					Buy (add'l)	09/28/17	K		
159. AB High Income Fund (AGDYX)	B	Dividend	K	T	Buy	02/17/17	J		
160.					Buy (add'l)	02/24/17	J		
161.					Buy (add'l)	09/28/17	K		
162. Goldman Sachs Strategic Income Fund (GSZIX)	A	Dividend	K	T	Buy	02/17/17	K		
163.					Buy (add'l)	02/24/17	J		
164.					Buy (add'l)	09/28/17	K		
165. Janus Henderson Global Equity Income Fund (HFQIX)	C	Dividend	K	T	Buy	02/17/17	K		
166.					Buy (add'l)	02/24/17	J		
167.					Buy (add'l)	09/28/17	K		
168. Principal Preferred Securities Fund (PPSIX)	B	Dividend	K	T	Buy	02/17/17	K		
169.					Buy (add'l)	02/24/17	J		
170.					Buy (add'l)	09/28/17	K		

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 14 of 17

Name of Person Reporting

Rice, David E.

Date of Report

04/26/2018

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171. Prudential Absolute Return Bond Fund (PADZX)	B	Dividend	K	T	Buy	02/17/17	K		
172.					Buy (add'l)	02/24/17	J		
173.					Buy (add'l)	09/28/17	K		
174. Trust #1 (H)									
175. Comerica Bank deposit account		None	J	T					
176. MBIA Bond	B	Interest	K	T					
177. Spectra Energy Common (SE) (now Enbridge, Inc. (ENB))	A	Dividend	J	T					
178. Allianzgi Income Growth Fund (AZNCX)	B	Dividend	K	T					
179. AMG Yackman Service Fund (YACKX)	A	Dividend			Sold	10/18/17	K	A	
180. First Eagle Global Income Builder Fund (FEBIX)	A	Dividend			Sold	05/01/17	J	A	
181. Invesco High Yield Municipal Fund (ACTDX)	A	Dividend	J	T					
182. PIMCO Income Fund (PONPX)	A	Dividend	J	T					
183. First Trust MLP Fund (FEI)	A	Dividend	J	T					
184. Henderson Global Fund (HFQIX) (now Janus Henderson Global Equity Fund)	A	Dividend	J	T	Buy (add'l)	10/18/17	J		
185. Nexpoint Credit Strategies Fund (NHF)	A	Dividend	J	T					
186. Guggenheim Floating Rate Fund (GIFIX)	A	Dividend	J	T					
187. Lord Abbett Floating Rate Fund (LFRFX)	A	Dividend	J	T	Buy (add'l)	10/18/17	J		

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

FINANCIAL DISCLOSURE REPORT

Page 15 of 17

Name of Person Reporting

Rice, David E.

Date of Report

04/26/2018

VII. INVESTMENTS and TRUSTS -- Income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188. Nuveen Real Asset Income Fund	A	Dividend	J	T	Buy	05/01/17	J		
189.					Buy (add'l)	10/18/17	J		
190. Mineral Rights, Dimmit County, TX		None	K	W					
191. Mineral Rights, Canadian County, OK	A	Royalty	K	W					
192. Mineral Rights, Franklin County, AR		None	K	W					
193. Mineral Rights, Lincoln County, OK		None	K	W					
194. Mineral Rights, Pontotoc County, OK		None	K	W					
195. PNC Bank (CD)	A	Interest	L	T					
196. M&T Bank Accounts	A	Interest	M	T					
197. Bank of America Accounts	A	Interest	L	T					

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

FINANCIAL DISCLOSURE REPORT

Page 16 of 17

Name of Person Reporting

Rice, David E.

Date of Report

04/26/2018

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

FINANCIAL DISCLOSURE REPORT

Page 17 of 17

Name of Person Reporting

Rice, David E.

Date of Report

04/26/2018

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **David E. Rice**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544