

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Larsen, Joan L.	2. Court or Organization U.S. Court of Appeals for the Sixth Circuit	3. Date of Report 10/27/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address Ann Arbor Federal Building 200 E. Liberty Street Ann Arbor, Michigan 48104		
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.	Trustee	Trust #1
2.	Adjunct Faculty	University of Michigan Law School
3.	Circuit Judge	United States Court of Appeals for the Sixth Circuit
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 12

Name of Person Reporting

Larsen, Joan L.

Date of Report

10/27/2019

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. 2018		
2. 03/30/2018	University of Michigan, Salary	\$20,000.00
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. 2018	University of Michigan, Salary
2. 2018	West Academic, Book Royalties
3. 2018	Self-employed expert witness
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. Case Western Reserve University	September 25, 2018 - September 26, 2018	Cleveland, Ohio	Deliver The Sumner Canary Memorial Lecture	Transportation, lodging, and food
2. Duke University School of Law	November 7, 2018 - November 9, 2018	Durham, North Carolina	Participate in "51 Imperfect Solutions": A Judicial Roundtable	Transportation, lodging, and food
3. The Federalist Society	November 14, 2018 - November 16, 2018	Washington, D.C.	Moderate a panel at the National Lawyers Convention	Transportation, lodging, and food
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 12

Name of Person Reporting

Larsen, Joan L.

Date of Report

10/27/2019

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 12

Name of Person Reporting

Larsen, Joan L.

Date of Report

10/27/2019

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. JP Morgan Chase Checking Account	A	Interest	K	T					
2. UGMA Assets (H)									
3. Vanguard Federal Money Market Fund	A	Int./Div.	J	T					
4. Vanguard Tax-Managed Small-Cap Fund	A	Dividend	K	T	Sold (part)	12/21/18	J	A	
5. Vanguard Total Stock Market Index Fund	A	Dividend	M	T					
6. Alaska Air Common Stock	A	Dividend	K	T					
7. Iowa 529 Plans (H)									
8. Moderate Growth Portfolio (H)									
9. Vanguard Institutional Total Stock Market Index Fund (36%)		None	J	T	Closed				
10. Vanguard Total International Index Fund (24%)		None	J	T	Closed				
11. Vanguard Total Bond Market II Index Fund (28%)		None	J	T	Closed				
12. Vanguard Total International Bond Index Fund (12%)		None	J	T	Closed				
13. Aggressive Growth Portfolio (H)									
14. Vanguard Institutional Total Stock Market Index Fund (60%)		None	J	T	Sold (part)	09/12/18	J	A	
15. Vanguard Total International Index Fund (40%)		None	J	T	Sold (part)	09/12/18	J	A	
16. Michigan 529 Plans (H)									
17. Global Equity Index Fund		None	J	T	Closed				

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 5 of 12

Name of Person Reporting

Larsen, Joan L.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code I (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. Aggressive Age-Based Option (H)									
19. TIAA-CREF Equity Index Fund		None	J	T	Sold (part)	06/18/18	J	A	
20. TIAA-CREF International Equity Index Fund		None	J	T	Sold (part)	06/18/18	J	A	
21. TIAA-CREF Emerging Markets Equity Index Fund		None	J	T	Sold (part)	06/18/18	J	A	
22. TIAA-CREF Bond Index Fund		None	J	T	Sold (part)	06/18/18	J	A	
23. TIAA-CREF Inflation Linked Bond Fund		None	J	T	Sold (part)	06/18/18	J	A	
24. TIAA-CREF High-Yield Fund		None	J	T	Sold (part)	06/18/18	J	A	
25. Vanguard REIT Index Fund		None	J	T	Sold (part)	06/18/18	J	A	
26. New Hampshire 529 Plan (H)									
27. Aggressive Growth Portfolio (H)									
28. Fidelity Total Stock Market Index Institutional Premium Class (68.7%)		None	K	T	Buy (add'l)	01/03/18	J		
29. Fidelity Series Commodity Strategic Fund (1.4%)		None	J	T	Buy (add'l)	01/03/18	J		
30. Fidelity International Index Institutional Premium Class (29.9%)		None	J	T	Buy (add'l)	01/03/18	J		
31. Rollover IRA (H)									
32. Fidelity International Index Fund	B	Int./Div.	K	T					
33. Fidelity Contrafund	C	Int./Div.	L	T					
34. Fidelity Government Cash Reserves	A	Dividend	L	T	Buy	02/05/18	L		

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 12

Name of Person Reporting

Larsen, Joan L.

Date of Report

10/27/2019

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☐ 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. IRA (H)									
36. Fidelity International Index	C	Int./Div.	N	T	Buy (add'l)	11/02/18	J		
37. State of Michigan 401(k) & 457 Plans (H)									
38. State Street S&P 500 Index Fund		None			Distributed	02/05/18	K		
39. State Street MidCap Index Fund		None			Distributed	02/05/18	K		
40. State Street Glb All Cap ex US Fund		None			Distributed	02/05/18	K		
41. Vanguard Emerging Mkts Index Fund		None			Distributed	02/05/18	K		
42. University of Michigan, 401, 403, 457 Plans (H)									
43. Fidelity International Index Fund	A	Int./Div.	L	T					
44. Fidelity Total Market Index Fund	D	Int./Div.	P1	T					
45. IRA - Spouse (H)									
46. Fidelity Total Market Index Fund	C	Dividend	N	T	Buy (add'l)	01/02/18	J		
47. Rollover IRA - Spouse (H)									
48. Fidelity Extended Market 1 Index Fund	C	Dividend	N	T					
49. Roth IRA - Spouse (H)									
50. Fidelity International Index Fund	C	Int./Div.	N	T					
51. University of Michigan, 401, 403, 457 Plans - Spouse (H)									

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 12

Name of Person Reporting

Larsen, Joan L.

Date of Report

10/27/2019

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☐ 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. Fidelity International Index Fund	D	Int./Div.	N	T	Buy (add'l)	01/01/18	J		
53.					Buy (add'l)	02/01/18	J		
54.					Buy (add'l)	03/01/18	J		
55.					Buy (add'l)	04/01/18	J		
56.					Buy (add'l)	05/01/18	J		
57.					Buy (add'l)	06/01/18	J		
58.					Buy (add'l)	07/01/18	J		
59.					Buy (add'l)	08/01/18	J		
60.					Buy (add'l)	09/01/18	J		
61.					Buy (add'l)	10/01/18	J		
62.					Buy (add'l)	11/01/18	J		
63.					Buy (add'l)	12/01/18	J		
64. Fidelity Total Market Index Fund	E	Int./Div.	P1	T	Buy (add'l)	01/01/18	J		
65.					Buy (add'l)	02/01/18	J		
66.					Buy (add'l)	03/01/18	J		
67.					Buy (add'l)	04/01/18	J		
68.					Buy (add'l)	05/01/18	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
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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 12

Name of Person Reporting

Larsen, Joan L.

Date of Report

10/27/2019

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69.					Buy (add'l)	06/01/18	J		
70.					Buy (add'l)	07/01/18	J		
71.					Buy (add'l)	08/01/18	J		
72.					Buy (add'l)	09/01/18	J		
73.					Buy (add'l)	10/01/18	J		
74.					Buy (add'l)	11/01/18	J		
75.					Buy (add'l)	12/01/18	J		
76. Fidelity Extended Market 1 Index Fund	D	Int./Div.	N	T					
77. BrokerageAccount (H)									
78. Fidelity Government Money Market Fund	A	Dividend	J	T	Buy (add'l)	04/02/18	J		
79.					Buy (add'l)	04/03/18	J		
80.					Buy (add'l)	05/03/18	J		
81.					Buy (add'l)	05/31/18	J		
82.					Buy (add'l)	10/22/18	J		
83.					Buy (add'l)	11/02/18	J		
84.					Buy (add'l)	11/23/18	J		
85.					Buy (add'l)	12/04/18	J		

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 12

Name of Person Reporting

Larsen, Joan L.

Date of Report

10/27/2019

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86. Fidelity Michigan Municipal Income Fund	C	Dividend	L	T					
87. Fidelity Michigan Municipal Money Market Fund	A	Dividend	L	T	Sold (part)	01/12/18	J		
88.					Sold (part)	01/16/18	J		
89.					Sold (part)	02/20/18	J		
90.					Buy (add'l)	04/04/18	K		
91.					Buy (add'l)	11/27/18	K		
92.					Buy (add'l)	12/07/18	J		
93. Fidelity International Index Fund	A	Dividend	K	T	Buy (add'l)	11/27/18	J		
94. Fidelity Total Market Index Fund	B	Dividend	L	T	Donated (part)	11/27/18	K		
95. Trust #1 (H)									
96. First American Bank Account	A	Interest	J	T					
97. Prudential Survivorship Variable Universal Life Insurance Policy (H)									
98. PSF Diversified Bond Fund		None	M	T					
99. PSF Equity Fund		None	L	T					
100. PSF Global Fund		None	M	T					
101. PSF Gov't Money Market Fund		None	K	T					
102. PSF Jennison Fund		None	M	T					

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

FINANCIAL DISCLOSURE REPORT

Page 10 of 12

Name of Person Reporting

Larsen, Joan L.

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10/27/2019

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103. MFS Growth Fund		None	M	T					
104. Franklin Sm-MidCap Gr VIP Fund		None	K	T					
105. Prudential Financial Inc. Common Stock	C	Dividend	L	T					
106. Dependent Child Roth IRA (H)									
107. Vanguard Target Retirement 2065	A	None	J	T	Buy (add'l)	04/02/18	J		
108.									

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 12

Name of Person Reporting

Larsen, Joan L.

Date of Report

10/27/2019

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

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

Larsen, Joan L.

Date of Report

10/27/2019

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/ **Joan L. Larsen**

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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