

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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, WALTER H.	2. Court or Organization U. S. DISTRICT COURT, SD OHIO	3. Date of Report 10/14/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) UNITED STATES DISTRICT JUDGE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address UNITED STATES DISTRICT COURT 200 WEST SECOND ST., ROOM 909 DAYTON, OH 45402		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. SEE PART VIII, PAGE 13	See Part VIII
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.	
2.	
3.	

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Name of Person Reporting

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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. 2015

Ohio Public Employees Retirement System; monthly pension checks

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.

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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.		

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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. 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. Health Care Select SPDR	A	Dividend	K	T					
2. Fifth-Third Bank, Dayton, OH fka PNC Bank (savings account)	A	Interest	L	T					
3. Society National Bank, nka KeyBank, Dayton - checking acct)	A	Interest	J	T					
4. Allergen - common stock	A	Dividend	J	T					
5. Beckman Instrument - common stock	A	Dividend	J	T					
6. Fifth-Third Bank, fka PNC Bank, Dayton (checking acct)	A	Interest	J	T					
7. International Paper	B	Dividend	K	T	Sold (part)	12/15/15	K	E	
8. Fifth-Third Bank, Dayton (interest bearing checking account)	A	Interest	K	T					
9. Fifth-Third Bank, Dayton (interest bearing savings account)	A	Interest	L	T					
10. Wright-Patterson Credit Union	B	Interest	K	T					
11. Integra Financial	A	Dividend	J	T					
12. SmithKline Beecham - Preferred Stock	A	Dividend	J	T					
13. Curators Univ Mo Sys Facs Rev Ser B	B	Interest	L	T					
14. Mass St Sba Ded Sls Tax Rev Ser A		None			Redeemed	5/15/15	K	A	
15. Ohio State Higher Ed Lt Ser A RF	B	Interest	L	T					
16. Harris Tex Met Tran At	B	Interest	L	T					
17. Alaska Mun Bd Bk Ak Mun	B	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 \$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	

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18. Baltimore MD Rev Sub-Wastewater Proj	B	Interest	L	T					
19. California St. Var Purp	C	Interest	L	T					
20. Chicago Ill O Hare Intl	C	Interest	L	T					
21. Coco Cola Com'	A	Dividend	J	T	Buy	3/23/15	K		
22. Conocophillips	A	Dividend	J	T	Buy	9/15/15	J		
23. Consumer Discretionary SPDR	A	Dividend	K	T	Sold (part)	6/22/15	J	A	
24. - Consumer Discretionary SPDR			K	T	Buy (add'l)	12/4/15	J		
25. District Columbia Ser A	B	Interest	K	T					
26. First Tr Exchange Traded Fund	A	Dividend	J	T	Sold (part)	12/4/15	J	A	
27. First TR ISE Cloud Comp	A	Dividend	J	T	Sold (part)	12/4/15	J	A	
28. Florida St Brd Ed Pub Cap Outlay	C	Interest	L	T					
29. Intermountain Pwr Agy	C	Interest	L	T					
30. Iowa St Hosp Rev Univ Hosps Clinics		None			Redeemed	9/1/15	L	A	
31. Ishares Nasdaq Biotech	A	Dividend	J	T	Sold (part)	6/22/15	J	A	
32. - Ishares Nasdaq Biotech	A	Dividend	J	T	Buy (add'l)	12/4/15	J		
33. Nebraska Pub Pwr Dist Rev Gen Natl	C	Interest	L	T					
34. New Jersey St Transn Tr	C	Interest	L	T					

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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	

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35. New York NYC Mun WFA Wtr-SS RV Second BB Rf		None			Redeemed	6/15/15	L	A	
36. Nevada St Hwy Impt Rev Motr Vehicle Fuel RF	C	Interest	L	T					
37. Texas St Pub Fin Auth Lt Sera A RF		None			Sold	12/3/15	L	A	
38. University Mimm Ser A	B	Interest	L	T					
39. BIF Money Fund	A	Interest	K	T					
40. ABBVIE Inc. (ABBV)	A	Dividend	K	T	Sold (part)	6/2/15	J	A	
41. Automatic Data Proc (ADP)	A	Dividend	J	T					
42. Altria Group Inc (MO)	A	Dividend	J	T					
43. Amn Elec Power (AEP)	A	Dividend	J	T	Sold (part)	1/22/15	J	A	
44. Anheuser Busch	A	Dividend	J	T	Sold (part)	12/16/15	J	B	
45. Astrazeneca	A	Dividend	J	T	Redeemed (part)	7/30/15	J	A	
46. AT&T Inc. (T)	A	Dividend	J	T					
47. BCE Inc. (BCE)	A	Dividend	J	T	Sold (part)	2/18/15	J	A	
48. BP Pln Spon	A	Dividend	J	T	Buy (add'l)	1/22/15	J		
49. - BP Pln Spon					Sold (part)	9/11/15	J	B	
50. Centurylink Inc	A	Dividend	J	T	Buy	7/22/15	K		
51. - Centurylink Inc.					Sold (part)	4/1/15	J	A	

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52. Digital Rlty Tr Inc. (DLR)	A	Dividend	K	T					
53. Dominion	A	Dividend	J	T					
54. Du Pont E I De Nemours (DD)	A	Dividend	J	T	Sold (part)	3/20/15	J	C	
55. Eli Lilly	A	Dividend	J	T	Sold (part)	7/21/15	J	A	
56. General Electric (GE)	A	Dividend	K	T	Buy (add'l)	1/22/15	J		
57. - General Electric (GE)			K	T	Sold (part)	6/8/15	J	A	
58. Intel Corp (INTC)	B	Dividend	K	T	Buy (add'l)	8/27/15	J		
59. JPMorgan Chase & Co. (JPM)	A	Dividend	J	T					
60. Kraft Foods Group Inc. (KRFT)	A	Dividend	J	T	Sold (part)	4/21/15	J	C	
61. Kimberly Clark (KMB)	A	Dividend	J	T	Sold (part)	3/20/15	J	A	
62. Lockheed	A	Dividend	K	T					
63. McDonalds Corp. (MCD)	A	Dividend	K	T	Buy (add'l)	4/21/15	J		
64. North Dakota Pub Fun	A	Interest	L	T	Buy	7/21/15	L		
65. Occidental Pete Corp (OXY)	A	Dividend	J	T	Sold (part)	4/1/15	J	A	
66. - Occidental Pete Corp					Buy (add'l)	8/27/15	J		
67. Paccar Inc. (PCAR)	A	Dividend	J	T	Buy (add'l)	10/22/15	J		
68. Philip Morris Intl Inc. (PM)	A	Dividend	J	T	Sold (part)	4/1/15	J	A	

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69. - Philip Morris Intl Inc.					Buy (add'l)	4/30/15	J		
70. PPL Corporation (PPL)	A	Dividend	J	T	Buy (add'l)	6/9/15	J		
71. Procter & Gamble Co.		None	J	T	Buy	12/21/15	J		
72. Sector SPDR Financial	A	Dividend	J	T	Sold (part)	6/22/15	J	B	
73. SPDR Gold Trust (GLD)		None			Sold	12/15/15	K	D	
74. Spectra Energy Corp. (SE)	A	Dividend	J	T	Buy (add'l)	1/23/15	J		
75. Thomson Reuters Corp (TRI)	A	Dividend	J	T					
76. Toronto Dominion Bank (TD)	A	Dividend	J	T	Buy (add'l)	3/23/15	J		
77. Vanguard Consumer	A	Dividend	K	T	Buy (add'l)	6/22/15	J		
78. - Vanguard Consumer			J	T	Sold (part)	12/4/15	J	A	
79. Vanguard Energy	A	Dividend	K	T	Buy (add'l)	6/22/15	J		
80. - Vanguard Energy			K	T	Sold (part)	12/4/15	J	A	
81. Vanguard Industrial	A	Dividend	J	T	Buy (add'l)	12/4/15	J		
82. Vanguard Information Tech	A	Dividend	K	T	Sold (part)	12/4/15	J	C	
83. Vanguard Materials	A	Dividend	J	T	Buy (add'l)	12/4/15	J		
84. Ventas Inc. REIT (VTR)	A	Dividend	J	T					
85. Verizon Communicatns Com (VZ)	A	Dividend	J	T					

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86. Virginia CBA Va Ed	B	Interest	L	T	Buy	6/26/15	L		
87. ML Bank Deposit Program	A	Interest	M	T					
88. ML Money Market	A	Interest	J	T					
89. Albuquerque NM Mun SD	B	Interest	L	T					
90. Arizona Wtr Infrastr	C	Interest	L	T					

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

I. POSITIONS:

BOARD OF TRUSTEES ----- ISUS, INC. ----- a charter school which is partially funded by the State of Ohio. The school is no longer operating.

FORMER AND CURRENT MEMBER, BOARD OF DIRECTORS, "BUILDING BRIDGES" --- an adjunct to Juvenile Probation Department, concentrating on work therapy for hard-core juvenile offenders.

FOUNDING TRUSTEE ----- AVIATION HERITAGE FOUNDATION, INC. ----- an organization formed to administer the National Aviation Heritage Area, which pulls together all of the aviation heritage sites and activities in an eight to ten county area, in order to guarantee that the Dayton area will forever be considered not only the Birthplace of Aviation, but also where the aviation industry was founded and where, even today, it serves to provide the cutting edge of aviation technology.

TRUSTEE ----- WRIGHT DUNBAR, INC. ----- an organization dedicated to restoring the Third Street commercial corridor running the length of the Wright-Dunbar Neighborhood, the site of the Dayton Aviation National Historical Park and the early 20th century homes of the Wright brothers and Paul Laurence Dunbar.

BOARD OF ADVISORS ----- THE UNIVERSITY OF DAYTON SCHOOL OF LAW

CHAIRMAN ----- DR. MARTIN LUTHER KING, JR., MEMORIAL COMMITTEE ----- a committee charged with developing a concept of a suitable memorial to Dr. King.

MEMBER, BOARD OF TRUSTEES ----- MONTGOMERY COUNTY VOLUNTEER LAWYERS PROJECT ----- an organization conceived and operated to provide legal services to indigents in all aspects of civil law; the organization supplements the work done by our local Legal Aid Society.

CHAIRPERSON ----- DAYTON DIALOGUE ON RACE RELATIONS ----- an organization dedicated to racial reconciliation through understanding and action.

FORMER CO-CHAIRPERSON ----- COMMUNITY-WIDE EX-OFFENDER REENTRY TASK FORCE AND CURRENT CO-CHAIR REENTRY POLICY BOARD ----- a group of service providers, criminal justice professionals and community leaders tasked with development and implementation of a protocol and programs to facilitate successful return of ex-offenders from incarceration to become contributing, taxpaying members of the community.

CHAIR, AMERICAN VETERANS HERITAGE COMMISSION ---- a group tasked with planning, preserving, and rehabilitating the historic buildings on the Dayton Veterans Affairs Campus and including thereon a museum to honor the contributions of America's veterans to their communities in times of peace, as well as in times of war. The Commission also conducts programs to educate and inspire persons of all ages on the meaning of patriotism and sacrifice for one's country.

FORMER CHAIR, DAYTON INTERNATIONAL PEACE MUSEUM --- a museum dedicated to espousing peaceful solutions to issues that divide people, on a global, national and local setting. Resigned 1/11.

VII.

Line 1 - "Health Care Select SPDR" was bought on 4/24/2014 and inadvertently left off the 2014 report. More shares were purchased in 2014 on 5/1/2014, 5/8/2014, 5/15/2014, 10/16/2014, 12/10/2014.

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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/ WALTER H. 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