

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2003Report 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 U.S. COURT OF APPEALS 6 TH CIRCUIT	3. Date of Report 5/14/2004
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. CIRCUIT JUDGE (active)	5. Report Type (check appropriate type) ____ Nomination, ____ Date ____ Initial <u>X</u> Annual ____ Final	6. Reporting Period 01/01/2003 to 12/31/2003
7. Chambers or Office Address [REDACTED]	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	

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. Sign on last page.

I. POSITIONS. (Reporting individual only; see pp. 9-13 of Instructions.)

POSITION

NAME OF ORGANIZATION/ENTITY

☐

NONE (No reportable positions.)

1	Const'l Law Drafting Committee	National Conference of Bar Examiners, Multi-State Bar Exam
2	Trustee	Akron Law School Alumni Association
3	Cleveland Chapter Board of Advisors	Federalist Society

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of Instructions.)

DATE

PARTIES AND TERMS

☒

NONE (No reportable agreements.)

1		
2		
3		

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III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of Instructions.)

DATE

SOURCE AND TYPE

GROSS INCOME
(yours, not spouse's)☐

NONE (No reportable non-investment income.)

1	3/7 - 3/8	National Conference of Bar Examiners, Const'l Law Committee	\$ 3,000.00
2	9/25 - 9/28	National Conference of Bar Examiners, Const'l Law Committee	\$ 3,000.00
3		State of Ohio - Salary	0.00
4			
5			

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

BATCHBLDER, ALICE M.

Date of Report

5/14/04

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children. See pp. 25-27 of Instructions.)

SOURCE

DESCRIPTION

☐ NONE (No such reportable reimbursements.)

1	Nat'l Conf. of Bar Examiners	Con. Law Committee - Iowa City IA (3/7 through 3/8) and Montreal, Canada (9/25 through 9/28) - reimbursement for transportation, hotel, meals
2	F.R.E. Seminar for Federal Judges Big Sky, MT	seminar attendee; reimbursement for travel, meals and lodging 9/9-9/14
3	Ave Maria Law School, Ann Arbor, MI	Judge Moot Court competition (4/24-4/25) School paid \$75 hotel bill directly
4		
5		
6		
7		

V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of Instructions.)

SOURCE

DESCRIPTION

VALUE

☒ NONE (No such reportable gifts.)

1			\$
2			\$
3			\$
4			\$

VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-33 of Instructions.)

CREDITOR

DESCRIPTION

VALUE CODE*

☐ NONE (No reportable liabilities.)

1	Old Phoenix Nat'l Bank, Medina	Unsec. note -	L
2	Old Phoenix Nat'l Bank	Secured Note (secured by CD)	L
3	Old Phoenix Nat'l Bank	Mtge/Note on Property # 12	K
4	Old Phoenix Nat'l Bank	Mtge/note on Property # 17	K
5	[REDACTED]	Unsecured Note	J
6	C. T. Bennett, Plymouth, N. C.	Mtge and Note on Property # 11	K
7	Old Phoenix National Bank	Mtge on Property #19	L
8	Farmers Savings Bank of Spencer, Ohio	Mtge/note on Property #1 (pd. off in Nov. '03)	L
9	Farmers Savings Bank of Spencer, Ohio	Mtge/note on Property # 20	L
10	Old Phoenix National Bank	Mtge on Property #5	K

*Value Codes: J=\$15,000 or less K=\$15,001-\$50,000 L=\$50,001-\$100,000 M=\$100,001-\$250,000 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=\$50,000,001 or more

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

ALICE M. BATCHELDER

Date of Report

5/14/04

VII. Page 1 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

A. Description of Assets (including trust assets) <i>Place "(X)" after each asset exempt from prior disclosure</i>	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amt. Code1 (A-H)	Type (e.g., div., rent or int.)	Value Code2 (J-P)	Value Method Code3 (Q-W)	Type (e.g., buy, sell, merger, redemption)	(2) Date: Month- Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets,									
BANK & BROKERAGE ACCTS									
1 Old Phoenix National Bank, Cert. of Deposit	B	Int	L	T					
2 A.G. Edwards & Sons, Medina IRA Account	A	Div	K	T					
3 IRA asset: U.S. Treas. bond, Strip. int., mat. 11-04					None				
4 IRA asset: Cap. World Growth & Income Fund					None				
5 IRA asset: Growth Fund of America, Inc.					None				
6 A.G. Edwards & Son, Medina, IRA	B	Div	K	T					
7 IRA asset: Centennial Money Market					None				
8 IRA asset: BRE Properties, Inc. Class A Stock					None				
9 IRA asset: Velocity FSI Inc. NT (spin-off from BRE Properties, Inc. transfer FACS and status unknown)									
10 IRA asset: Bristol-Myers Squibb Co. Stock					None				
11 IRA asset: Pfizer, Inc. Stock					None				
12 IRA asset: Wal-Mart Stores, Inc. Stock					None				
13 IRA asset: Zimmer Holdings, Inc. (acq'd by Bristol-Myers 9/2001)									
14 IRA asset: Washington Mutual Inv. Fund					Buy	5-13	C		
15 A.G. Edwards & Son, Medina Sep IRA	B	Div	K	T					
16 IRA asset: Centennial Money Market					None				
17 IRA asset: U.S. Treas. sec. str. int. mat. 2/08					None				
18 IRA asset: RPM, Inc. Stock					None				
19 IRA asset: J.M. Smucker Co. class A Stock					None				
20 IRA Asset: Washington Mutual Inv. Fund					Buy	5-13	A		
21 IRA asset: FANNIE MAE					None				
22 A.G. Edwards & Son, Medina Cash Management Acct	A	Div	J	T					
23 account asset: Dell Computer Group Stock	A	Div	J	T	None				

1	Income/Gain Codes: A=\$1,000 or less (See Col. B1, D4) F=\$50,001-\$100,000	B=\$1,001-\$2,500 G=\$100,001-\$1,000,000	C=\$2,501-\$5,000 H=\$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: J=\$15,000 or less (See Col. C1, D3) 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: Q=Appraisal (See Col. C2) U=Book value	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market	

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

BATCHELDER, ALICE M.

Date of Report

05/14/04

VII. Page 2 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

A Description of Assets (including trust assets) <i>Place "X" after each asset exempt from prior disclosure.</i>	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amt. Code1 (A-H)	Type (e.g., div., rent or int.)	Value Code2 (J-P)	Value Method Code (Q-W)	Type (e.g., buy, sell, merger, redemption)	(2) Date: Month- Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions)									
24 account asset: Pfizer, Inc. Stock	A	Div	J	T	None				
25 account asset: General Electric Stock	A	Div	J	T	None				
26 account asset: MONY Group, Inc.	A	Div	J	T	None				
REAL ESTATE									
27 #1. duplex - Medina, Ohio	D	Rent	M	W					
28 #2. 2-family (1/2 int) Medina, Ohio	B	Rent	K	W					
29 #3. Single family (1/2 int.) Medina, Ohio	B	Rent	K	W					
30 #4. 4 duplex units (1/2 int.) Medina, Ohio	D	Rent	M	W					
31 #5. 2 duplex units (1/2 int.) Medina, Ohio	D	Rent	L	W					
32 #6. 2-Family & 3-family houses (1/2 int.) Medina, Ohio	D	Rent	M	W					
33 #7. Apartments (1/2 int.) Medina, Ohio	E	Rent	M	W					
34 #8. 4 duplex units (1/2 int.) Medina, Ohio	D	Rent	M	W					
35 #9. Farm (1/2 int.) Lodi, Ohio	D	Rent	N	T					
36 #10. hog feeder operation (1/5 int.) Lodi, Ohio		None	J	W					
37 #11. Single Family Medina, Ohio	D	Rent	M	W					
38 #12. Single family (1/2 int.) Medina, Ohio	C	Rent	K	W					
39 #13. Commercial building (1/2 int.) Medina, Ohio	E	Rent	M	W					
40 #14. duplex (1/2 int.) Medina, Ohio	D	Rent	L	W					
41 #15. vacant lot (1/2 int.) Medina, Ohio		None	K	W					
42 #16. vacant land Medina, Ohio		None	M	W					
43 #17. single family Medina, Ohio	D	Rent	M	W					
44 #18. single family (1/2 int.) Medina, Ohio	C	Rent	K	W					
45 #19. Commercial building Medina, Ohio	D	Rent	M	W					
46 #20. Commercial building with apartment Medina, Ohio	D	Rent	L	W					
1 Income/Gain Codes: A=\$1,000 or less (See Col. B1, D4) F=\$50,001-\$100,000	B=\$1,001-\$2,500 G=\$100,001-\$1,000,000	C=\$2,501-\$5,000 H=\$1,000,001-\$5,000,000	D=\$5,001-\$15,000 E=\$15,001-\$50,000						
2 Value Codes: J=\$15,000 or less (See Col. C1, D3) N=\$250,001-\$500,000 P=\$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: Q=Appraisal (See Col. C2) U=Book value	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market						

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BATCHELDER, ALICE M.

05/14/04

VII. Page 3 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

[illegible]

1	Income/Gain Codes: (See Col. B1, 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 Col. C1, 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 Col. C2)	Q=Appraisal U=Book value	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market	

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

BATCHELDER, ALICE M.

Date of Report

05/14/04

VII. ADDITIONAL INFORMATION OR EXPLANATIONS (Indicate part of Report.)

Continuation of Section VI. Liabilities

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
11 Farmers Savings Bank of Spencer, Ohio	Mtge/Note on Property #21	K
12 Cornerstone Bank of Springfield, Ohio	Mtge/Note on Property #22	L
13 Old Phoenix Nat'l Bank	60-day unsecured note (9/17 - 11/17)	L

RE: VII. Included in the values of several of the real estate assets is the value of the individual bank checking account for the respective property. The amount in each of those accounts is nominal as these accounts are used solely to collect the rents and to pay the bills on the properties.

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

Date

14 May 2004

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

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

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