

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) RICE, WALTER H.	2. Court or Organization U. S. DISTRICT COURT, SD OHIO	3. Date of Report 7/24/2014
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 01/01/2013 to 12/31/2013
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 17	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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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. 2013

CITY OF VANDALIA - (salary as Magistrate/)

2. 2013

Ohio Public Employees Retirement System; monthly pension checks

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.)*

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.		

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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. Fifth-Third Bank, Dayton, OH fka PNC Bank (savings account)	A	Interest	L	T					
2. Society National Bank, nka KeyBank, Dayton - checking acct)	A	Interest	J	T					
3. Allergen - common stock	A	Dividend	J	T					
4. Beckman Instrument - common stock	A	Dividend	J	T					
5. Fifth-Third Bank, fka PNC Bank, Dayton (checking acct)	A	Interest	J	T					
6. International Paper	A	Dividend	K	T					
7. Fifth-Third Bank, Dayton (interest bearing checking account)	A	Interest	K	T					
8. Fifth-Third Bank, Dayton (interest bearing savings account)	A	Interest	L	T					
9. Bank of New York/Mellon		None			Closed				
10. Wright-Patterson Credit Union	B	Interest	K	T					
11. Everen Securities, fka Kempner/Selected Fund		None			Closed				
12. Integra Financial	A	Dividend	J						
13. SmithKline Beecham - Preferred Stock	A	Dividend	J	T					
14. Pennsylvania St Second Ser A Bond	A	Interest			Sold	10/31/13	L		
15. Curators Univ Mo Sys Facs Rev Ser B	B	Interest	L	T					
16. Mass St Sba Ded Sls Tax Rev Ser A	B	Interest	L	T					
17. Ohio State Higher Ed Lt Ser A RF	B	Interest	L	T					

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2. Value Codes	F = \$50,001 - \$100,000 (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	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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18. Hawaii St	B	Interest	L	T	Sold (part)	10/31/13	L		
19. Louisiana St Gas & Fuels	A	Interest	L	T	Sold (part)	10/28/13	L		
20. Connecticut St	B	Interest	L	T					
21. Harris Tex Met Tran At	B	Interest	L	T					
22. Univ Colo Enterprise Sys	B	Interest			Sold	10/28/13	L		
23. Virginia St Pub Sch Auth	B	Interest			Sold	10/31/13	L		
24. Alaska Mun Bd Bk Ak Mun	B	Interest	L	T					
25. Baltimore MD Rev Sub-Wastewater Proj		None	L	T	Buy	12/3/13	L		
26. California St. Var Purp	B	Interest	L	T	Buy	4/23/13	L		
27. District Columbia Ser A		None	K	T	Buy	12/18/13	K		
28. Florida St Brd Ed Pub Cap Outlay	C	Interest	L	T	Buy	4/16/13	L		
29. Iowa St Hosp Rev Univ Hosps Clinics		None	L	T	Buy	11/12/13	L		
30. Michigan Mun Bd Auth Rev	C	Interest			Sold	10/29/13	L		
31. Nebraska Pub Pwr Dist Rev Gen Natl		None	L	T	Buy	11/29/13	L		
32. New Hampshire St Tpk Sys Rev Ser B Rf		None	L	T	Buy	10/29/13	L		
33. New Jersey St Transn Tr	C	Interest	L	T					
34. New Mexico Fin Auth Rev Sr Lien-Pub Proj Ser B	B	Interest	L	T	Buy	11/27/13	L		

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35. New York NYC Mun WFA Wtr-SS RV Second BB Rf	B	Interest	L	T	Buy	11/6/13	L		
36. Nevada St Hwy Impt Rev Motr Vehicle Fuel RF	C	Interest	L	T	Buy	4/15/13	L		
37. North Carolina MCC HCF Rev Novant Health A Rf		None			Buy	5/7/13	L		
38. - North Carolina MCC HCF Rev Novant Health A Rf					Sold	10/31/13	L		
39. North Carolina St Cap	B	Interest			Redeemed	5/1/13	K	A	
40. Port Seattle Wash Rev	B	Interest			Sold	10/28/13	L		
41. Texas St Pub Fin Auth Lt Sera A RF	A	Interest	L	T	Buy	5/8/13	L		
42. University Minn Ser A	B	Interest	K	T	Buy	1/7/13	K		
43. BIF Money Fund			K	T					
44. Abbott Labs (ABT)		None			Sold	1/10/13	J	C	
45. ABBVIE Inc. (ABBV)	A	Dividend	K	T	Buy	1/10/13	J		
46. - ABBVIE Inc.			K	T	Sold (part)	2/7/13	J	A	
47. - ABBVIE Inc.			K	T	Buy (add'l)	4/22/13	J		
48. - ABBVIE Inc.			K	T	Buy (add'l)	4/29/13	J		
49. - ABBVIE Inc.			K	T	Buy (add'l)	5/6/13	J		
50. - ABBVIE Inc.			K	T	Buy (add'l)	6/11/13	J		
51. - ABBVIE Inc.			K	T	Buy (add'l)	7/3/13	J		

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52. Automatic Data Proc (ADP)		None	J	T	Buy	11/22/13	J		
53. Alliance Bernstein Interm Diversified Muni (AIDAX)	A	Dividend	K	T	Buy	2/15/13	K		
54. - Alliance Bernstein Interm Diversified Muni			K	T	Buy (add'l)	2/21/13	J		
55. - Alliance Bernstein Interm Diversified Muni			K	T	Buy (add'l)	3/21/13	J		
56. - Alliance Bernstein Interm Diversified Muni			K	T	Buy (add'l)	4/10/13	K		
57. - Alliance Bernstein Interm Diversified Muni			K	T	Buy (add'l)	4/22/13	J		
58. - Alliance Bernstein Interm Diversified Muni			K	T	Buy (add'l)	5/21/13	J		
59. - Alliance Bernstein Interm Diversified Muni			K	T	Buy (add'l)	6/21/13	J		
60. - Alliance Bernstein Interm Diversified Muni			K	T	Buy (add'l)	7/22/13	J		
61. - Alliance Bernstein Interm Diversified Muni			K	T	Buy (add'l)	8/21/13	J		
62. - Alliance Bernstein Interm Diversified Muni			K	T	Buy (add'l)	9/23/13	J		
63. - Alliance Bernstein Interm Diversified Muni			K	T	Buy (add'l)	10/21/13	J		
64. - Alliance Bernstein Interm Diversified Muni			K	T	Buy (add'l)	11/21/13	J		
65. - Alliance Bernstein Interm Diversified Muni			K	T	Buy (add'l)	12/3/13	J		
66. - Alliance Bernstein High Income Muni Fund (ABTYX)	B	Dividend	K	T	Buy	2/15/13	K		
67. - Alliance Bernstein High Income Muni Fund			K	T	Buy (add'l)	2/21/13	J		
68. - Alliance Bernstein High Income Muni Fund			K	T	Buy (add'l)	3/1/13	J		

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69. - AllianceBernstein High Income Muni Fund			K	T	Buy (add'l)	4/1/13	J		
70. - AllianceBernstein High Income Muni Fund			K	T	Buy (add'l)	4/8/13	K		
71. - AllianceBernstein High Income Muni Fund			K	T	Buy (add'l)	5/1/13	J		
72. - AllianceBernstein High Income Muni Fund			K	T	Buy (add'l)	6/3/13	J		
73. - AllianceBernstein High Income Muni Fund			K	T	Buy (add'l)	7/1/13	J		
74. - AllianceBernstein High Income Muni Fund			K	T	Buy (add'l)	8/1/13	J		
75. - AllianceBernstein High Income Muni Fund			K	T	Buy (add'l)	9/3/13	J		
76. - AllianceBernstein High Income Muni Fund			K	T	Buy (add'l)	10/1/13	J		
77. - AllianceBernstein High Income Muni Fund			K	T	Buy (add'l)	11/1/13	J		
78. - AllianceBernstein High Income Muni Fund			K	T	Buy (add'l)	12/2/13	J		
79. Altria Group Inc (MO)	A	Dividend	J	T	Buy	4/22/13	J		
80. - Altria Group Inc					Buy (add'l)	4/29/13	J		
81. - Altria Group Inc					Buy (add'l)	5/6/13	J		
82. - Altria Group Inc					Buy (add'l)	6/11/13	J		
83. Amn Elec Power (AEP)		None	J	T	Buy	11/15/13	J		
84. AT&T Inc. (T)	A	Dividend	J	T	Buy	4/22/13	J		
85. - AT&T Inc					Buy (add'l)	4/29/13	J		

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86. - AT&T Inc					Buy (add'l)	5/6/13	J		
87. - AT&T Inc					Buy (add'l)	6/11/13	J		
88. - AT&T Inc					Buy (add'l)	7/3/13	J		
89. BCE Inc. (BCE)	A	Dividend	J	T	Buy	4/22/13	J		
90. - BCE Inc.					Buy (add'l)	4/29/13	J		
91. - BCE Inc.					Buy (add'l)	5/6/13	J		
92. - BCE Inc.					Buy (add'l)	6/11/13	J		
93. - BCE Inc.					Buy (add'l)	7/3/13	J		
94. Bristol-Myers Squibb Co (BMY)	A	Dividend	J	T	Sold (part)	2/7/13	J	A	
95. - Bristol-Myers Squibb Co.					Buy	4/22/13	J		
96. - Bristol-Myers Squibb Co					Buy	4/29/13	J		
97. - Bristol-Myers Squibb Co					Buy	5/6/13	J		
98. - Bristol-Myers Squibb Co.					Sold (part)	7/3/13	J	A	
99. CMS Energy Corp (CMS)	A	Dividend	J	T	Buy	4/22/13	J		
100. - CMS Energy Corp					Buy (add'l)	4/29/13	J		
101. - CMS Energy Corp					Buy (add'l)	5/6/13	J		
102. - CMS Energy Corp					Buy (add'l)	6/11/13	J		

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103. - CMS Energy Corp					Sold (part)	7/3/13	J	A	
104. Chevron Corp.	A	Dividend	J	T	Sold (part)	2/7/13	J	A	
105. Conagra Foods Inc. (CAG)	A	Dividend	J	T	Buy	4/22/13	J		
106. - Conagra Foods Inc					Sold (part)	2/7/13	J	A	
107. - Conagra Foods Inc			J	T	Buy (add'l)	4/29/13	J		
108. - Conagra Foods Inc					Buy (add'l)	5/6/13	J		
109. - Conagra Foods Inc					Buy (add'l)	6/11/13	J		
110. - Conagra Foods Inc					Sold (part)	7/3/13	J	A	
111. Digital Rlty Tr Inc. (DLR)	A	Dividend	J	T	Buy	4/22/13	J		
112. - Digital Rlty Tr Inc.					Buy (add'l)	4/29/13	J		
113. - Digital Rlty Tr Inc.					Buy (add'l)	5/6/13	J		
114. - Digital Rlty Tr Inc.					Buy (add'l)	6/11/13	J		
115. - Digital Rlty Tr Inc.					Buy (add'l)	7/3/2013	J		
116. Du Pont E I De Nemours (DD)	A	Dividend	J	T	Sold (part)	2/7/13	J	A	
117. - Du Pont E I De Nemours			J	T	Buy (add'l)	4/22/13	J		
118. - Du Pont E I De Nemours			J	T	Buy (add'l)	5/6/13	J		
119. - Du Pont E I De Nemours			J	T	Buy (add'l)	6/11/13	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 \$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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Name of Person Reporting

RICE, WALTER H.

Date of Report

7/24/2014

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)
120. Eaton Corp Plc (ETN)	A	Dividend	J	T	Sold (part)	2/7/13	J	A	
121. - Eaton Corp Plc					Buy (add'l)	4/22/13	J		
122. - Eaton Corp Plc					Buy (add'l)	4/29/13	J		
123. - Eaton Corp Plc					Buy (add'l)	5/6/13	J		
124. - Eaton Corp Plc					Sold (part)	7/3/13	J	A	
125. General Electric (GE)	A	Dividend	J	T	Buy	4/22/13	J		
126. - General Electric					Buy (add'l)	4/29/13	J		
127. - General Electric					Buy (add'l)	5/6/13	J		
128. - General Electric					Sold (part)	7/3/13	J	A	
129. GlaxoSmithKline (GSK)		None	J	T	Buy	11/6/13	J		
130. Intel Corp (INTC)	A	Dividend	J	T	Buy	4/22/13	J		
131. - Intel Corp					Buy (add'l)	4/29/13	J		
132. - Intel Corp					Buy (add'l)	5/6/13	J		
133. - Intel Corp					Buy (add'l)	6/11/13	J		
134. - Intel Corp					Buy (add'l)	7/3/13	J		
135. JPMorgan Chase & Co. (JPM)	A	Dividend	J	T	Sold (part)	2/9/13	J	A	
136. - JPMorgan Chase & Co.			J	T	Buy	4/22/13	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	

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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)
137. - JPMorgan Chase & Co.			J	T	Buy (add'l)	4/29/13	J		
138. - JPMorgan Chase & Co.			J	T	Buy (add'l)	5/6/13	J		
139. - JPMorgan Chase & Co.			J	T	Sold (part)	7/3/13	J	A	
140. Kraft Foods Group Inc. (KRFT)	A	Dividend	J	T	Buy	4/22/13	J		
141. - Kraft Foods Group Inc.			J	T	Buy (add'l)	4/29/13	J		
142. - Kraft Foods Group Inc.			J	T	Buy (add'l)	5/6/13	J		
143. Kimberly Clark (KMB)		None	J	T	Buy	4/29/13	J		
144. -Kimberly Clark			J	T	Buy (add'l)	5/6/13	J		
145. -Kimberly Clark			J	T	Buy (add'l)	6/11/13	J		
146. -Kimberly Clark			J	T	Buy (add'l)	7/3/13	J		
147. Merck and Co. Inc. SHS (MRK)	A	Dividend	J	T	Buy	4/22/13	J		
148. - Merck and Co. Inc. SHS			J		Buy (add'l)	4/29/13	J		
149. - Merck and Co. Inc. SHS					Buy (add'l)	5/6/13	J		
150. - Merck and Co. Inc. SHS					Buy (add'l)	7/3/13	J		
151. - Merck and Co. Inc. SHS					Sold (part)	11/6/13	J	A	
152. McDonalds Corp. (MCD)	A	Dividend	J	T	Buy	4/29/13	J		
153. - McDonalds Corp.			J	T	Buy (add'l)	5/6/13	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 \$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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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. - McDonalds Corp.			J	T	Buy (add'l)	6/11/13	J		
155. Microsoft Corp. (MSFT)	A	Dividend	J	T	Buy	4/22/13	J		
156. - Microsoft Corp.					Buy (add'l)	4/29/13	J		
157. - Microsoft Corp.					Buy (add'l)	5/6/13	J		
158. - Microsoft Corp.					Sold (part)	11/22/13	J	C	
159. Nextera Energy Inc. SHS (NEE)	A	Dividend	J	T	Buy	4/22/13	J		
160. - Nextera Energy Inc. SHS			J	T	Buy (add'l)	4/29/13	J		
161. - Nextera Energy Inc. SHS			J	T	Buy (add'l)	5/6/13	J		
162. - Nextera Energy Inc. SHS			J	T	Buy (add'l)	6/11/13	J		
163. - Nextera Energy Inc. SHS			J	T	Buy (add'l)	7/3/13	J		
164. Occidental Pete Corp (OXY)	A	Dividend	J	T	Buy	2/14/13	J		
165. - Occidental Pete Corp			J	T	Buy (add'l)	4/22/13	J		
166. - Occidental Pete Corp			J	T	Buy (add'l)	4/29/13	J		
167. - Occidental Pete Corp			J	T	Buy (add'l)	5/6/13	J		
168. - Occidental Pete Corp			J	T	Buy (add'l)	7/3/13	J		
169. Paccar Inc. (PCAR)	A	Dividend	J	T	Buy	4/22/13	J	A	
170. - Paccar Inc.			J	T	Buy (add'l)	4/29/13	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 \$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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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. - Paccar Inc.			J	T	Buy (add'l)	5/6/13	J		
172. - Paccar Inc.			J	T	Sold (part)	7/3/13	J		
173. PG&E Corp (PCG)	A	Dividend			Buy	7/3/13	J		
174. - PG&E Corp					Sold	11/15/13	J		
175. Philip Morris Intl Inc. (PM)	A	Dividend	J	T	Buy	4/29/13	J		
176. - Philip Morris Intl Inc.			J	T	Buy (add'l)	5/6/13	J		
177. - Philip Morris Intl Inc.			J	T	Buy (add'l)	6/11/13	J		
178. PPL Corporation (PPL)	A	Dividend	J	T	Buy	7/3/13	J		
179. Royal Dutch Shel PLC Spons ADR B		None			Sold	2/12/13	J		
180. Sempra Energy (SRE)	A	Dividend	J	T	Buy	4/22/13	J		
181. - Sempra Energy					Buy (add'l)	4/29/13	J		
182. - Sempra Energy					Buy (add'l)	5/6/13	J		
183. - Sempra Energy					Buy (add'l)	6/11/13	J		
184. - Sempra Energy					Buy (add'l)	7/3/2013	J		
185. SPDR Gold Trust (GLD)		None	K	T	Buy	2/15/13	K		
186. - SPDR Gold Trust					Buy (add'l)	4/10/13	J		
187. Spectra Energy Corp. (SE)	A	Dividend			Buy	4/22/13	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	

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RICE, WALTER H.

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7/24/2014

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)
188. - Spectra Energy Corp					Buy (add'l)	4/29/13	J		
189. - Spectra Energy Corp					Buy (add'l)	5/6/13	J		
190. - Spectra Energy Corp					Buy (add'l)	6/11/13	J		
191. - Spectra Energy Corp					Sold	7/3/13	J	A	
192. Thomson Reuters Corp (TRI)	A	Dividend	J	T	Buy	3/20/13	J		
193. - Thomson Reuters Corp			J	T	Buy (add'l)	4/22/13	J		
194. - Thomson Reuters Corp			J	T	Buy (add'l)	4/29/13	J		
195. - Thomson Reuters Corp			J	T	Buy (add'l)	5/6/13	J		
196. - Thomson Reuters Corp			J	T	Buy (add'l)	6/11/13	J		
197. - Thomson Reuters Corp			J	T	Buy (add'l)	7/3/13	J		
198. Time Warner Inc. SHS		None			Sold	3/20/13	J	A	
199. Toronto Dominion Bank (TD)	A	Dividend	J	T	Buy	4/22/13	J		
200. - Toronto Dominion Bank			J	T	Buy (add'l)	4/29/13	J		
201. - Toronto Dominion Bank			J	T	Buy (add'l)	5/6/13	J		
202. - Toronto Dominion Bank			J	T	Buy (add'l)	6/11/13	J		
203. Ventas Inc. REIT (VTR)	A	Dividend	J	T	Buy	4/29/13	J		
204. - Ventas Inc. REIT			J	T	Buy (add'l)	5/6/13	J		

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		

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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.)

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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)
205. - Ventas Inc. REIT			J	T	Buy (add'l)	6/11/13	J		
206. Verizon Communicatns Com (VZ)	A	Dividend	J	T	Buy	4/22/13	J		
207. - Verizon Communicatns			J	T	Buy (add'l)	4/29/13	J		
208. - Verizon Communicatns			J	T	Buy (add'l)	5/6/13	J		
209. - Verizon Communicatns			J	T	Buy (add'l)	6/11/13	J		
210. - Verizon Communicatns			J	T	Sold (part)	7/3/13	J	A	
211. Xcel Energy Inc. (XEL)	A	Dividend	J	T	Buy	5/6/13	J		
212. - Xcel Energy Inc.					Buy (add'l)	6/11/13	J		
213. - Xcel Energy Inc.					Sold	7/3/13	J		
214. ML Bank Deposit Program	A	Interest	M	T					
215. Money Market	A	Interest	J	T					
216.									

1. Income Gain Codes:	A ~\$1,000 or less (See Columns B1 and D4)	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)	F ~\$50,001 - \$100,000 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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RICE, WALTER H.

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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.

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RICE, WALTER H.

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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