

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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) Clay, Eric L.	2. Court or Organization United States Court of Appeals for the Sixth Circuit	3. Date of Report 10/16/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge (Active Status)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☒ Amended Report	
7. Chambers or Office Address United States Court of Appeals Theodore Levin United States Courthouse 231 W. Lafayette, Rm. 433 Detroit, MI 48226		
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. _____	_____
2. _____	_____
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. _____	_____

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Name of Person Reporting

Clay, Eric L.

Date of Report

10/16/2020

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.		
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.				

Name of Person Reporting	Date of Report
Clay, Eric L.	10/16/2020

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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Name of Person Reporting

Clay, Eric L.

Date of Report

10/16/2020

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. Bank of America	A	Interest	M	T					
2. Franklin Small-Mid Caps Growth	A	Dividend	M	T					
3. Franklin Mutual Global Discovery	B	Dividend	M	T	Distributed (part)	12/20/19	L	C	
4. Putnam Equity Income FD New CLA	A	Dividend	L	T	Sold (part)	11/15/19	L	B	
5. Putnam Trust Multi Cap Case A	A	Dividend	L	T	Sold (part)	11/15/19	L	A	
6. Templeton Foreign Fund	B	Dividend	K	T					
7. Eaton Vance Floating Rate FD	D	Dividend	M	T	Sold (part)	03/18/19	M	A	
8. IShares MSCI Emerging MKTS ETF	A	Dividend			Sold	05/10/19	J	A	
9. IShares MSCI EAFE ETF	A	Dividend	K	T	Buy	03/18/19	K		
10. IShares S&P Mid-Cap 400 Value ETF	A	Dividend	K	T	Buy	11/12/19	K		
11. IShares S&P Mid-Cap 400 Growth ETF	A	Dividend	K	T	Buy	09/10/19	K		
12. IShares S&P Small-Cap 600 Growth	A	Dividend	K	T	Buy	10/18/19	K		
13. IShares S&P Small-Cap 600 Value ETF	A	Dividend	K	T	Buy	10/21/19	K		
14. IShares Micro-Cap ETF	A	Dividend	K	T	Buy	11/04/19	K		
15. SPDR S&P 500 ETF	B	Dividend	M	T	Buy	06/11/19	K		
16. FNMA 2012-138 YE 2% 12/25/2042	A	Interest	J	T					
17. FNMA 2017-57 CA 3% 08/25/2047	A	Interest	J	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	

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. Fannie Mae 2018-53 JD 3.5% 07/25/2048	A	Interest	J	T	Buy	08/08/19	J		
19. Fannie Mae 2017-18 MA 3% 03/25/2047	A	Interest	J	T					
20. Fanniiie Mae 2017-21 GA 3% 04/25/2047	A	Interest	J	T					
21. Fannie Mae 2018-34 ZC 4% 05/25/2048	A	Interest	J	T					
22. Fannie Mae 2018-49 KA 3% 07/25/2048	A	Interest	K	T					
23. Fannie Mae 2018-47 CL 4% 07/25/2048	A	Interest	K	T					
24. Freddie Mac 4116 KC 2% 10/15/2042	A	Interest	J	T					
25. Freddie Mac 4706 LQ 3% 12/15/2046	A	Interest	J	T					
26. FHLMC CU 3.5% 08/15/2047	A	Interest	J	T	Buy	01/29/19	J		
27. GNMA GNR 2017-150 KL 2.75% 10/01/2047	A	Interest	J	T					
28. GNMA GNR 2017-150 KY 2.625% 10/01/2047	A	Interest	J	T					
29. GNMA GNR 2017-170 QU 3% 11/20/2047	A	Interest	J	T					
30. GNMA 2018-154 MU 4% 11/20/2048	A	Interest	K	T					
31. GNMA 2016-170 A 2.5% 04/20/2046	A	Interest	J	T					
32. GNMA 2018-006 WA 3% 01/20/2048	A	Interest	J	T					
33. GNMA 2018-091 WU 4% 07/20/2048	A	Interest	K	T					
34. GNMA 2018-160 AH 4% 02/20/2048	A	Interest	K	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

Q =Appraisal

U =Book Value

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

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35. GNMA 2018-152 CA 4% 10/20/2048	A	Interest	K	T					
36. GNMA TB 3.5% 06/20/2048	A	Interest	K	T	Buy	09/23/19	K		
37. GNMA 2019-005 EA 4% 01/20/2049	A	Interest	J	T	Buy	01/29/19	K		
38. GNMA KV 3.5% 01/20/2049	A	Interest	J	T	Buy	01/24/19	J		
39. GNMA JE 4% 03/20/2049	A	Interest	J	T	Buy	03/26/19	J		
40. GNMA UG 3% 06/20/2049	A	Interest	J	T	Buy	11/18/19	J		
41. GNMA GA 3% 07/20/2049	A	Interest	K	T	Buy	07/25/19	K		
42. Freddie Mac YA 2.5% 03/25/2048	A	Interest	J	T	Buy	10/16/19	J		
43. TD Ameritrade Money Market	A	Interest	M	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

Q =Appraisal

U =Book Value

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

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

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Name of Person Reporting

Clay, Eric L.

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10/16/2020

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/ Eric L. Clay**

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