

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) Batchelder, Alice M.	2. Court or Organization 6th Cir. Ct. of Appeals	3. Date of Report 05/15/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior	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 [REDACTED] [REDACTED]		
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. Member	Intellectual Property Law & Technology Advisory Council - University of Akron School of Law
2. Member	Board of Trustees - Grove City College - see note 1
3. Member	Board of Directors - Foundation for Research on Economics and the Environment
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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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.		
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2018	OPERS - pension
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
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.	First Nat'l Bank of Wyoming	Mtge/Note on Property # 21	K
2.	Westfield Bank	Mtge/Note on Properties 1, 8, 14, 20	M
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. Account # 1 -- IRA (H)									
2. - Sequoia Financial Group Cash Account	A	Interest	J	T					
3. CORP PIMCO Investment Grade Corp. Bond	A	Dividend	J	T					
4. SCHE Schwab Emerging Markets	A	Dividend	J	T					
5. SCHR Schwab Intermediate Term	A	Dividend	J	T	Buy	08/06/18	J		
6.					Buy	12/21/18	J		
7.					Sold (part)	12/13/18	J	A	
8. SCHC Schwab Int'l Small	A	Dividend	J	T					
9. SCHZ Schwab US aggregate bond	A	Dividend	J	T	Buy	08/06/18	J		
10.					Sold	12/13/18	J	A	
11.					Buy	12/21/18	J	A	
12. SCHV Schwab US Large Cap	A	Dividend	J	T					
13. SCHX Schwab US Large Cap	A	Dividend	J	T	Sold (part)	08/06/18	J	A	
14.					Sold	12/13/18	J	A	
15.					Buy	12/21/18	J	A	
16. SCHA Schwab US Small Cap	A	Dividend	J	T					
17. RWO Spdr Dow Jones Global	A	Dividend	J	T	Buy	08/06/18	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
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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☐ 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.					Sold (part)	12/13/18	J	A	
19.					Sold (part)	12/18/18	J	A	
20. CWI/ SPDR MSCI ACWI EX-US	A	Dividend	J	T	Sold	08/06/18	J	A	
21.					Buy	12/21/18	J		
22. ACIM/SPDR MSCI ACWI IMI ETF	A	Dividend	J	T	Sold (part)	12/13/18	J	A	
23. GII/SPDR S&P Global	A	Dividend	J	T	Sold (part)	12/21/18	J	A	
24. AGGY Wisdomtree Barclays Yield US	A	Dividend	J	T	Buy	08/06/18	J		
25.					Sold (part)	12/13/18	J	A	
26. GNR/SPDR S+P Global Nat'l	A	Dividend	J	T	Sold	08/06/18	J	A	
27.					Sold (part)	12/21/18	J	A	
28. Account #2 - IRA (H)									
29. -Sequoia Financial Group Cash Account	A	Interest	J	T					
30. CORP/AMCO Invest Grade Corp	A	Dividend	J	T					
31. SCHE/ Schwab Emerging Markets	A	Dividend	J	T					
32. SCHR/ Schwab Intermediate term	A	Dividend	J	T	Buy (add'l)	08/06/18			
33.					Sold (part)	12/13/18	J	A	
34.					Buy (add'l)	12/21/18			

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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☐ 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. SCHC/ Schwab Intern'l Small	A	Dividend	J	T					
36. SCHZ/ Schwab US aggregate bond	A	Dividend	J	T	Buy (add'l)	08/06/18	J		
37.					Sold (part)	12/13/18	J	A	
38.					Buy (add'l)	12/21/18	J		
39. SCHV/ Schwab US Large Cap	A	Dividend	J	T					
40. SCHX/ Schwab US Large Cap	A	Dividend	K	T	Sold (part)	08/06/18	J	A	
41.					Sold (part)	12/13/18	J	A	
42.					Buy (add'l)	12/21/18	J		
43. SCHA/Schwab US Small Cap	A	Dividend	J	T					
44. RWO SPDR Dow Jones Global Real Estate	A	Dividend	J	T	Buy (add'l)	08/06/18	J		
45.					Sold (part)	12/13/18	J	A	
46.					Sold (part)	12/21/18	J	A	
47. CWI SPDR MSCI ACWI Ex-US	A	Dividend	K	T	Sold	08/06/18	J	A	
48.					Buy	12/21/18	J		
49. ACIM SPDR MSCI ACWI IMI	A	Dividend	K	T	Sold (part)	12/13/18	J	A	
50. GII/ SPDR S&P Global Infrastructure	A	Dividend	J	T	Sold (part)	12/21/18	J	A	
51. GNR SPDR Global Natural Resources	A	Dividend			Sold	12/21/18	J	A	

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		
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52. AGGY Wisdomtree Barclays yield US	A	Dividend	J	T	Buy	08/06/18	J		
53.					Sold (part)	12/13/18	J	A	
54. Account #3 - IRA (H)									
55. - Sequoia Financial Group Cash Account	A	Interest	J	T					
56. GWPFX American Funds Growth	A	Dividend	K	T	Buy (add'l)	12/27/18	J		
57. IVW I Shares S&P 500 Growth	A	Dividend	J	T					
58. BLPFX/American Moderate Growth	A	Dividend	K	T					
59.					Buy (add'l)	03/26/18	J		
60.					Buy (add'l)	06/28/18	J		
61.					Buy (add'l)	09/25/18	J		
62.					Buy (add'l)	12/27/18	J		
63.					Buy (add'l)	12/28/18	J		
64. Real Estate (H)									
65. Prop. # 1 -- duplex -- Medina, Ohio	D	Rent	M	W					
66. Prop. # 2 -- 2-family -- Medina, Ohio (1/3 int.) see note 2					Sold	01/29/18	K	B	See note 2
67. Prop. # 3 -- Single family -- Medina, Ohio (1/3 int.) see note 2					Sold	01/29/18			See note 2
68. Prop. # 4 -- 4 duplex units -- Medina, Ohio (1/2 interest)	D	Rent	M	W					

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	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
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3 Value Method Codes (See Column C2)					

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	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)
69. Prop. # 5 -- 2 duplex units -- Medina, Ohio (1/2 interest)	D	Rent	L	W					
70. Prop. # 6 -- 2-fam. & 3-fam. Houses -- Medina, OH (1/2 int)	D	Rent	L	W					
71. Prop. # 7 -- Apartments -- Medina, Ohio (1/3 interest)	E	Rent	N	W					
72. Prop. # 8 -- 2 duplex units -- Medina OH	D	Rent	M	W					
73. Prop. # 9 -- Farm -- Lodi, OH	D	Rent	O	W					
74. Prop. # 10 -- hog feeder, Lodi, OH (1/5 int)		None	J	W					
75. Prop. # 11 -- single family -- Medina OH	D	Rent	M	W					
76. Prop. # 12 -- single family -- Medina, OH (1/2 interest)	C	Rent	K	W					
77. Prop. # 13 -- Commercial bldg -- Medina OH (2/3 interest)	E	Rent	N	W					
78. Prop. # 14 -- duplex -- Medina, OH	E	Rent	M	W					
79. Prop. # 15 -- vacant lot -- Medina, OH (1/2 interest)		None	K	W					
80. Prop. # 16 -- Vacant land -- Medina, OH		None	K	W					
81. Prop. # 17 -- single family -- Medina, OH	D	Rent	M	W					
82. Prop. # 18 -- single family -- Medina OH (1/2 interest)	B	Rent	K	W					
83. Prop. # 19 -- commercial bldg -- Medina OH	E	Rent	M	W					
84. Prop. # 20 -- Comm. Bldg with apt. -- Medina OH	D	Rent	M	W					
85. Prop. # 21 -- Vacant land -- Big Horn County, WY County, WY	A	Rent	N	W					

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(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	
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	(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)
86. Misc. (H)									
87. Farmers Savings Bank accounts (cash accounts)	A	Interest	M	T					
88. Huntington National Bank accounts (cash accounts)	A	Interest	K	T					

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

Note 1: The "audit" feature advises me that I should list the assets of the entity of which I am a trustee. I am assuming that this is not true when that entity is an educational institution, and the audit has simply detected the term "trust" in the item. Otherwise, this requirement is ridiculous, and I cannot comply with it.

Note 2: These properties were sold as a unit. The value code for the two together is "K" and the gain code for the two together is "B". The software will not let me enter the complete name of the buyer, but if it is important to you, it was MGM Landscaping and Contracting, Inc.

Note 3: I understand that next year's software will be all new. Another opportunity for the committee to make the font a little smaller. I have again spent hours smashing my nose against my monitor screen in order to read the font, but it's really hard to use the keyboard in that position. Fortunately, I now have a really good chiropractor who can fix my neck now that I am through with the report for another year.

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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/ **Alice M. Batchelder**

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