

**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) Batchelder, Alice M.	2. Court or Organization 6th Cir. Ct. of Appeals	3. Date of Report 05/22/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address [REDACTED] [REDACTED]		
IMPORTANT NOTES: <i>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>		

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. 2019	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. University of Colorado School of Law	3-6 through 3-8	Boulder, Colorado	Moot Court judge	travel and hotel
2.				
3.				
4.				
5.				

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Batchelder, Alice M.	05/22/2020

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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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)
1. Account # 1 -- IRA (H)									
2. - Sequoia Financial Group Cash Account	A	Interest	J	T					
3. Pimco Investment Grade (CORP)	A	Dividend	J	T					
4. SCHE Schwab Emerging Markets	A	Dividend	J	T					
5. SCHR Schwab Intermediate Term	A	Dividend	J	T	Buy	08/05/19	J		
6. SCHC Schwab Int'l Small	A	Dividend	J	T	Buy	08/05/19	J		
7. SCHZ Schwab US aggregate bond	A	Dividend	J	T	Buy	08/05/19	J		
8. SCHG Schwab US Large Cap	A	Dividend	J	T	Buy	08/05/19	J		
9. SCHV Schwab US Large Cap	A	Dividend	J	T					
10. SCHX Schwab US Large Cap	A	Dividend	J	T	Sold	12/19/19	J	A	
11. SCHA Schwab US Small Cap	A	Dividend	J	T					
12. SPDR DOW Jones Global (RWO)	A	Dividend	J	T					
13. CWI/ SPDR MSCI ACWI EX-US	A	Dividend	J	T	Sold (part)	08/05/19	J	A	
14.					Sold	12/19/19	J	A	
15. ACIM/SPDR MSCI ACWI IMI ETF (new symbol as of 9-23-19 is SPGM)	A	Dividend	J	T	Sold	12/19/19	J	A	
16. GII/SPDR S&P Global	A	Dividend	J	T					
17. AGGY Wisdomtree Barclays Yield US	A	Dividend	J	T					

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		

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)
18. Account #2 - IRA (H)									
19. -Sequoia Financial Group Cash Account	A	Interest	J	T					
20. CORP/AMCO Invest Grade Corp	A	Dividend	J	T					
21. SCHE/ Schwab Emerging Markets	A	Dividend	J	T					
22. SCHR/ Schwab Intermediate term	A	Dividend	J	T					
23. SCHC/ Schwab Intern'l Small	A	Dividend	J	T	Buy	08/05/19	J		
24. SCHZ/ Schwab US aggregate bond	A	Dividend	J	T	Buy	08/05/19	J		
25. SCHV/ Schwab US Large Cap	A	Dividend	J	T	Sold	12/19/19	J	A	
26. SCHX/ Schwab US Large Cap	A	Dividend	K	T	Sold	12/19/19	J	A	
27. SCHG/Schwab US Large Cap	A	Dividend	J	T	Buy	08/05/19	J		
28. SCHA/Schwab US Small Cap	A	Dividend	J	T					
29. RWO SPDR Dow Jones Global Real Estate	A	Dividend	J	T					
30. CWI SPDR MSCI ACWI Ex-US	A	Dividend	K	T	Sold (part)	08/05/19	J	A	
31.					Sold	12/19/19	J	A	
32. ACIM SPDR MSCI ACWI IMI (new symbol as of 9-23-19 is SPGM)	A	Dividend	J	T	Sold	12/19/19	J	A	
33. GII/ SPDR S&P Global Infrastructure	A	Dividend	J	T					
34. AGGY Wisdomtree Barclays yield US	A	Dividend	J	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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☐ 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)
35. Account #3 - IRA (H)									
36. - Sequoia Financial Group Cash Account	A	Interest	J	T					
37. GWPFX American Funds Growth	B	Dividend	K	T					
38. IVW I Shares S&P 500 Growth	A	Dividend	K	T					
39. BLPFX/American Moderate Growth	A	Dividend	K	T					
40. Real Estate (H) see note 2									
41. Prop. # 1 -- duplex -- Medina, Ohio	D	Rent	M	W					
42. Prop. # 4 -- 4 duplex units -- Medina, Ohio (1/2 interest)	D	Rent	M	W					
43. Prop. # 5 -- 2 duplex units -- Medina, Ohio (1/2 interest)	D	Rent	L	W					
44. Prop. # 6 -- 2-fam. & 3-fam. Houses -- Medina, OH (1/2 int)	D	Rent	L	W					
45. Prop. # 7 -- Apartments -- Medina, Ohio (1/3 interest)	E	Rent	N	W					
46. Prop. # 8 -- 2 duplex units -- Medina OH	D	Rent	M	W					
47. Prop. # 9 -- Farm -- Lodi, OH	D	Rent	O	W					
48. Prop. # 10 -- hog feeder, Lodi, OH (1/5 int)		None	J	W					
49. Prop. # 11 -- single family -- Medina OH	D	Rent	M	W					
50. Prop. # 12 -- single family -- Medina, OH (1/2 interest)	C	Rent	K	W					
51. Prop. # 13 -- Commercial bldg -- Medina OH (2/3 interest)	E	Rent	N	W					

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 =\$250,000,001 - \$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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	(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)
52. Prop. # 14 -- duplex -- Medina, OH	E	Rent	M	W					
53. Prop. # 15 -- vacant lot -- Medina, OH (1/2 interest)		None	K	W					
54. Prop. # 16 -- Vacant land -- Medina, OH		None	K	W					
55. Prop. # 17 -- single family -- Medina, OH	D	Rent	M	W					
56. Prop. # 18 -- single family -- Medina OH (1/2 interest)	B	Rent	K	W					
57. Prop. # 19 -- commercial bldg -- Medina OH	E	Rent	M	W					
58. Prop. # 20 -- Comm. Bldg with apt. -- Medina OH	D	Rent	M	W					
59. Prop. # 21 -- Vacant land -- Big Horn County, WY	A	Rent	N	W					
60. Misc. (H)									
61. Farmers Savings Bank accounts (cash accounts)	A	Interest	N	T					
62. Huntington National Bank accounts (cash accounts)	A	Interest	L	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

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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: Property #s 2 and 3 were sold in 2018. For ease of comparing this report with last year's, I have not changed the numbering on the remaining properties.

Note 3: This software has certainly not improved, but now that I am a senior judge (although my eyesight has certainly not improved either) I am more relaxed about having to fight with it.

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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
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Washington, D.C. 20544