

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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, Southern District of Ohio	3. Date of Report 04/12/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District Judge (Senior)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2020 to 12/31/2020
7. Chambers or Office Address United States District Court 200 West Second Street 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Trustee	Trust #1 (reportable assets are included in Part VII)
2. Trustee	Trust #2 (reportable assets are included in Part VII)
3. Board of Directors	Building Bridges
4. Trustee	National Aviation Heritage Foundation
5. Trustee	Wright Dunbar
6. Board of Advisors	University of Dayton School of Law
7. Chairperson	Dayton Dialogue on Race Relations
8. Co-chair	Ex-Offender Reentry Council
9. Chairman of the Board	American Veterans Heritage Commission

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.	

Name of Person Reporting	Date of Report
Rice, Walter H.	04/12/2021

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. 2020	Ohio Public Employees Retirement System (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.

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. Individual Assets (H)									
2. Fifth-Third Bank (cash)	A	Interest	N	T					
3. KeyBank (cash)	A	Interest	L	T					
4. Account #1 (H)									
5. Comm Services Select Sector (XLC)	A	Dividend	J	T					
6. Consumer Discretionary (XLY)	A	Dividend	J	T					
7. First TR Exchange Traded (FDN)		None	J	T	Sold (part)	05/12/20	J	A	
8. First Trust Cloud Computing ETF (SKYY) (X)	A	Dividend	J	T					
9. Health Care Select SPDR (XLV)	A	Dividend	J	T	Buy (add'l)	05/14/20	J		
10. IShares NASDAQ Biotech (IBB)	A	Dividend	J	T					
11. IShares Core S&P US Growth ETF (IUSG)	A	Dividend	J	T					
12. IShares Core S&P US Value ETF (IUSV)	A	Dividend	J	T					
13. Ishares MSCI Emerging (EEMA)	A	Dividend	J	T					
14. Materials Select Sector (XLB) (Y)									
15. Real Estate Select (XLRE) (Y)									
16. Sector SPDR Consrms Stpl (XLP)	A	Dividend	J	T	Sold (part)	05/12/20	J	A	
17. Sector SPDR Energy (XLE) (Y)									

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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18. Sector SPDR Industrial (XLI)	A	Dividend	J	T					
19. Sector SPDR Utilities (XLU) (Y)									
20. Vanguard Financials ETF (VFH)	A	Dividend	J	T					
21. Vanguard Information (VGT)	A	Dividend	J	T	Buy (add'l)	05/14/20	J		
22. Vanguard FTSE Developed Markets ETF (VEA)	A	Dividend	J	T					
23. Account #2 (H)									
24. ML Bank Deposit Program (cash)	A	Interest	J	T					
25. Abbott Labs (ABT)	A	Dividend	J	T	Buy	05/15/20	J		
26.					Sold (part)	05/29/20	J	A	
27. Air Products & Chem (APD)	A	Dividend	J	T	Buy (add'l)	03/23/20	J		
28.					Sold (part)	05/15/20	J	A	
29. Alphabet Inc Shs Cl A (GOOGL)		None	K	T	Buy	05/15/20	K		
30. Amazon Com Inc Com (AMZN)		None	K	T	Buy	05/15/20	K		
31.					Sold (part)	06/16/20	J	A	
32.					Sold (part)	08/04/20	J	A	
33. Amer Express Company (AXP)	A	Dividend			Buy	05/15/20	J		
34.					Buy (add'l)	06/04/20	J		

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35.					Sold	09/25/20	J	A	
36. American Tower Reit Inc (AMT)	A	Dividend	J	T	Buy	05/15/20	J		
37. Amgen Inc Com (AMGN)	A	Dividend			Sold (part)	03/25/20	J	A	
38.					Sold	05/15/20	J	B	
39. Amn Elec Power (AEP)	A	Dividend			Sold (part)	05/15/20	J		
40.					Sold	10/06/20	J	A	
41. AT&T Inc. (T)	A	Dividend			Buy (add'l)	03/06/20	J		
42.					Sold	05/15/20	K		
43. Anthem Inc (ANTM)	A	Dividend	J	T	Buy	05/15/20	J		
44. Aon Plc Reg Shs (AON)	A	Dividend	J	T	Buy	05/15/20	J		
45. Apple Inc (AAPL)	A	Dividend	K	T	Buy	05/15/20	K		
46.					Sold (part)	05/19/20	J	A	
47.					Sold (part)	08/04/20	J	B	
48.					Buy (add'l)	09/28/20	J		
49. Ball Corp Com (BLL)	A	Dividend	J	T	Buy	05/15/20	J		
50. Becton Dickinson Co (BDX)	A	Dividend	J	T	Buy	05/15/20	J		
51.					Sold (part)	12/07/20	J		

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52. Blackstone Group Inc Com Cl A (BX)	A	Dividend			Sold (part)	03/06/20	J	A	
53.					Sold	03/20/20	J		
54. Blackrock Inc (BLK)	A	Dividend	J	T	Buy	03/20/20	J		
55.					Buy (add'l)	03/25/20	J		
56.					Buy (add'l)	03/26/20	J		
57.					Buy (add'l)	03/27/20	J		
58.					Buy (add'l)	03/30/20	J		
59.					Buy (add'l)	03/31/20	J		
60.					Sold (part)	05/15/20	J	B	
61. Bristol-Myers Squibb Co (BMY)	A	Dividend			Buy (add'l)	04/13/20	J		
62.					Sold	05/15/20	J	B	
63. Broadcom Ltd (AVGO)	A	Dividend			Buy (add'l)	03/25/20	J		
64.					Buy (add'l)	03/26/20	J		
65.					Sold	05/15/20	K	A	
66. Capital One Finl (COF)	A	Dividend	J	T	Buy	05/15/20	J		
67. Carrier Global Corp Reg (CARR)		None			Spinoff (from line 185)	04/07/20	J		
68.					Sold	04/13/20	J		

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69. Caterpillar Inc Del (CAT)	A	Dividend			Sold (part)	04/13/20	J		
70.					Sold	04/14/20	J		
71. Chevron Corp (CVX)	A	Dividend	J	T	Sold	01/09/20	J		
72.					Buy	04/13/20	J		
73.					Buy (add'l)	04/14/20	J		
74.					Sold (part)	05/15/20	J	A	
75. Chubb Ltd (CB)	A	Dividend			Sold (part)	04/27/20	J		
76.					Sold (part)	04/28/20	J		
77.					Sold	05/15/20	J		
78. Cisco Systems Inc Com (CSCO)	A	Dividend	J	T	Sold (part)	03/25/20	J	A	
79.					Sold (part)	05/15/20	J	A	
80. Citigroup Inc Com New (C)	A	Dividend	J	T	Buy (add'l)	03/20/20	J		
81.					Buy (add'l)	04/13/20	J		
82.					Sold (part)	05/15/20	J		
83.					Buy (add'l)	11/30/20	J		
84. Clorox Co Del Com (CLX)	A	Dividend			Buy	03/20/20	J		
85.					Sold	05/15/20	J	A	

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86. Comcast Corp New Cl A (CMCSA)		None	J	T	Buy	12/09/20	J		
87.					Buy (add'l)	12/10/20	J		
88. Constellation Brands Inc (STZ)	A	Dividend	J	T	Buy	05/15/20	J		
89.					Sold (part)	09/29/20	J		
90. Costco Wholesale Crp Del (COST)	A	Dividend	K	T	Buy	05/15/20	J		
91.					Buy (add'l)	08/05/20	J		
92. Coca Cola Com (KO)	A	Dividend			Sold (part)	04/13/20	J	A	
93.					Sold (part)	04/14/20	J	A	
94.					Sold	05/15/20	J	A	
95. Crown Castle REIT Inc (CCI)	A	Dividend			Buy (add'l)	03/20/20	J		
96.					Sold	05/15/20	J	B	
97. CSX Corp (CSX)		None			Buy	04/27/20	J		
98.					Buy (add'l)	04/28/20	J		
99.					Buy (add'l)	05/04/20	J		
100.					Sold	05/15/20	J		
101. Danaher Corp Del Com (DHR)	A	Dividend	J	T	Buy	05/15/20	J		
102. Digital Rlty Tr Inc. (DLR)	A	Dividend			Buy (add'l)	02/20/20	J		

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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103.					Buy (add'l)	02/21/20	J		
104.					Buy (add'l)	02/24/20	J		
105.					Sold (part)	04/27/20	J	A	
106.					Sold	05/15/20	J	B	
107. Disney (Walt) Co Com Stk (DIS)		None	K	T	Buy	05/15/20	J		
108.					Buy (add'l)	06/04/20	J		
109.					Sold (part)	10/06/20	J	A	
110.					Sold (part)	12/07/20	J	A	
111. Eli Lilly & Co (LLY)	A	Dividend	J	T	Buy	02/21/20	J		
112.					Buy (add'l)	02/24/20	J		
113.					Buy (add'l)	03/20/20	J		
114. Entergy Corp New (ETR)	A	Dividend			Sold	05/15/20	J		
115. Equinix Inc (EQIX)	A	Dividend	J	T	Buy	05/15/20	J		
116. Exxon Mobile Corp (XOM)	A	Dividend			Sold (part)	03/20/20	J		
117.					Sold	03/23/20	J		
118. FedEx Corp Delaware Com (FDX.DE)	A	Dividend	J	T	Buy	10/08/20	J		
119.					Buy (add'l)	11/12/20	J		

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(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.)

☐ 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. Fidelity Natl Info Svcs (FIS)	A	Dividend	J	T	Buy	05/15/20	J		
121.					Buy (add'l)	10/30/20	J		
122. Fifth Third Bancorp (FITB)	A	Dividend			Sold	05/15/20	J		
123. Fiserv Inc Wisc (FISV)		None	J	T	Buy	05/15/20	J		
124.					Buy (add'l)	06/01/20	J		
125. Hilton Worldwide (HLT)		None	J	T	Buy	05/15/20	J		
126.					Buy (add'l)	09/29/20	J		
127. Home Depot Inc (HD)	A	Dividend	J	T					
128. Honeywell Intl Inc Del (HON)	A	Dividend	J	T	Buy	05/15/20	J		
129. Intel Corp (INTC)	A	Dividend			Buy	05/15/20	J		
130.					Buy (add'l)	05/20/20	J		
131.					Sold	10/23/20	J		
132. Intercontinental Exchange Inc (ICE)	A	Dividend	J	T	Buy	05/19/20	J		
133.					Buy (add'l)	05/20/20	J		
134. Intuit Inc Com (INTU)	A	Dividend	J	T	Buy	05/15/20	J		
135. Johnson and Johnson Com (JNJ)		None			Buy	04/21/20	J		
136.					Buy (add'l)	04/22/20	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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Name of Person Reporting

Rice, Walter H.

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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)
137.					Buy (add'l)	04/23/20	J		
138.					Sold	05/15/20	J		
139. JP Morgan Chase & Co (JPM)	A	Dividend	K	T	Sold (part)	05/15/20	J		
140.					Buy (add'l)	11/25/20	J		
141.					Buy (add'l)	12/09/20	J		
142. Kansas City Southern (KSU)		None	J	T	Buy	12/09/20	J		
143. Kinder Morgan Inc. (KMI)	A	Dividend			Buy (add'l)	02/20/20	J		
144.					Buy (add'l)	02/24/20	J		
145.					Sold	05/15/20	J		
146. Lockheed Martin Corp (LMT)	A	Dividend	J	T	Buy (add'l)	04/13/20	J		
147.					Sold (part)	05/15/20	J	A	
148.					Buy (add'l)	06/16/20	J		
149.					Sold (part)	11/10/20	J	A	
150. McDonalds Corp. (MCD)	A	Dividend	J	T	Sold (part)	03/20/20	J	A	
151. Medtronic Plc SHS (MDT)	A	Dividend			Buy (add'l)	04/13/20	J		
152.					Sold	05/15/20	J		
153. Merk and Co Ins SHS (MRK)	A	Dividend			Sold (part)	04/21/20	J	A	

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

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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)
154.					Sold (part)	04/22/20	J	A	
155.					Sold (part)	05/15/20	J	A	
156.					Sold	10/30/20	J		
157. Microchip Technology Inc (MCHIP)	A	Dividend	J	T	Buy	05/15/20	J		
158. Microsoft Corp (MSFT)	A	Dividend	K	T	Buy (add'l)	03/06/20	J		
159.					Buy (add'l)	05/15/20	K		
160.					Sold (part)	06/04/20	J	B	
161.					Sold (part)	08/04/20	J	A	
162.					Sold (part)	12/07/20	J	B	
163. Nextera Energy Inc Shs (NEE)	A	Dividend	K	T	Buy	05/15/20	J		
164. Nike Inc Cl B (NKE)	A	Dividend	J	T	Buy	05/19/20	J		
165.					Buy (add'l)	10/08/20	J		
166. Northrop Grumman Corp (NOC)	A	Dividend	J	T	Buy	05/15/20	J		
167.					Sold (part)	11/09/20	J		
168. Otis Worldwide Corp Reg (OTIS)		None			Spinoff (from line 185)	04/07/20	J		
169.					Sold	04/13/20	J		
170. Parker Hannifin Corp (PH)		None	J	T	Buy	11/13/20	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.)

☐

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)
171.					Buy (add'l)	11/16/20	J		
172. Pepsico Inc (PEP)	A	Dividend	J	T	Buy (add'l)	05/15/20	J		
173. Pfizer Inc. (PFE)	A	Dividend			Sold (part)	02/20/20	J		
174.					Sold	02/21/20	J		
175. Procter & Gamble Co (PG)	A	Dividend	J	T	Buy (add'l)	04/13/20	J		
176.					Sold (part)	05/15/20	J		
177.					Sold (part)	06/04/20	J		
178.					Sold (part)	12/07/20	J	A	
179. Progressive Corp Ohio (PGR)		None	J	T	Buy	11/12/20	J		
180. Prudential Financial Inc (PRU)	A	Dividend			Buy (add'l)	03/20/20	J		
181.					Sold	05/15/20	J		
182. Prologis Inc (PLD)	A	Dividend	J	T	Buy	05/15/20	J		
183. Qualcomm Inc (QCOM)	A	Dividend	J	T	Buy	10/08/20	J		
184.					Buy (add'l)	11/12/20	J		
185. Raytheon Technologies (RTX)	A	Dividend			Sold (part)	04/13/20	J		
186.					Sold	04/14/20	J		
187.					Buy	05/15/20	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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Name of Person Reporting

Rice, Walter H.

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04/12/2021

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.					Sold (part)	05/19/20	J	A	
189.					Sold	10/06/20	J	A	
190. Realty Incom Crp Md (O)	A	Dividend			Buy	01/28/20	J		
191.					Buy (add'l)	01/29/20	J		
192.					Buy (add'l)	01/31/20	J		
193.					Buy (add'l)	02/20/20	J		
194.					Buy (add'l)	02/24/20	J		
195.					Buy (add'l)	02/25/20	J		
196.					Buy (add'l)	02/26/20	J		
197.					Sold	05/15/20	J		
198. Ross Stores Inc Com (ROST)		None	J	T	Buy	05/15/20	J		
199. Royal Bank Canada (RY)	A	Dividend			Sold	05/15/20	J		
200. Royal Dutch Shell PLC Spons ADR B (RDSB)	A	Dividend			Sold (part)	01/17/20	J	A	
201.					Sold (part)	01/21/20	J	A	
202.					Sold (part)	01/22/20	J	A	
203.					Sold (part)	01/28/20	J	A	
204.					Sold (part)	01/29/20	J	A	

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
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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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)
205.					Sold (part)	02/20/20	J		
206.					Sold (part)	02/21/20	J		
207.					Sold	02/24/20	J		
208. Salesforce Com Inc (CRM)		None	J	T	Buy	05/15/20	J		
209. Stryker Corp (SYK)	A	Dividend	J	T	Buy	05/15/20	J		
210. Target Corp (TGT)	A	Dividend			Sold	05/15/20	J	C	
211. Texas Instruments (TXN)		None	J	T	Buy	11/12/20	J		
212. Thermo Fisher Scientific (TMO)	A	Dividend	J	T	Buy	05/15/20	J		
213.					Sold (part)	11/25/20	J	A	
214. Thomson Reuters Corp Reg (TRI)	A	Dividend	J	T	Buy	05/15/20	J		
215. TJX Cos Inc New (TJX)		None	J	T	Buy	05/15/20	J		
216.					Buy (add'l)	11/25/20	J		
217. Toronto Dominion Bank (TD)	A	Dividend			Sold	05/15/20	J		
218. Total SE (TOT)		None	J	T	Buy	12/09/20	J		
219.					Buy (add'l)	12/10/20	J		
220. Trane Technologies PLC (TT)		None			Buy	10/08/20	J		
221.					Buy (add'l)	10/30/20	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	

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)
222.					Sold	11/11/20	J	A	
223. Truist Finl Corp (TFC)	A	Dividend	J	T	Sold (part)	03/06/20	J		
224.					Sold (part)	03/09/20	J		
225.					Sold (part)	03/10/20	J		
226. Union Pacific Corp (UNP)	A	Dividend	J	T	Buy	05/15/20	J		
227. United Health Group Inc (UNH)	A	Dividend	J	T	Buy	05/15/20	J		
228. United Parcel Svc CL B (UPS)	A	Dividend			Sold	05/15/20	J		
229. United Techs Corp Com (UTX)	A	Dividend			Sold (part)	03/20/20	J		
230.					Merged (with line 185)	04/07/20	J		
231. V F Corporation (VFC)	A	Dividend			Buy (add'l)	01/02/20	J		
232.					Buy (add'l)	01/06/20	J		
233.					Sold (part)	03/20/20	J		
234.					Sold	05/15/20	J		
235. Verizon Communicatns Com (VZ)	A	Dividend	J	T	Buy (add'l)	03/20/20	J		
236.					Sold (part)	05/15/20	J		
237.					Sold (part)	12/07/20	J	A	
238. Visa Inc Cl A Shrs (V)	A	Dividend	K	T	Buy	05/15/20	K		

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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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)
239. Walmart Inc (WMT)	A	Dividend	K	T	Sold (part)	03/25/20	J	A	
240.					Sold (part)	04/21/20	J	A	
241.					Buy (add'l)	05/15/20	J		
242.					Sold (part)	06/04/20	J	A	
243.					Buy (add'l)	10/08/20	J		
244. Waste Mangement Inc New (WM)	A	Dividend			Buy	05/15/20	J		
245.					Sold (part)	10/27/20	J	A	
246.					Sold	10/28/20	J	A	
247. Zoetis Inc (ZTS)	A	Dividend	K	T	Buy	05/15/20	K		
248. Comm Services Select (XLC)	A	Dividend	K	T	Buy (add'l)	01/16/20	J		
249.					Sold (part)	04/15/20	J		
250.					Buy (add'l)	04/16/20	J		
251.					Sold (part)	05/13/20	J	A	
252.					Sold (part)	05/15/20	J	A	
253. Consumer Discretionary SPDR (XLY)	A	Dividend	K	T	Buy (add'l)	01/16/20	J		
254.					Sold (part)	03/11/20	J	B	
255.					Sold (part)	04/13/20	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		
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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Name of Person Reporting

Rice, Walter H.

Date of Report

04/12/2021

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)
256.					Sold (part)	04/14/20	J	A	
257.					Sold (part)	05/13/20	J	B	
258.					Sold (part)	05/15/20	J	A	
259.					Sold (part)	10/20/20	J	B	
260. First Trust Dow Jones (FDN)		None	K	T	Sold (part)	04/13/20	J	A	
261.					Sold (part)	05/13/20	J	A	
262. First Trust Cloud Comp ETF (SKYY)	A	Dividend	K	T	Sold (part)	04/13/20	J	A	
263.					Sold (part)	05/13/20	J	B	
264. Health Care Select SPDR (XLV)	A	Dividend	K	T	Sold (part)	03/11/20	J	A	
265.					Sold (part)	04/13/20	J	A	
266.					Buy (add'l)	04/16/20	J		
267.					Buy (add'l)	05/15/20	J		
268.					Sold (part)	05/15/20	J	A	
269. Ishares Nasdaq Biotech (IBB)	A	Dividend	J	T	Sold (part)	03/11/20	J	A	
270.					Sold (part)	04/13/20	J	A	
271. IShares S&P Small Cap 600 Growth (IJT)	A	Dividend	J	T					
272. IShares S&P Small Cap 600 Value (IJS)	A	Dividend	J	T	Buy (add'l)	05/19/20	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	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Rice, Walter H.

Date of Report

04/12/2021

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)
273. IShares Core S&P US Growth ETF (IUSG)	A	Dividend	L	T	Sold (part)	04/13/20	J	A	
274.					Sold (part)	05/15/20	J	A	
275. IShares Core S&P US Value ETF (IUSV)	B	Dividend	K	T					
276. Pacer Benchmark Data and Infrastructure (SRVR)	A	Dividend	J	T	Buy	10/22/20	J		
277. Proshares Online Retail ETF (ONLN)	A	Dividend	J	T	Buy	10/22/20	J		
278. Real Estate Select Sector SPDR FD SHS (XLRE)	A	Dividend			Sold (part)	05/13/20	J		
279.					Sold	10/20/20	J	A	
280. SPDR Financial Sector (XLF)	A	Dividend	J	T	Sold (part)	01/16/20	J	A	
281.					Buy (add'l)	05/15/20	J		
282.					Sold (part)	08/12/20	J	A	
283. Vanguard Consumer (VDC)	A	Dividend	K	T	Buy (add'l)	05/15/20	J		
284. Vanguard Materials (VAW)	A	Dividend	J	T					
285. Vanguard Information Tech (VGT)	A	Dividend	L	T	Sold (part)	01/16/20	J	B	
286.					Sold (part)	03/11/20	J	A	
287.					Sold (part)	05/13/20	J	A	
288.					Sold (part)	05/15/20	J	B	
289.					Sold (part)	08/12/20	J	B	

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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Name of Person Reporting

Rice, Walter H.

Date of Report

04/12/2021

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)
290. Vanguard Industrial (VIS)	A	Dividend	K	T	Buy (add'l)	03/13/20	J		
291.					Sold (part)	04/14/20	J	A	
292.					Buy (add'l)	05/15/20	J		
293.					Sold (part)	08/12/20	J	A	
294. Vanguard FTSE Developed Markets ETF (VEA)	B	Dividend	L	T	Buy (add'l)	04/15/20	J		
295. Account #3 (H)									
296. ML Bank Deposit Program (cash) (was BIF Money Fund (cash))	A	Interest	J	T					
297. Albuquerque NM Mun SD (013595TG8)	B	Interest			Redeemed	08/03/20	K		
298. Delaware Cnty PA Auth Rev Villanova Univ (245913LA4)	C	Interest			Redeemed	08/03/20	L		
299. North Dakota Pub Fin (65887PRK3)	C	Interest			Redeemed	10/01/20	L		
300. Milwaukee Wis Sew Rev (60242MCD3)	C	Interest	M	T					
301. Massachusetts ST Dev Fin (57584XUB5)	C	Interest	M	T					
302. Wake Cnty NC Ltd Oblig (930876CL9)	B	Interest	L	T					
303. Met Gvt Nashville-Davidson Co Tn Rf (592112LW4)	B	Interest	L	T					
304. Delaware St Ser B RF (246381FC6)	C	Interest	L	T					
305. Chicago Ill O Hare Intl (167593B92)	B	Interest	L	T					
306. Honolulu HI CY-CO WWTR Sys Rev Sr- First BD (438701J96)	C	Interest	L	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)	(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)
307. New York St Dorm Auth St Pers Income Tax Rev D RF (64990E5P8)	C	Interest	L	T					
308. Granite Sch Dist Utah Salt Lake Cnty (387460QJ0)		None	L	T	Buy	10/22/20	L		
309. Sioux Falls SD Sales Tax (829594LQ1)	B	Interest	L	T					
310. Minnesota St. Ser D (60412AGR8)	C	Interest	L	T					
311. Orlando Fla Utils Commn Util Sys Rev Ref BDS (686507JP0)		None	K	T	Buy	09/30/20	K		
312. Denver Colo City & Cnty Sch Dist NO1 Sch GTD (249174VF7)	C	Interest	L	T					
313. New Jersey St Tpk Auth (646139B20)	B	Interest	L	T					
314. District Columbia Income (25477GQB4)	B	Interest	L	T	Buy	08/14/20	L		
315. Fort Bend Tex Indpt Sch Dist (346843QN8)	B	Interest	L	T					
316. Mississippi St Lt SER B (605581HZ3)	C	Interest	L	T					
317. Washington St Var Purp (93974D2S6)	C	Interest	L	T					
318. Account #4 (H)									
319. ML Bank Deposit - BOA (cash)	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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Name of Person Reporting	Date of Report
Rice, Walter H.	04/12/2021

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

Part VII, line 139: Consolidation of lines 124 and 179 of the prior report.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Rice, Walter H.

Date of Report

04/12/2021

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
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One Columbus Circle, N.E.
Washington, D.C. 20544