

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Battani, Marianne O.	2. Court or Organization USDC, Eastern District of MI	3. Date of Report 05/10/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. District Judge, senior status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address 231 West Lafayette Detroit, Michigan 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.	1982	State of Michigan Defined Benefit Plan(pension)
2.	1982	County of Wayne Defined Benefit Plan(pension)
3.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 13

Name of Person Reporting

Battani, Marianne O.

Date of Report

05/10/2016

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. 2015	Michigan Judges' Retirement System	\$36,311.16
2. 2015	Wayne County Retirement System	\$18,383.04
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.	
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.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 13

Name of Person Reporting

Battani, Marianne O.

Date of Report

05/10/2016

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 13

Name of Person Reporting

Battani, Marianne O.

Date of Report

05/10/2016

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. FIDELITY INDIVIDUAL ACCOUNT (H)									
2. -Fidelity Cash Reserves Mutual Fund	A	Dividend	K	T					
3. -Fidelity Core Account - Cash	A	Interest	L	T					
4.									
5. EDWARDS JONES IRA ACCOUNT (H)	D	Int./Div.							
6. -Capital Income Builder Fund CI A					Closed	07/06/15	K		
7. -Capital Income Builder Funds CI B					Closed	07/06/15	J		
8. -Euro Pacific Growth Fund CI A					Closed	07/06/15	J		
9. -Fundamental Investors Fund CI A					Closed	07/06/15	L		
10. -Fundamental Investors Fund CI B					Closed	07/06/15	J		
11. -Hartford Balanced Income Fund CI A					Closed	07/06/15	K		
12. -American Balanced Fund CI A					Buy (add'l)	01/29/15	K		
13.					Closed	07/06/15	L		
14. -American Balanced Fund CI B					Closed	07/06/15	J		
15. -American High Income Trust CI A					Sold (part)	01/26/15	J		
16.					Closed	07/06/15	J		
17. -American Mutual Fund CI A					Closed	07/06/15	L		

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 H ~\$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	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 13

Name of Person Reporting

Battani, Marianne O.

Date of Report

05/10/2016

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 I (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. -Bond Fund of America Cl A					Sold (part)	01/26/15	K		
19.					Closed	07/06/15	J		
20. -Capital World Bond Fund Cl A					Closed	07/06/15	K		
21. -Franklin Small Cap Value Fund Cl A					Closed	07/06/15	K		
22. -Growth Fund of America Cl A					Closed	07/06/15	J		
23. -Income Fund of America Fund Cl A					Closed	07/06/15	L		
24. -New Economy Fund Cl A					Closed	07/06/15	K		
25. -New World Fund Cl A					Buy (add'l)	01/29/15	J		
26.					Closed	07/06/15	K		
27. -Invesco Build America Bonds Income Trust Series #61					Closed	07/06/15	J		
28. -First Trust Build America Bonds Monthly Cash Series 28					Closed	07/06/15	J		
29. -Invesco Invt Grd Incm 10-20 Yr Series #2					Closed	07/06/15	J		
30. -Invesco Invt Grd Incm 10-20 Yr Series #6					Closed	07/06/15	J		
31. -Hartford Mid Cap Value Fund Cl A					Closed	07/06/15	K		
32. -Franklin Balanced Fund Cl A					Closed	07/06/15	K		
33. -American Funds Global Balanced Fund Cl A					Buy	01/29/15	K		
34.					Closed	07/06/15	K		

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		

FINANCIAL DISCLOSURE REPORT

Page 6 of 13

Name of Person Reporting

Battani, Marianne O.

Date of Report

05/10/2016

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)
35.									
36. EDWARDS JONES SINGLE ACCOUNT (H)									
37. -Edwards Jones Money Market Fund	A	Dividend			Closed	07/09/15	K		
38. -Lord Abbett Short Dur Inc Fd A	A	Dividend			Closed	07/09/15	J		
39. -Franklin High Yield Tax Free Income Fund CI A	A	Dividend			Sold	03/10/15	K		
40. -Franklin Michigan Tax Free Income Fund CI A	B	Dividend			Buy (add'l)	03/10/15	K		
41.					Buy (add'l)	03/12/15	J		
42.					Closed	07/09/15	L		
43. -American Balanced Fund CI A	A	Dividend			Closed	07/09/15	K		
44. -Franklin Convertible Secs Fd A	A	Dividend			Closed	07/09/15	J		
45. -Hartford Equity Income Fd CI A	A	Dividend			Closed	07/09/15	J		
46. -Invesco Unit Trs Unit 1493 Dow Jones Total Mkt Port	A	Dividend			Buy	01/29/15	J		
47.					Closed	07/09/15	J		
48. -Wayne St Univ MI Gen Rev Ser A	A	Interest			Buy	02/05/15	J		
49.					Closed	07/09/15	J		
50.									
51. CHASE BANK (cash account)	A	Interest	M	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 13

Name of Person Reporting

Battani, Marianne O.

Date of Report

05/10/2016

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)
52.									
53. CHASE INVESTMENT PORTFOLIO (H)									
54. -JPMorgan TR II Liquid Assets Mmkt Instl	A	Dividend	J	T					
55. -Blackrock Funds High Yield Bond Portfolio Instl	A	Dividend	J	T	Buy (add'l)	08/24/15	J		
56. -Cohen & Steers Real Estate Securities Fund C1 I	A	Dividend	J	T	Sold (part)	08/24/15	J		
57. -Causeway Cap Mgmt Tr Intl Value Fd Instl C1	A	Dividend	J	T	Buy (add'l)	08/24/15	J		
58. Delaware Group Emergings Markets Fund Instl C1	A	Dividend	J	T	Buy (add'l)	08/24/15	J		
59. Dreyfus Strategic Value Fund C1 I	A	Dividend	J	T	Sold (part)	08/24/15	J		
60. Dodge & Cox Income Fund	A	Dividend	J	T	Sold (part)	08/24/15	J		
61. -Federated High Income Bond Fund Inc C1 A	A	Dividend	J	T	Buy (add'l)	08/24/15	J		
62. -Fidelity Advisor New Insights Fd C1 A	A	Dividend	J	T	Sold (part)	08/24/15	J		
63. -Federated Total Return SERS Inc Ultrashort Bd Fd Instl Shs	A	Dividend	J	T	Sold (part)	08/24/15	J		
64. -Franklin Mutual Shares Fund C1 Z					Sold	03/13/15	J		
65. -Goldman Sachs Small Cap Value Funds-Instl C1	A	Dividend	J	T	Sold (part)	08/24/15	J		
66. -Goldman Sachs Emerging Mkts Debt Fd Instl C1	A	Dividend	J	T	Buy (add'l)	08/24/15	J		
67. -Hartford Mutual Funds Inc Midcap Fund C1 I	A	Dividend	J	T	Sold (part)	08/24/15	J		
68. -Oakmark Fund	A	Dividend	J	T	Sold (part)	08/24/15	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 13

Name of Person Reporting

Battani, Marianne O.

Date of Report

05/10/2016

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)
69. -Investment Managers SER Tr Oak Ridge Sml Cap Gth Fd Y	A	Dividend	J	T	Sold (part)	08/24/15	J	A	
70. -JPMorgan Tr II Core Bd Fd Select Cl	A	Dividend	J	T	Sold (part)	08/24/15	J	A	
71. -JPMorgan Diversified Mid Cap Growth Fd Select Cl	A	Dividend	J	T	Sold (part)	08/24/15	J	A	
72. -Lazard Fds Inc Intl Strategic Egi Port Instl	A	Dividend	J	T	Buy (add'l)	08/24/15	J		
73. -MFS SER TR X Intl Value Fd Cl I	A	Dividend	J	T	Sold (part)	08/24/15	J		
74. -MFS SER TR X Emerging Market Debt Fund Class I	A	Dividend	J	T	Buy (add'l)	08/24/15	J		
75. -Neuberger Berman Genesis Fd Institutional Class	A	Dividend	J	T	Sold (part)	08/24/15	J		
76. -Oppenheimer Developing Markets Fund Cl Y	A	Dividend	J	T	Buy (add'l)	08/24/15	J		
77. -Oppenheimer International Growth Fund Cl Y	A	Dividend	J	T	Buy (add'l)	08/24/15	J		
78. -Oppenheimer Real Estate Fd Cl Y	A	Dividend	J	T	Sold (part)	08/24/15	J	A	
79. -Pimco Total Return Fund Instl Cl	A	Dividend	J	T	Sold (part)	08/24/15	J		
80. -Pimco Short Term Fund Instl Cl	A	Dividend	J	T	Sold (part)	08/24/15	J		
81. -Putnam High Yield Trust Sh Ben Int Cl Y	A	Dividend			Sold	03/25/15	J		
82. -T Rowe Price Blue Chip Growth Fund Inc Advisor Cl	A	Dividend	J	T	Sold (part)	08/24/15	J	A	
83. -T Rowe Price Intl Funds Inc Emerging Markets Bond Fund	A	Dividend	J	T	Buy (add'l)	08/24/15	J		
84. -Vanguard Fixed Inc Secs Fd Inc Short Term Invst Grade Fund	A	Dividend	J	T	Sold (part)	08/24/15	J		
85. -Wells Fargo Advantage Mid Cap Disciplined Fl Cl L	A	Dividend	J	T	Sold (part)	08/24/15	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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 13

Name of Person Reporting

Battani, Marianne O.

Date of Report

05/10/2016

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)

86. -Dodge & Cox Stock Fund	A	Dividend	J	T	Buy	03/16/15	J		
87.					Sold (part)	08/24/15	J		
88. -Mainstay High Yield	A	Dividend	J	T	Buy	03/26/15	J		
89.					Buy (add'l)	08/24/15	J		
90.									
91. MassMutual: whole life policy	A	Dividend	J	T					
92.									
93. INVESTORS CAPITAL BROKERAGE ACCOUNT(H)									
94. -Federated Capital Reserves	A	Dividend	K	T	Open	07/09/15	K		
95. -Wayne St Univ Mich Univ Revs RFDG- GEN Ser A	A	Interest	J	T	Open	07/09/15	J		
96. -American Balanced Fund Class A	B	Dividend	K	T	Open	07/09/15	K		
97. -Franklin Convertible Secs Fund Class A	A	Dividend	J	T	Open	07/09/15	J		
98. -Franklin Michigan Tax-Free Income Fund Class A	B	Dividend	L	T	Open	07/09/15	L		
99. -Hartford Equity Income Fund Class A	A	Dividend	J	T	Open	07/09/15	J		
100. -Lord Abbett Short Duration Income Fund Class A	A	Dividend	J	T	Open	07/09/15	J		
101. -Invesco Unit Trs Unit 1493 Dow Jones Total Mkt Port Enhanced Index St	A	Distribution	J	T	Open	07/09/15	J		
102.									

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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 13

Name of Person Reporting

Battani, Marianne O.

Date of Report

05/10/2016

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)
103. INVESTORS CAPITAL IRA ACCOUNT (H)	E	Int./Div.							
104. -Pershing Prime Reserves			J	T	Open	07/06/15	J		
105. -American Balanced Fund Class A			L	T	Open	07/06/15	L		
106.					Buy (add'l)	07/13/15	J		
107. -American Balanced Fund Class B					Open	07/06/15	J		
108.					Sold	07/13/15	J		
109. -American Funds Global Balanced Fund Class A			K	T	Open	07/06/15	K		
110. -American High Income Trust Class A			J	T	Open	07/06/15	J		
111. -American Mutual Fund Class A			L	T	Open	07/06/15	L		
112. -The Bond Fund of America Class A			J	T	Open	07/06/15	J		
113. -Capital Income Builder Fund Class A			K	T	Open	07/06/15	K		
114.					Buy (add'l)	07/13/15	J		
115. -Capital Income Builder Fund Class B					Open	07/06/15	J		
116.					Sold	07/13/15	J		
117. -Capital World Bond Fund Class A			K	T	Open	07/06/15	K		
118. -Europacific Growth Fund Class A			J	T	Open	07/06/15	J		
119. -Franklin Balanced Fund Class A			K	T	Open	07/06/15	K		

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	

FINANCIAL DISCLOSURE REPORT

Page 11 of 13

Name of Person Reporting

Battani, Marianne O.

Date of Report

05/10/2016

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. -Franklin Small-Cap Value Fund Class A			K	T	Open	07/06/15	K		
121. -Fundamental Investors Class A			L	T	Open	07/06/15	L		
122.					Buy (add'l)	07/13/15	J		
123. -Fundamental Investors Class B					Open	07/06/15	J		
124.					Sold	07/13/15	J		
125. -The Growth Fund of America Class A			J	T	Open	07/06/15	J		
126. -The Hartford Mid-Cap Value Fund Class A			K	T	Open	07/06/15	K		
127. -The Hartford Balance Income Fund Class A			K	T	Open	07/06/15	K		
128. -The Income Fund of America Class A			L	T	Open	07/06/15	L		
129. -The New Economy Fund Class A			K	T	Open	07/06/15	K		
130. -New World Fund Class A			K	T	Open	07/06/15	K		
131. -Build Amer Bds Income Tr Unit 61			J	T	Open	07/06/15	J		
132. -First Tr Combined Ser Unit 354 Build Amer Bds Port Ser 28			J	T	Open	07/06/15	J		
133. -Investment Grade Income TR 10-20-Yr Unit Ser 2			J	T	Open	07/06/15	J		
134. -Investment Grade Income TR 10-20 Yr Unit Ser 6			J	T	Open	07/06/15	J		
135.									

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		

FINANCIAL DISCLOSURE REPORT

Page 12 of 13

Name of Person Reporting

Battani, Marianne O.

Date of Report

05/10/2016

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

NOTE: THE EDWARDS JONES IRA ACCOUNT(H) (lines 5-34) WAS TRANSFERRED TO INVESTORS CAPITAL IRA ACCOUNT(H) (lines 103-134) ON 07/06/15.

NOTE: THE EDWARDS JONES SINGLE ACCOUNT(H) (lines 36-49) WAS TRANSFERRED TO INVESTORS CAPITAL BROKERAGE ACCOUNT(H) (lines 93-101) ON 07/09/15.

FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

Battani, Marianne O.

Date of Report

05/10/2016

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/ **Marianne O. Battani**

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