

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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, SD OHIO	3. Date of Report 08/10/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) UNITED STATES DISTRICT JUDGE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address UNITED STATES DISTRICT COURT 200 WEST SECOND ST., ROOM 909 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
2.	Trustee	Trust #2
3.	Board of Directors	Building Bridges
4.	Trustee	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 Policy Board
9.	Chair	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.	

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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. 2017	Ohio Public Employees Retirement System; monthly pension checks
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.)*

	<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.			

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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. Fifth-Third Bank (cash)	A	Interest	M	T					3, 7-9
2. KeyBank (cash)	A	Interest	J	T					
3. Allergen - common stock (AGN) (Y)									
4. Beckman Instrument - common stock (BEC) (Y)									
5. Wright-Patterson Credit Union	A	Interest	K	T					
6. Integra Financial (Y)									
7. SmithKline Beecham - Preferred Stock (GSK) (Y)									
8. Baltimore MD Rev Sub-Wastewater Proj	B	Interest	L	T					
9. California St. Var Purp (Y)									
10. Chicago Ill O Hare Intl (Y)									
11. District Columbia Ser A (Y)									
12. Nevada St Hwy Impt Rev Motr Vehicle Fuel RF (Y)									
13. Sector SPDR Energy (XLE)	A	Dividend	K	T					
14. Thomson Reuters Corp (TRI) (Y)									
15. Veritiv (VRTV) (Y)									202
16. TRUST #1 (H)									
17. ML Bank Deposit Program (cash)	A	Interest	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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18. ML Money Market (Y)									
19. Health Care Select SPDR (XLV)	A	Dividend	K	T	Sold (part)	12/05/17	J	B	I
20. BB&T Corporation (BBT)	A	Dividend	J	T	Buy	10/30/17	J		
21.					Buy (add'l)	10/31/17	J		
22.					Buy (add'l)	11/03/17	J		
23.					Buy (add'l)	11/16/17	J		
24.					Buy (add'l)	11/07/17	J		
25. Carnival Corp Paired SHS	A	Dividend	J	T					
26. Cisco Systems Inc Com (CSCO)	A	Dividend	J	T	Buy	09/22/17	J		
27.					Buy (add'l)	09/25/17	J		
28.					Buy (add'l)	09/26/17	J		
29. Coca Cola Com (KO)	A	Dividend	K	T	Buy (add'l)	01/18/17	J		
30. Consumer Discretionary SPDR (XLY)	A	Dividend	K	T					
31. Emerson Elec Co (EMR)	A	Dividend	J	T	Buy	06/08/17	J		
32.					Buy (add'l)	06/09/17	J		
33.					Buy (add'l)	06/12/17	J		
34.					Buy (add'l)	06/13/17	J		

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35.					Buy (add'l)	06/14/17	J		
36. First TR Exchange Traded Fund (FDN)		None	J	T	Buy (add'l)	12/07/17	J		
37. First TR Cloud Comp ETF (SKYY)	A	Dividend	J	T	Buy (add'l)	12/07/17	J		45
38. General Motors Co (GM)	A	Dividend	J	T	Buy	10/06/17	J		
39.					Buy (add'l)	10/12/17	J		
40.					Buy (add'l)	10/13/17	J		
41.					Buy (add'l)	10/17/17	J		
42.					Buy (add'l)	10/18/17	J		
43. Intl Business Machines Corp (IBM)	A	Dividend	K	T					
44. Ishares Nasdaq Biotech (IBB)	A	Dividend	J	T	Sold (part)	12/05/17	J	A	
45. IShares S&P Small Cap 600 Growth (IJT)	A	Dividend	J	T	Buy	02/08/17	J		
46. IShares S&P Small Cap 600 Value (IJS)	A	Dividend	J	T	Buy	02/08/17	J		
47. IShares Core S&P US Growth ETF (IUSG)	A	Dividend	K	T	Buy	02/08/17	K		
48.					Sold (part)	12/11/17	J	A	
49. IShares Core S&P US Value ETF (IUSV)	A	Dividend	K	T	Buy	02/08/17	K		
50. Amn Elec Power (AEP)	A	Dividend	K	T					
51. Astrazeneca (AZN)	A	Dividend	K	T					

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52. AT&T Inc. (T)	A	Dividend	K	T					
53. CME Group Inc. (CME)	A	Dividend	K	T	Buy (add'l)	06/09/17	J		
54.					Buy (add'l)	06/12/17	J		
55.					Buy (add'l)	06/13/17	J		
56. Digital Rlty Tr Inc. (DLR)	A	Dividend	K	T					
57. Dominion Energy Inc (D)	A	Dividend	K	T					106
58. General Electric (GE)	A	Dividend			Sold (part)	10/30/17	J		
59.					Sold	10/31/17	J		
60. HSBC Holding PLC Sp ADR (HSBC)		None	J	T	Buy	12/20/17	J		
61. Intel Corp (INTC)	A	Dividend	K	T	Buy (add'l)	11/13/17	J		
62. JPMorgan Chase & Co. (JPM)	A	Dividend	K	T					
63. Kraft (The) Heinz Co SHS (KCH)	A	Dividend	J	T	Sold (part)	12/08/17	J	A	115
64. Kimberly Clark (KMB)	A	Dividend	J	T					
65. Lockheed Martin Corp (LMT)	A	Dividend	K	T					118
66. McDonalds Corp. (MCD)	A	Dividend	K	T	Sold (part)	11/13/17	J	B	
67.					Sold (part)	11/14/17	J	B	
68. MetLife Inc. Com (MET)	A	Dividend	K	T					

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69. Occidental Pete Corp (OXY)	A	Dividend	K	T	Buy (add'l)	04/07/17	J		
70. Paccar Inc. (PCAR)	A	Dividend	K	T					
71. Philip Morris Intl Inc. (PM)	A	Dividend	K	T	Buy (add'l)	01/18/17	J		
72. Pfizer Inc. (PFE)	A	Dividend	K	T					
73. PPL Corporation (PPL)	A	Dividend	J	T	Sold (part)	12/08/17	J	A	
74.					Sold (part)	12/11/17	J	A	
75.					Sold (part)	12/20/17	J	A	
76.					Sold (part)	12/21/17	J		
77. Procter & Gamble Co. (PG)	A	Dividend	K	T	Buy (add'l)	07/18/17	J		
78. Real Estate Select Sector SPDR FD SHS (XLRE)	A	Dividend	J	T					
79. Royal Dutch Shell PLC Spons ADR B (RDSB)	A	Dividend	K	T					167
80. Sector SPDR Financial (XLF)	A	Dividend	K	T					
81. Texas Instruments (TXN)		None	J	T	Buy	12/08/17	J		
82.					Buy (add'l)	12/11/17	J		
83.					Buy (add'l)	12/13/17	J		
84.					Buy (add'l)	12/14/17	J		
85. Toronto Dominion Bank (TD)	A	Dividend	K	T					

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86. Transcanada Corp (TRP)	A	Dividend	J	T	Buy	06/08/17	J		
87.					Buy (add'l)	06/09/17	J		
88.					Buy (add'l)	06/14/17	J		
89.					Buy (add'l)	06/20/17	J		
90. United Techs Corp Com (UTX)	A	Dividend	J	T	Buy	10/30/17	J		
91.					Buy (add'l)	10/31/17	J		
92.					Buy (add'l)	11/03/17	J		
93.					Buy (add'l)	11/07/17	J		
94. Vanguard Consumer (VDC)	A	Dividend	K	T					
95. Vanguard FTSE Developed Markets ETF (VEA)	B	Dividend	L	T	Buy	02/08/17	L		
96.					Sold (part)	12/13/17	J		
97. Vanguard Industrial (VIS)	A	Dividend	K	T	Sold (part)	12/05/17	J	A	
98. Vanguard Information Tech (VGT)	A	Dividend	L	T	Buy (add'l)	12/08/17	J		
99.					Sold (part)	12/11/17	J	A	
100. Vanguard Materials (VAW)	A	Dividend	J	T					
101. Ventas Inc. REIT (VTR)	A	Dividend	J	T					
102. Verizon Communicatns Com (VZ)	A	Dividend	K	T	Buy (add'l)	04/18/17	J		

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103.					Buy (add'l)	07/18/17	J		
104.					Sold (part)	11/13/17	J	A	
105. Vodafone Group PLC ADR (VOD)	A	Dividend	J	T	Buy	11/13/17	J		
106.					Buy (add'l)	11/14/17	J		
107.					Buy (add'l)	11/15/17	J		
108.					Buy (add'l)	11/16/17	J		
109.					Buy (add'l)	11/17/17	J		
110. TRUST #2 (H)									
111. BIF Money Fund	A	Interest	J	T					
112. Curators Univ Mo Sys Facs Rev Ser B (231266FX0)	B	Interest	L	T					
113. Harris Tex Met Tran At (411422ECW1)	B	Interest			Redeemed	11/01/17	K		
114. Alaska Mun Bd Bk Ak Mun (01179PX93)	B	Interest	L	T					
115. Energy Northwest Wash (29270CXR1)	C	Interest	L	T					
116. Florida St Brd Ed Pub Cap Outlay (34153PP93)	C	Interest	L	T					
117. Massachusetts ST Dev Fin (57584XUB5)	B	Interest	M	T					
118. Minnesota St. Ser D (60412AGR8)	C	Interest	L	T					133
119. Mississippi St Lt SER B (605581HZ3)	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	

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Name of Person Reporting

RICE, WALTER H.

Date of Report

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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. North Dakota Pub Fun (65887PRK3)	C	Interest	L	T					
121. Virginia CBA Va Ed (92778WAE6)	B	Interest	L	T					
122. Albuquerque NM Mun SD (013595TG8)	B	Interest	L	T					
123. Arizona Wtr Infrastr (040688ML4)	C	Interest	L	T					
124. Delaware Cnty PA Auth Rev Villanova Univ (245913LA4) (X)	C	Interest	L	T					
125. Met GVT Nashville-Davidson Co Tn Rf (592112LW4)	B	Interest	L	T	Buy	10/13/17	L		
126. Delaware St Ser B RF (246381FC6)	C	Interest	L	T	Buy	01/12/17	L		
127. Chicago Ill O Hare Intl (167593B92)	B	Interest	L	T	Buy	06/21/17	L		
128. Honolulu HI CY-CO WWTR Sys Rev Sr-First BD (438701J96)	C	Interest	L	T	Buy	01/13/17	L		
129. New York St Dorm Auth St Pers Income Tax Rev D RF (64990E5P8)	B	Interest	L	T	Buy	01/04/17	L		
130. Denver Colo City & Cnty Sch Dist NO1 Sch GTD (249174VF7)	C	Interest	L	T	Buy	01/19/17	L		
131. IRA #1 (H)									
132. IShares S&P Small Cap 600 Growth (IJT)	A	Dividend	J	T	Buy	02/08/17	J		
133. IShares S&P Small Cap 600 Value (IJS)	A	Dividend	J	T	Buy	02/08/17	J		
134. IShares Core S&P US Growth ETF (IUSG)	A	Dividend	K	T	Buy	02/08/17	K		
135. IShares Core S&P US Value ETF (IUSV)	A	Dividend	K	T	Buy	02/08/17	K		
136. Vanguard FTSE Developed Markets ETF (VEA)	A	Dividend	K	T	Buy	02/08/17	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 = \$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	Date of Report
RICE, WALTER H.	08/10/2018

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

Part VII: In the 2017 report, holdings have been arranged by account and the names of some assets have been updated. Where needed for clarity, the corresponding line(s) of the 2016 report have been noted in Column D(5).

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.

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Name of Person Reporting	Date of Report
RICE, WALTER H.	08/10/2018

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
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