

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Battani, Marianne O.	2. Court or Organization USDC, Eastern District of MI	3. Date of Report 04/30/2019
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 01/01/2018 to 12/31/2018
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

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 8

Name of Person Reporting

Battani, Marianne O.

Date of Report

04/30/2019

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. 2018	Michigan Judges' Retirement System	\$36,311.16
2. 2018	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 8

Name of Person Reporting

Battani, Marianne O.

Date of Report

04/30/2019

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 8

Name of Person Reporting

Battani, Marianne O.

Date of Report

04/30/2019

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. CHASE BANK (cash accounts)	A	Interest	N	T					
6.									
7. FIFTH THIRD (cash account)		None	K	T					
8.									
9. AMERICAN EXPRESS BANK (cash account)	A	Interest	J	T					
10.									
11. MassMutual: whole life policy	A	Dividend	K	T					
12.									
13. INDEPENDENT FINANCIAL GROUP BROKERAGE ACCOUNT (H)									
14. -Franklin Convertible Secs Fund Class A	B	Dividend	K	T	Buy (add'l)	06/11/18	J		
15. -Franklin Michigan Tax-Free Income Fund Class A	A	Dividend	K	T	Buy (add'l)	06/11/18	J		
16. -Hartford Equity Income Fund Class A	C	Dividend	K	T	Buy (add'l)	09/24/18	J		
17. Invesco Unit Trs Unit 1630 High Income Allocation	A	Dividend			Redeemed	02/09/18	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 = \$250,000.01 - \$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 22

Name of Person Reporting

Barrett, Michael R.

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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.)

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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. iShares Tips Bond ETF (TIP)	A	Dividend	J	T	Sold (part)	01/18/18	J		
87. iShares Cohen & Steers REIT ETF (ICF)	A	Dividend	J	T	Buy (add'l)	01/18/18	K		
88. Spdr Dow Jones Int'l Real Estate ETF (RWX)	B	Dividend	K	T	Sold (part)	01/18/18	J		
89.					Sold (part)	01/19/18	J		
90. iShares Russell 2000 ETF (IWM)	A	Dividend			Sold	03/29/18	J		
91. JP Morgan Chase & Co. US Small Co Fund (JUSSX)		None			Sold	01/17/18	K		
92. T. Rowe Price Dividend Growth Fund (PDGIX)	A	Dividend			Sold (part)	01/17/18	K		
93.					Sold (part)	01/18/18	J		
94.					Sold	08/02/18	K		
95. Victory Integrity SM-Cap Value Fund (VSVIX)		None			Sold	03/29/18	J		
96. Trust #2 (H)									
97. Morgan Stanley Bank NA (cash)	A	Interest	J	T					
98. Morgan Stanley Private Bank NA (cash) (X)	A	Interest	M	T					
99. AB Flexfee Large Cap GW PTF Adv (FFLYX)		None			Buy	07/02/18	J		
100.					Sold	10/01/18	J	A	
101. AB Global Bond ADV (ANAYX)	A	Dividend			Sold	04/12/18	J		
102. AC Alternatives Inc I (ALNIX)	A	Dividend	L	T	Buy	10/01/18	K		

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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	
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FINANCIAL DISCLOSURE REPORT

Page 5 of 8

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18. Wayne St Univ Mich Univ Revs Rfdg-Gen Ser A	A	Interest	J	T					
19. -Dreyfus Ins Deposit Program C	A	Interest	K	T					
20. -American High-Income Municipal Bond Fund Class A	A	Dividend	J	T					
21. -Putnam Master Inter Income Trust	A	Dividend			Sold	06/11/18	J	A	
22. -Pimco Income Fund Class A	A	Dividend	J	T					
23. -Fundamental Investors Class A	B	Dividend	K	T					
24. -Washington Mutual Investors Fund Class A	B	Dividend	K	T	Buy (add'l)	09/25/18	J		
25. -Invesco Unit TRS Unit 1847 High Income Allocation	A	Dividend	K	T	Buy	02/09/18	K		
26.									
27. INDEPENDENT FINANCIAL GROUP IRA (H)									
28. -American Balanced Fund Class A	D	Dividend	M	T					
29. -American Funds Global Balanced Fund Class A	A	Dividend	K	T					
30. -American Mutual Fund Class A	D	Dividend	L	T					
31. -Build Amer Bds Income Tr Unit 61	A	Dividend	J	T					
32. -Capital Income Builder Fund Class A	B	Dividend	L	T					
33. -Capital World Fund Class A	A	Dividend	J	T					
34. -Europacific Growth Fund Class A	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 10 of 22

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103.					Buy (add'l)	11/05/18	J		
104.					Buy (add'l)	12/03/18	J		
105. Alger Small Cap Foucs Z (AGOZX)		None			Sold	04/12/18	J	A	
106. Am Century Diversified Bond I (ACBPX)	A	Dividend	K	T	Buy (add'l)	04/12/18	J		
107.					Sold (part)	10/01/18	J		
108.					Buy (add'l)	11/05/18	K		
109. Am Century Emerging Markets I	A	Dividend			Sold (part)	04/12/18	J	A	
110.					Sold	10/01/18	J		
111. Blackrock Multi-Asset Inc (BIICX)	A	Dividend	K	T	Buy (add'l)	04/12/18	J		
112.					Buy (add'l)	10/01/18	J		
113.					Buy (add'l)	11/05/18	J		
114.					Buy (add'l)	12/03/18	J		
115. Chevron Corp (CVX)	A	Dividend	J	T	Buy	11/05/18	J		
116.					Buy (add'l)	12/03/18	J		
117.					Sold (part)	12/10/18	J		
118. Chiron Capital Alloc Inst	A	Dividend	K	T	Buy (add'l)	04/12/18	J		
119.					Buy (add'l)	10/01/18	J		

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FINANCIAL DISCLOSURE REPORT

Page 6 of 8

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Battani, Marianne O.

Date of Report

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35. -First Tr Combined Ser Unit 354 Build Amer Bds Port Ser 28	A	Dividend	J	T					
36. -Fundamental Investors Class A	D	Dividend	M	T					
37. -The Growth Fund of America	C	Dividend	K	T	Buy (add'l)	12/27/18	J		
38. -The Hartford Balanced Income Fund Class A	A	Dividend			Sold	11/21/18	J	B	
39. -The Income Fund of America Class A	D	Dividend	M	T					
40. -Investment Grade Income Tr 10-20 Yr Unit Ser 2	A	Dividend	J	T					
41. -Investment Grade Income Tr 10-20 Yr Unit Ser 6	A	Dividend	J	T					
42. -The New Economy Fund Class A	C	Dividend	K	T					
43. -New World Fund Class A	A	Dividend	K	T					
44. -Dreyfus Ins Deposit Program C	A	Interest	J	T					
45. -Ishares TR Core S&P Mid Cap ETF	A	Dividend	J	T	Sold (part)	11/21/18	J	A	
46. -Ishares TR Core S&P Small Cap ETF	A	Dividend	J	T	Sold (part)	11/21/18	J	A	

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FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Battani, Marianne O.

Date of Report

04/30/2019

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

FINANCIAL DISCLOSURE REPORT

Page 11 of 22

Name of Person Reporting

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120.					Buy (add'l)	11/05/18	J		
121.					Buy (add'l)	12/03/18	J		
122. Chubb LTD (CB)		None	J	T	Buy	10/01/18	J		
123.					Sold (part)	12/10/18	J		
124. Clearbridge Large Cap Growth (SBLYX)		None			Sold (part)	04/12/18	J	A	
125.					Sold	07/02/18	J	B	
126. Colgate Palmolive Co (CL)		None	J	T	Buy	11/05/18	J		
127.					Buy (add'l)	12/03/18	J		
128.					Sold (part)	12/10/18	J	A	
129. Destra Flaherty & Crumrine Preferred and Income Fund Class I (DPIIX)	A	Dividend	K	T	Buy	11/05/18	J		
130.					Buy (add'l)	12/03/18	K		
131. DowDupont (DWDP)	A	Dividend	J	T	Buy	11/05/18	J		
132.					Buy (add'l)	12/03/18	J		
133.					Sold (part)	12/10/18	J		
134. Dreyfus Global EQU INC (DQEIX)	B	Dividend	K	T	Sold (part)	04/12/18	J	A	
135.					Buy (add'l)	10/01/18	J		
136.					Buy (add'l)	11/05/18	J		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 8

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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/ **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