

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) RICE, WALTER H.	2. Court or Organization U. S. DISTRICT COURT, SD OHIO	3. Date of Report 07/25/2019
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 01/01/2018 to 12/31/2018
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
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 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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 27

Name of Person Reporting	Date of Report
RICE, WALTER H.	07/25/2019

3. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 27

Name of Person Reporting

RICE, WALTER H.

Date of Report

07/25/2019

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.		
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. 2018	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.				

FINANCIAL DISCLOSURE REPORT

Page 4 of 27

Name of Person Reporting

RICE, WALTER H.

Date of Report

07/25/2019

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 5 of 27

Name of Person Reporting

RICE, WALTER H.

Date of Report

07/25/2019

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. Fifth-Third Bank (cash)	A	Interest	M	T					
2. KeyBank (cash)	A	Interest	J	T					
3. Wright-Patterson Credit Union (cash)	A	Interest	K	T					
4. Baltimore MD Rev Sub-Wastewater Proj	B	Interest	L	T					
5. Sector SPDR Energy (XLE)	A	Dividend	K	T					
6. TRUST #1 (H)									
7. ML Bank Deposit Program (cash)	A	Interest	J	T					
8. Abbvie Inc SHS (ABBV)	A	Dividend			Buy	03/12/18	J		
9.					Buy (add'l)	03/13/18	J		
10.					Buy (add'l)	03/14/18	J		
11.					Buy (add'l)	03/15/18	J		
12.					Buy (add'l)	03/27/18	J		
13.					Sold (part)	06/25/18	J		
14.					Sold (part)	06/26/18	J		
15.					Sold (part)	11/02/18	J		
16.					Sold	11/05/18	J		
17. Air Products & Chem (APD)	A	Dividend	J	T	Buy	03/12/18	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

Page 6 of 27

Name of Person Reporting

RICE, WALTER H.

Date of Report

07/25/2019

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)

18.					Buy (add'l)	03/15/18	J		
19.					Buy (add'l)	03/16/18	J		
20.					Buy (add'l)	03/19/18	J		
21.					Buy (add'l)	03/20/18	J		
22.					Buy (add'l)	03/21/18	J		
23. Amgen Inc Com (AMGN)	A	Dividend	J	T	Buy	01/17/18	J		
24.					Buy (add'l)	01/18/18	J		
25.					Buy (add'l)	01/19/18	J		
26.					Buy (add'l)	01/22/18	J		
27.					Buy (add'l)	01/23/18	J		
28. Health Care Select SPDR (XLV)	A	Dividend	K	T	Sold (part)	04/13/18	J	A	
29.					Sold (part)	06/28/18	J	A	
30. BB&T Corporation (BBT)	A	Dividend	J	T	Buy (add'l)	04/25/18	J		
31.					Buy (add'l)	04/26/18	J		
32.					Sold (part)	11/13/18	J	A	
33. Boeing Company (BA)	A	Dividend	J	T	Buy	01/17/18	J		
34.					Buy (add'l)	01/18/18	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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	L = \$50,001 - \$100,000 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 27

Name of Person Reporting

RICE, WALTER H.

Date of Report

07/25/2019

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)

35.					Buy (add'l)	01/19/18	J		
36.					Buy (add'l)	02/09/18	J		
37.					Sold (part)	08/08/18	J	A	
38. Broadcom Ltd (AVGO)	A	Dividend	J	T	Buy	12/14/18	J		
39.					Buy (add'l)	12/17/18	J		
40.					Buy (add'l)	12/18/18	J		
41. Carnival Corp Paired SHS	A	Dividend	J	T	Sold (part)	12/03/18	J	A	
42.					Sold (part)	12/04/18	J	A	
43. Chevron Corp (CVX)	A	Dividend	J	T	Buy	10/22/18	J		
44.					Buy (add'l)	10/23/18	J		
45.					Buy (add'l)	10/24/18	J		
46.					Buy (add'l)	11/13/18	J		
47. Chubb Ltd (CB)		None	J	T	Buy	10/22/18	J		
48.					Buy (add'l)	10/23/18	J		
49.					Buy (add'l)	10/24/18	J		
50.					Buy (add'l)	10/25/18	J		
51.					Buy (add'l)	10/26/18	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 27

Name of Person Reporting

RICE, WALTER H.

Date of Report

07/25/2019

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)

52. Cisco Systems Inc Com (CSCO)	A	Dividend	K	T	Buy (add'l)	01/17/18	J		
53.					Buy (add'l)	01/18/18	J		
54.					Buy (add'l)	10/29/18	J		
55.					Buy (add'l)	12/03/18	J		
56. Coca Cola Com (KO)	A	Dividend	K	T					
57. Crown Castle REIT Inc (CCI)	A	Dividend	K	T	Buy	03/12/18	J		
58.					Buy (add'l)	03/13/18	J		
59.					Buy (add'l)	03/14/18	J		
60.					Buy (add'l)	03/15/18	J		
61.					Buy (add'l)	03/27/18	J		
62.					Buy (add'l)	04/25/18	J		
63.					Buy (add'l)	04/26/18	J		
64. Comm Services Select (XLC)	A	Dividend	K	T	Buy	10/22/18	K		
65. Consumer Discretionary SPDR (XLY)	A	Dividend	K	T	Buy (add'l)	03/08/18	J		
66.					Sold (part)	04/13/18	J	A	
67.					Sold (part)	06/28/18	J	A	
68.					Buy (add'l)	08/31/18	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 27

Name of Person Reporting

RICE, WALTER H.

Date of Report

07/25/2019

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)

69.					Sold (part)	10/22/18	J	B	
70. Emerson Elec Co (EMR)	A	Dividend			Sold (part)	01/17/18	J	A	
71.					Buy (add'l)	03/01/18	J		
72.					Sold (part)	11/13/18	J	A	
73.					Sold (part)	11/14/18	J	A	
74.					Sold (part)	12/14/18	J	A	
75.					Sold	12/17/18	J		
76. Exelon Corporation (EXC)	A	Dividend	J	T	Buy	05/03/18	J		
77.					Buy (add'l)	05/04/18	J		
78.					Buy (add'l)	05/07/18	J		
79.					Buy (add'l)	05/10/18	J		
80. Exxon Mobile Corp (XOM)	A	Dividend	J	T	Buy	05/25/18	J		
81.					Buy (add'l)	05/30/18	J		
82.					Buy (add'l)	05/31/18	J		
83.					Buy (add'l)	06/01/18	J		
84.					Buy (add'l)	06/04/18	J		
85.					Buy (add'l)	10/22/18	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

Page 10 of 27

Name of Person Reporting

RICE, WALTER H.

Date of Report

07/25/2019

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)
86.					Buy (add'l)	10/23/18	J		
87. First Trust Dow Jones (Formerly First TR Exchange Traded Fund) (FDN)		None	K	T	Buy (add'l)	03/08/18	J		
88.					Sold (part)	04/13/18	J	A	
89.					Sold (part)	06/25/18	J	B	
90.					Buy (add'l)	08/31/18	J		
91.					Sold (part)	10/22/18	J	B	
92. First TR Cloud Comp ETF (SKYY)	A	Dividend	K	T	Buy (add'l)	03/08/18	J		
93.					Sold (part)	04/13/18	J	A	
94.					Sold (part)	06/25/18	J	A	
95.					Buy (add'l)	08/31/18	J		
96.					Sold (part)	10/22/18	J	B	
97. General Motors Co (GM)	A	Dividend			Sold (part)	01/17/18	J		
98.					Sold (part)	10/04/18	J		
99.					Sold	10/05/18	J		
100. Intl Business Machines Corp (IBM)	A	Dividend			Sold (part)	01/17/18	J	A	
101.					Sold (part)	10/29/18	J		
102.					Sold	10/30/18	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

Page 11 of 27

Name of Person Reporting

RICE, WALTER H.

Date of Report

07/25/2019

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)
103. Johnson & Johnson Com (JNJ)	A	Dividend	J	T	Buy	09/13/18	J		
104.					Buy (add'l)	09/14/18	J		
105.					Buy (add'l)	10/29/18	J		
106.					Buy (add'l)	10/30/18	J		
107.					Buy (add'l)	11/05/18	J		
108. iShares Nasdaq Biotech (IBB)	A	Dividend	J	T					
109. iShares S&P Small Cap 600 Growth (IJT)	A	Dividend	J	T					
110. iShares S&P Small Cap 600 Value (IUS)	A	Dividend	J	T					
111. iShares Core S&P US Growth ETF (IUSG)	A	Dividend	K	T	Sold (part)	04/13/18	J	A	
112.					Sold (part)	06/28/18	J	A	
113. iShares Core S&P US Value ETF (IUSV)	B	Dividend	K	T					
114. Amn Elec Power (AEP)	A	Dividend	J	T	Sold (part)	01/17/18	J	A	
115.					Sold (part)	10/29/18	J	A	
116.					Buy (add'l)	12/14/18	J		
117. Astrazeneca (AZN)	A	Dividend	J	T	Sold (part)	06/26/18	J		
118.					Sold (part)	06/28/18	J		
119.					Sold (part)	06/29/18	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

Page 12 of 27

Name of Person Reporting

RICE, WALTER H.

Date of Report

07/25/2019

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)
120.					Sold (part)	12/03/18	J	A	
121. AT&T Inc. (T)	A	Dividend	J	T	Sold (part)	03/12/18	J	A	
122.					Buy (add'l)	10/05/18	J		
123. CME Group Inc. (CME)	A	Dividend	K	T	Sold (part)	01/17/18	J	A	
124.					Sold (part)	01/18/18	J	A	
125.					Sold (part)	11/13/18	J	A	
126. Digital Rlty Tr Inc. (DLR)	A	Dividend	K	T					
127. Duke Energy Corp (DUK)	A	Dividend	J	T	Buy	10/22/18	J		
128.					Buy (add'l)	10/24/18	J		
129.					Buy (add'l)	10/25/18	J		
130.					Buy (add'l)	10/29/18	J		
131.					Buy (add'l)	10/30/18	J		
132. Dominion Energy Inc (D)	A	Dividend			Sold (part)	03/12/18	J		
133.					Sold (part)	03/13/18	J		
134.					Sold (part)	03/14/18	J		
135.					Sold (part)	03/15/18	J		
136.					Sold (part)	03/21/18	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

Page 13 of 27

Name of Person Reporting

RICE, WALTER H.

Date of Report

07/25/2019

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)
137.					Sold (part)	03/22/18	J		
138.					Sold (part)	03/23/18	J		
139.					Sold	03/25/18	J		
140. HSBC Holding PLC Sp ADR (HSBC)	A	Dividend			Buy (add'l)	01/03/18	J		
141.					Buy (add'l)	01/19/18	J		
142.					Buy (add'l)	01/23/18	J		
143.					Sold (part)	10/22/18	J		
144.					Sold (part)	10/23/18	J		
145.					Sold (part)	10/24/18	J		
146.					Sold	10/25/18	J		
147. Illinois Tool Works (ITW)	A	Dividend			Buy	03/12/18	J		
148.					Buy (add'l)	03/13/18	J		
149.					Buy (add'l)	03/14/18	J		
150.					Buy (add'l)	03/15/18	J		
151.					Buy (add'l)	03/16/18	J		
152.					Buy (add'l)	03/19/18	J		
153.					Sold (part)	10/22/18	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

Page 14 of 27

Name of Person Reporting

RICE, WALTER H.

Date of Report

07/25/2019

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)
154.					Sold (part)	10/23/18	J		
155.					Sold (part)	10/24/18	J		
156.					Sold	10/25/18	J		
157. Intel Corp (INTC)	A	Dividend			Sold (part)	01/17/18	J	B	
158.					Sold (part)	01/18/18	J	B	
159.					Sold (part)	08/24/18	J	B	
160.					Sold (part)	08/27/18	J	B	
161.					Sold	08/28/18	J		
162. JPMorgan Chase & Co. (JPM)	A	Dividend	K	T	Sold (part)	01/17/18	J	B	
163.					Sold (part)	03/12/18	J		
164.					Buy (add'l)	08/24/18	J		
165.					Buy (add'l)	08/27/18	J		
166.					Buy (add'l)	08/28/18	J		
167.					Buy (add'l)	10/04/18	J		
168.					Buy (add'l)	10/05/18	J		
169. Kraft (The) Heinz Co SHS (KCH)	A	Dividend			Sold (part)	04/24/18	J	A	
170.					Sold (part)	04/26/18	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 ~\$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 15 of 27

Name of Person Reporting

RICE, WALTER H.

Date of Report

07/25/2019

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)
171.					Sold (part)	04/27/18	J	A	
172.					Sold	04/30/18	J		
173. Kimberly Clark (KMB)	A	Dividend			Sold (part)	01/17/18	J	A	
174.					Sold (part)	01/18/18	J	A	
175.					Sold	04/25/18	J		
176. Lockheed Martin Corp (LMT)	A	Dividend	J	T	Sold (part)	01/17/18	J	A	
177.					Buy (add'l)	04/25/18	J		
178.					Sold (part)	08/08/18	J	B	
179.					Sold (part)	08/09/18	J	B	
180.					Sold (part)	08/10/18	J	A	
181.					Sold (part)	08/13/18	J	A	
182.					Sold (part)	08/14/18	J	A	
183. McDonalds Corp. (MCD)	A	Dividend	J	T	Sold (part)	01/17/18	J	B	
184. Merk and Co Ins SHS (MRK)	A	Dividend	K	T	Buy	01/17/18	J		
185.					Buy (add'l)	01/18/18	J		
186.					Buy (add'l)	01/19/18	J		
187.					Buy (add'l)	08/08/18	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		

FINANCIAL DISCLOSURE REPORT

Page 16 of 27

Name of Person Reporting

RICE, WALTER H.

Date of Report

07/25/2019

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)
188.					Sold (part)	10/22/18	J	A	
189.					Buy (add'l)	11/02/18	J		
190.					Buy (add'l)	11/05/18	J		
191. Pepsico Inc (PEP)	A	Dividend	K	T	Buy	06/25/18	J		
192.					Buy (add'l)	06/26/18	J		
193.					Buy (add'l)	06/27/18	J		
194.					Buy (add'l)	06/28/18	J		
195.					Buy (add'l)	06/29/18	J		
196.					Buy (add'l)	08/08/18	J		
197.					Buy (add'l)	10/29/18	J		
198. MetLife Inc. Com (MET)		None			Sold (part)	01/17/18	J	A	
199.					Sold (part)	01/18/18	J	A	
200.					Sold (part)	01/19/18	J	A	
201.					Sold (part)	02/02/18	J	B	
202.					Sold	02/05/18	J	A	
203. Occidental Pete Corp (OXY)	A	Dividend			Sold (part)	01/17/18	J		
204.					Sold (part)	02/28/18	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		

FINANCIAL DISCLOSURE REPORT

Page 17 of 27

Name of Person Reporting

RICE, WALTER H.

Date of Report

07/25/2019

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)
205.					Sold (part)	03/01/18	J		
206.					Sold (part)	03/12/18	J	A	
207.					Sold (part)	03/13/18	J	A	
208.					Sold	03/14/18	J		
209. Paccar Inc. (PCAR)	A	Dividend			Sold (part)	03/12/18	J	A	
210.					Sold (part)	03/13/18	J	A	
211.					Sold	03/19/18	J	A	
212. Philip Morris Intl Inc. (PM)	A	Dividend			Sold (part)	01/17/18	J	A	
213.					Sold (part)	04/24/18	J		
214.					Sold (part)	04/25/18	J		
215.					Sold	04/26/18	J		
216. Pfizer Inc. (PFE)	A	Dividend	K	T	Sold (part)	01/17/18	J	A	
217.					Sold (part)	01/18/18	J	A	
218.					Sold (part)	10/22/18	J	A	
219. PPL Corporation (PPL)	A	Dividend			Sold	01/02/18	J		
220. Procter & Gamble Co. (PG)	A	Dividend			Sold (part)	01/17/18	J	A	
221.					Sold (part)	01/18/18	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
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 18 of 27

Name of Person Reporting

RICE, WALTER H.

Date of Report

07/25/2019

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)

222.					Sold (part)	04/25/18	J		
223.					Sold (part)	04/26/18	J		
224.					Sold	04/27/18	J		
225. Real Estate Select Sector SPDR FD SHS (XLRE)	A	Dividend	J	T	Buy (add'l)	03/08/18	J		
226. Royal Dutch Shell PLC Spons ADR B (RDSB)	A	Dividend	K	T					
227. Simon Property Group Del (SPG)	A	Dividend	J	T	Buy	05/03/18	J		
228.					Buy (add'l)	05/04/18	J		
229.					Buy (add'l)	05/07/18	J		
230.					Buy (add'l)	05/08/18	J		
231.					Buy (add'l)	05/09/18	J		
232.					Buy (add'l)	05/10/18	J		
233.					Buy (add'l)	09/13/18	J		
234.					Buy (add'l)	09/14/18	J		
235. Sysco Corporation (SYY)	A	Dividend	J	T	Buy	05/03/18	J		
236.					Buy (add'l)	05/04/18	J		
237.					Buy (add'l)	05/07/18	J		
238.					Buy (add'l)	05/08/18	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

Page 19 of 27

Name of Person Reporting

RICE, WALTER H.

Date of Report

07/25/2019

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)

239.					Buy (add'l)	05/09/18	J		
240.					Buy (add'l)	05/10/18	J		
241. Target Corp (TGT)	A	Dividend	J	T	Buy	01/17/18	J		
242.					Buy (add'l)	01/18/18	J		
243.					Buy (add'l)	01/19/18	J		
244.					Buy (add'l)	01/22/18	J		
245.					Buy (add'l)	01/23/18	J		
246.					Buy (add'l)	10/29/18	J		
247.					Buy (add'l)	10/30/18	J		
248. Sector SPDR Financial (XLF)	A	Dividend	J	T	Sold (part)	03/08/18	J	B	
249.					Buy (add'l)	06/25/18	J		
250. Texas Instruments (TXN)	A	Dividend			Buy (add'l)	01/17/18	J		
251.					Buy (add'l)	01/18/18	J		
252.					Buy (add'l)	01/19/18	J		
253.					Sold (part)	10/29/18	J		
254.					Sold	10/30/18	J		
255. Toronto Dominion Bank (TD)	A	Dividend	K	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 \$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 20 of 27

Name of Person Reporting

RICE, WALTER H.

Date of Report

07/25/2019

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)

256. Transcanada Corp (TRP)	A	Dividend			Sold (part)	05/25/18	J		
257.					Sold (part)	05/29/18	J		
258.					Sold (part)	05/30/18	J		
259.					Sold	06/01/18	J		
260. United Techs Corp Com (UTX)	A	Dividend	J	T	Buy (add'l)	02/09/18	J		
261.					Sold (part)	08/24/18	J	A	
262.					Sold (part)	08/27/18	J	A	
263.					Sold (part)	08/28/18	J	A	
264.					Buy (add'l)	11/13/18	J		
265.					Buy (add'l)	11/14/18	J		
266. Vanguard Consumer (VDC)	A	Dividend	K	T	Buy (add'l)	03/08/18	J		
267.					Sold (part)	04/13/18	J	A	
268.					Buy (add'l)	06/25/18	J		
269.					Sold (part)	06/28/18	J	A	
270.					Sold (part)	08/31/18	J	A	
271.					Sold (part)	11/08/18	J	A	
272. Vanguard FTSE Developed Markets ETF (VEA)	B	Dividend	L	T	Sold (part)	04/13/18	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 = \$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 21 of 27

Name of Person Reporting

RICE, WALTER H.

Date of Report

07/25/2019

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)

273. Vanguard Industrial (VIS)	A	Dividend	K	T	Sold (part)	04/13/18	J		
274.					Buy (add'l)	06/25/18	J		
275.					Sold (part)	06/28/18	J	A	
276.					Sold (part)	08/31/18	J	B	
277. Vanguard Information Tech (VGT)	A	Dividend	K	T	Sold (part)	03/08/18	K	D	
278.					Sold (part)	04/13/18	J	A	
279.					Sold (part)	06/28/18	J	A	
280.					Sold (part)	10/22/18	J	C	
281. Vanguard Materials (VAW)	A	Dividend	J	T					
282. Ventas Inc. REIT (VTR)	A	Dividend			Sold (part)	01/17/18	J		
283.					Sold (part)	01/18/18	J		
284.					Sold (part)	01/19/18	J		
285.					Sold (part)	03/12/18	J		
286.					Sold (part)	03/14/18	J		
287.					Sold (part)	03/15/18	J		
288.					Sold	03/19/18	J		
289. Verizon Communicatns Com (VZ)	A	Dividend	J	T	Sold (part)	01/17/18	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 = \$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 22 of 27

Name of Person Reporting

RICE, WALTER H.

Date of Report

07/25/2019

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)
290.					Sold (part)	03/12/18	J	A	
291.					Sold (part)	12/03/18	J	A	
292. Vodafone Group PLC ADR (VOD)	A	Dividend			Buy (add'l)	01/19/18	J		
293.					Sold (part)	09/05/18	J		
294.					Sold (part)	09/06/18	J		
295.					Sold (part)	09/07/18	J		
296.					Sold	09/10/18	J		
297. Walmart Inc (WMT)		None	J	T	Buy	10/29/18	J		
298.					Buy (add'l)	10/30/18	J		
299. Wells Fargo & Co New Del (WFC)	A	Dividend	J	T	Buy	08/24/18	J		
300.					Buy (add'l)	08/27/18	J		
301.					Buy (add'l)	08/28/18	J		
302.					Sold (part)	11/13/18	J		
303.					Sold (part)	12/14/18	J		
304. TRUST #2 (H)									
305. BIF Money Fund (cash)	A	Interest	K	T					
306. Curators Univ Mo Sys Facs Rev Ser B [REDACTED]	B	Interest			Sold	11/01/18	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	

FINANCIAL DISCLOSURE REPORT

Page 23 of 27

Name of Person Reporting

RICE, WALTER H.

Date of Report

07/25/2019

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)
307. Alaska Mun Bd Bk Ak Mun (██████████)	B	Interest	L	T					
308. Energy Northwest Wash (██████████)	B	Interest			Sold	05/14/18	L		
309. Florida St Brd Ed Pub Cap Outlay (██████████)	C	Interest	L	T	Sold (part)	09/07/18	K		
310. Massachusetts ST Dev Fin (██████████)	C	Interest	M	T					
311. Wake Cnty NC Ltd Oblig (██████████)	B	Interest	L	T	Buy	11/23/18	L		
312. Minnesota St. Ser D (██████████)	C	Interest	L	T					
313. Mississippi St Lt SER B (██████████)	C	Interest	L	T					
314. North Dakota Pub Fin (██████████)	C	Interest	L	T					
315. Virginia CBA Va Ed (██████████)	B	Interest	L	T					
316. Albuquerque NM Mun SD (██████████)	B	Interest	L	T					
317. Arizona Wtr Infrastr (██████████)	C	Interest			Sold	08/22/18	L		
318. Delaware Cnty PA Auth Rev Villanova Univ (██████████)	C	Interest	L	T					
319. Met GVT Nashville-Davidson Co Tn Rf (██████████)	B	Interest	L	T					
320. Delaware St Ser B RF (██████████)	C	Interest	L	T					
321. Chicago Ill O Hare Intl (██████████)	B	Interest	L	T					
322. Honolulu HI CY-CO WWTR Sys Rev Sr- First BD (██████████)	C	Interest	L	T					
323. New York St Dorm Auth St Pers Income Tax Rev D RF (██████████)	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	

FINANCIAL DISCLOSURE REPORT

Page 24 of 27

Name of Person Reporting

RICE, WALTER H.

Date of Report

07/25/2019

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)
324. Sioux Falls SD Sales Tax () (X)	B	Interest	L	T					
325. Denver Colo City & Cnty Sch Dist NO1 Sch GTD ()	C	Interest	L	T					
326. New Jersey St Tpk Auth ()		None	L	T	Buy	09/14/18	L		
327. Washington St Var Purp ()	B	Interest	L	T	Buy	05/21/18	L		
328. IRA #1 (H)									
329. Consumer Discretionary (XLY)	A	Dividend	J	T	Buy	07/13/18	J		
330.					Buy (add'l)	08/31/18	J		
331. First TR Exchange Traded (FDN)		None	J	T	Buy	07/13/18	J		
332. Health Care Select SPDR (XLV)	A	Dividend	J	T	Buy	07/13/18	J		
333. IShares NASDAQ Biotech (IBB)	A	Dividend	J	T	Buy	07/13/18	J		
334. IShares S&P Small Cap 600 Growth (IJT)	A	Dividend			Sold	07/13/18	J	A	
335. IShares S&P Small Cap 600 Value (IJS)	A	Dividend			Sold	07/13/18	J	A	
336. IShares Core S&P US Growth ETF (IUSG)	A	Dividend	J	T	Sold (part)	07/09/18	J	B	
337.					Sold (part)	07/13/18	J	C	
338. IShares Core S&P US Value ETF (IUSV)	A	Dividend	J	T	Sold (part)	07/09/18	J	A	
339.					Sold (part)	07/13/18	J	A	
340. Ishares MSCI Emerging (EEMA)	A	Dividend	J	T	Buy	07/13/18	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

Page 25 of 27

Name of Person Reporting

RICE, WALTER H.

Date of Report

07/25/2019

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)
341. Materials Select Sector (XLB)	A	Dividend	J	T	Buy	07/13/18	J		
342. Real Estate Select (XLRE)	A	Dividend	J	T	Buy	07/13/18	J		
343. Sector SPDR Consrms Stpl (XLP)	A	Dividend	J	T	Buy	07/13/18	J		
344. Sector SPDR Industrial (XLI)	A	Dividend	J	T	Buy	07/13/18	J		
345. Vanguard Financials ETF (VFH)	A	Dividend	J	T	Buy	07/13/18	J		
346. Vanguard Information (VGT)	A	Dividend	J	T	Buy	07/13/18	J		
347.					Sold (part)	08/31/18	J	A	
348. Vanguard FTSE Developed Markets ETF (VEA)	A	Dividend	J	T	Sold (part)	07/09/18	J	A	
349.					Sold (part)	07/13/18	K	B	
350. Trust #3 (H)									
351. ML Bank Deposit - BOA (cash)	A	Interest	L	T	Open	06/25/18	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	

FINANCIAL DISCLOSURE REPORT

Page 26 of 27

Name of Person Reporting	Date of Report
RICE, WALTER H.	07/25/2019

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

Page 27 of 27

Name of Person Reporting

RICE, WALTER H.

Date of Report

07/25/2019

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544