

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 05/03/2017
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 01/01/2016 to 12/31/2016
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.		

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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. 2016	Michigan Judges' Retirement System	\$36,311.16
2. 2016	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.				

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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. FIDELITY INDIVIDUAL ACCOUNT (H)									
2. -Fidelity Cash Reserves Mutual Fund	A	Dividend	K	T					
3. -Fidelity Core Account - Cash	A	Interest	J	T					
4.									
5. CHASE BANK (cash accounts)	A	Interest	M	T					
6.									
7. CHASE INVESTMENT PORTFOLIO (H)									
8. -JPMorgan TR II Liquid Assets Mmkt Instl	A	Dividend			Sold	05/03/16	J	A	
9. -Blackrock Funds High Yield Bond Portfolio Instl	A	Dividend			Sold (part)	03/29/16	J	A	
10.					Sold	05/03/16	J	A	
11. -Cohen & Steers Real Estate Securities Fund CL I	A	Dividend			Sold (part)	03/29/16	J	A	
12.					Sold	05/03/16	J	A	
13. -Causeway Cap Mgmt Tr Intl Value Fd Instl CI		None			Sold (part)	03/29/16	J	A	
14.					Sold	05/03/16	J	A	
15. -Delaware Group Emergings Markets Fund Instl CI		None			Sold (part)	03/29/16	J	A	
16.					Sold	05/03/16	J	A	
17. -Dreyfus Strategic Value Fund CL I		None			Sold (part)	03/29/16	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 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	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	

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☐ 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.					Sold	05/03/16	J	A	
19. Dodge & Cox Income Fund	A	Dividend			Sold (part)	03/29/16	J	A	
20.					Sold	05/03/16	J	A	
21. -Federated High Income Bond Fund Inc Cl A	A	Dividend			Sold (part)	03/29/16	J	A	
22.					Sold	05/03/16	J	A	
23. -Fidelity Advisor New Insights Fd Cl A	A	Dividend			Sold (part)	03/29/16	J	A	
24.					Sold	05/03/16	J	A	
25. -Federated Total Return SERS Inc Ultrashort BD Fd Instl Shs	A	Dividend			Sold (part)	03/29/16	J	A	
26.					Sold	05/03/16	J	A	
27. -Goldman Sachs Small Cap Value Funds- Instl Cl		None			Sold (part)	03/29/16	J	A	
28.					Sold	05/03/16	J	A	
29. -Goldman Sachs Emerging Mkts Debt Fd Instl Cl	A	Dividend			Sold (part)	03/29/16	J	A	
30.					Sold	05/03/16	J	A	
31. -Hartford Mutual Funds Inc Midcap Fund Cl I		None			Sold (part)	03/29/16	J	A	
32.					Sold	05/03/16	J	A	
33. -Oakmark Fund		None			Sold (part)	03/29/16	J	A	
34.					Sold	05/03/16	J	A	

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

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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. -Investment Managers SER Tr Oak Ridge Sml Cap Gth Fd Y		None			Sold (part)	03/29/16	J	A	
36.					Sold	05/03/16	J	A	
37. -JPMorgan Tr II Core Bd Fd Select Cl	A	Dividend			Sold (part)	03/29/16	J	A	
38.					Sold	05/03/16	J	A	
39. -JPMorgan Diversified Mid Cap Growth Fd Select Cl		None			Sold (part)	03/29/16	J	A	
40.					Sold	05/03/16	J	A	
41. -Lazard Fds Inc Intl Strategic Egi Port Instl		None			Sold (part)	03/29/16	J	A	
42.					Sold	05/03/16	J	A	
43. -MFS SER TR X Intl Value Fd Cl I		None			Sold (part)	03/29/16	J	A	
44.					Sold	05/03/16	J	A	
45. -MFS SER TR X Emerging Market Debt Fund Class I	A	Dividend			Sold (part)	03/29/16	J	A	
46.					Sold	05/03/16	J	A	
47. -Neuberger Berman Genesis FD Institutional Class		None			Sold (part)	03/29/16	J	A	
48.					Sold	05/03/16	J	A	
49. -Oppenheimer Developing Markets Fund Cl Y		None			Sold (part)	03/29/16	J	A	
50.					Sold	05/03/16	J	A	
51. -Oppenheimer International Growth Fund Cl Y		None			Sold (part)	03/29/16	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	

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52.					Sold	05/03/16	J	A	
53. Oppheimer Real Estate Fd Cl Y	A	Dividend			Sold (part)	03/29/16	J	A	
54.					Sold	05/03/16	J	A	
55. -Pimco Total Return Fund Instl Cl	A	Dividend			Sold (part)	03/29/16	J	A	
56.					Sold	05/03/16	J	A	
57. -Pimco Short Term Fund Instl Cl	A	Dividend			Sold (part)	03/29/16	J	A	
58.					Sold	05/03/16	J	A	
59. -T Rowe Price Blue Chip Growth Fund Inc Advisor Cl		None			Sold (part)	03/29/16	J	A	
60.					Sold	05/03/16	J	A	
61. -T Rowe Price Intl Funds Inc Emerging Markets Bond Fund	A	Dividend			Sold (part)	03/29/16	J	A	
62.					Sold	05/03/16	J	A	
63. -Vanguard Fixed Inc Secs Fd Inc Short Term Invst Grade Fund	A	Dividend			Sold (part)	03/29/16	J	A	
64.					Sold	05/03/16	J	A	
65. -Wells Fargo Advantage Mid Cap Disciplined Fl Cl L		None			Sold (part)	03/29/16	J	A	
66.					Sold	05/03/16	J	A	
67. -Dodge & Cox Stock Fund	A	Dividend			Sold (part)	03/29/16	J	A	
68.					Sold	05/03/16	J	A	

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69. -Mainstay High Yield	A	Dividend			Sold (part)	03/29/16	J	A	
70.					Sold	05/03/16	J	A	
71.									
72. MassMutual: whole life policy	A	Dividend	J	T					
73.									
74. INVESTORS CAPITAL BROKERAGE ACCOUNT (H)									
75. -Federated Capital Reserves	A	Dividend			Closed	09/02/16	J		
76. -Wayne St Univ Mich Univ Revs RFDG- GEN Ser A	A	Interest			Closed	09/02/16	J		
77. -American Balanced Fund Class A	A	Dividend			Sold (part)	02/24/16	K	A	
78.					Sold (part)	03/01/16	J	A	
79.					Sold	04/06/16	J	A	
80. -Franklin Convertible Secs Fund Class A	A	Dividend			Closed	09/02/16	J		
81. -Franklin Michigan Tax-Free Income Fund Class A	B	Dividend			Sold (part)	02/24/16	K	A	
82.					Sold (part)	06/16/16	K	A	
83.					Closed	09/02/16	J		
84. -Hartford Equity Income Fund Class A	A	Dividend			Closed	09/02/16	J		
85. -Lord Abbett Short Duration Income Fund Class A	A	Dividend			Sold	02/24/16	J	A	

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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86.	-Invesco Unit Trs Unit 1493 Dow Jones Total Mkt Port Enhanced Index St	A	Dividend		Redeemed	03/17/16	J	A	
87.	-Invesco Unit Trs Unit 1630 High Income Allocation Port 2016-1	A	Dividend		Buy	03/18/16	J		
88.					Closed	09/02/16	J		
89.									
90.	INVESTORS CAPITAL IRA ACCOUNT (H)								
91.	-Pershing Prime Reserves	A	Interest		Closed	09/02/16	J		
92.	-American Balanced Fund Class A	B	Dividend		Closed	09/02/16	L		
93.	-American Funds Global Balanced Fund Class A	A	Dividend		Closed	09/02/16	K		
94.	-American High Income Trust Class A	A	Dividend		Closed	09/02/16	J		
95.	-American Mutual Fund Class A	A	Dividend		Closed	09/02/16	L		
96.	-The Bond Fund of America Class A	A	Dividend		Closed	09/02/16	J		
97.	-Capital Income Builder Fund Class A	A	Dividend		Closed	09/02/16	L		
98.	-Capital World Bond Fund Class A	A	Dividend		Closed	09/02/16	K		
99.	-Europacific Growth Fund Class A		None		Buy (add'l)	01/05/16	J		
100.					Closed	09/02/16	J		
101.	-Franklin Balanced Fund Class A	A	Dividend		Sold (part)	01/05/16	J	A	
102.					Closed	09/02/16	J		

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103. -Franklin Small-Cap Value Fund Class A		None			Sold (part)	01/05/16	J	A	
104.					Closed	09/02/16	K		
105. -Fundamental Investors Class A	B	Dividend			Buy (add'l)	01/05/16	J		
106.					Closed	09/02/16	L		
107. -The Growth Fund of America Class A		None			Closed	09/02/16	J		
108. -The Hartford Mid-Cap Value Fund Class A		None			Sold (part)	01/05/16	J	A	
109.					Closed	09/02/16	K		
110. -The Hartford Balance Income Fund Class A	A	Dividend			Sold (part)	01/05/16	J	A	
111.					Closed	09/02/16	J		
112. -The Income Fund of America Class A	B	Dividend			Closed	09/02/16	L		
113. -The NewEconomy Fund Class A		None			Closed	09/02/16	K		
114. -New World Fund Class A		None			Closed	09/02/16	K		
115. -Build Amer Bds Income Tr Unit 61	A	Dividend			Closed	09/02/16	J		
116. -First Tr Combined Ser Unit 354 Build Amer Bds Port Ser 28	A	Dividend			Closed	09/02/16	J		
117. -Investment Grade Income TR 10-20-Yr Unit Ser 2	A	Dividend			Closed	09/02/16	J		
118. -Investment Grade Income TR 10-20 Yr Unit Ser 6	A	Dividend			Closed	09/02/16	J		
119.									

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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Battani, Marianne O.

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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. INDEPENDENT FINANCIAL GROUP BROKERAGE ACCOUNT (H)									
121. -Franklin Convertible Secs Fund Class A	A	Dividend	J	T	Open	09/02/16	J		
122. -Franklin Michigan Tax-Free Income Fund Class A	A	Dividend	J	T	Open	09/02/16	J		
123. -Hartford Equity Income Fund Class A	A	Dividend	J	T	Open	09/02/16	J		
124. Invesco Unit Trs Unit 1630 High Income Allocation	A	Dividend	J	T	Open	09/02/16	J		
125. Wayne St Univ Mich Univ Revs Rfdg-Gen Ser A	A	Interest	J	T	Open	09/02/16	J		
126. -Dreyfus Ins Deposit Program C	A	Dividend	J	T	Open	09/02/16	J		
127. -American Short-Term Tax-Exempt Bond Fund Class A	A	Dividend	J	T	Buy	10/03/16	K		
128. -American High-Income Municipal Bond Fund Class A	A	Dividend	J	T	Buy	10/03/16	K		
129. -Limited Term Tax Exempt Bond Fund of America	A	Dividend	K	T	Buy	10/03/16	K		
130.									
131. INDEPENDENT FINANCIAL GROUP IRA (H)									
132. -American Balanced Fund Class A	C	Dividend	L	T	Open	09/02/16	L		
133. -American Funds Global Balanced Fund Class A	A	Dividend	K	T	Open	09/02/16	K		
134. -American High Income Trust Class A	A	Dividend	J	T	Open	09/02/16	J		
135. -American Mutual Fund Class A	C	Dividend	L	T	Open	09/02/16	L		
136. -The Bond Fund of America Class A	A	Dividend	J	T	Open	09/02/16	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	

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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)
137. -Build Amer Bds Income Tr Unit 61	A	Dividend	J	T	Open	09/02/16	J		
138. -Capital Income Builder Fund Class A	A	Dividend	K	T	Open	09/02/16	L		
139. -Capital World Fund Class A	A	Dividend	K	T	Open	09/02/16	K		
140. -Europacific Growth Fund Class A	A	Dividend	J	T	Open	09/02/16	J		
141. -First Tr Combined Ser Unit 354 Build Amer Bds Port Ser 28	A	Dividend	J	T	Open	09/02/16	J		
142. -Franklin Balanced Fund Class A	A	Dividend	J	T	Open	09/02/16	J		
143. -Franklin Small-Cap Value Fund Class A	A	Dividend	K	T	Open	09/02/16	K		
144. -Fundamental Investors Class A	C	Dividend	L	T	Open	09/02/16	L		
145. -The Growth Fund of America	A	Dividend	J	T	Open	09/02/16	J		
146. -The Hartford Mid-Cap Value Fund Class A	B	Dividend	K	T	Open	09/02/16	K		
147. -The Hartford Balanced Income Fund Class A	A	Dividend	J	T	Open	09/02/16	J		
148. -The Income Fund of America Class A	B	Dividend	L	T	Open	09/02/16	L		
149. -Investment Grade Income Tr 10-20 Yr Unit Ser 2	A	Dividend	J	T	Open	09/02/16	J		
150. -Investment Grade Income Tr 10-20 Yr Unit Ser 6	A	Dividend	J	T	Open	09/02/16	J		
151. -The New Economy Fund Class A	A	Dividend	K	T	Open	09/02/16	K		
152. -New World Fund Class A	A	Dividend	K	T	Open	09/02/16	K		
153. -Dreyfus Ins Deposit Program C	A	Interest	J	T	Open	09/02/16	J		

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

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) 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.									

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

NOTE: THE INVESTORS CAPITAL IRA ACCOUNT (H) (lines 90 - 118) WAS TRANSFERRED TO INDEPENDENT FINANCIAL GROUP IRA ACCOUNT (H) (lines 131 - 153) ON 09/02/16

NOTE: THE INVESTORS CAPITAL BROKERAGE ACCOUNT (H) (lines 74 - 88) WAS TRANSFERRED TO INDEPENDENT FINANCIAL GROUP BROKERAGE ACCOUNT (H) (lines 120 - 129) ON 09/02/16.

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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
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