AO 10
Rev. 1/2021

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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)	2. Court or Organization	3. Date of Report
GRIFFIN, RICHARD A.	U.S. COURT OF APPEALS FOR THE SIXTH CIRCUIT	03/15/2022
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
CIRCUIT JUDGE, ACTIVE	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	01/01/2020 **to** 12/31/2020

7. Chambers or Office Address

13919 S. WEST BAYSHORE DRIVE
SUITE 208
TRAVERSE CITY, MI 49684

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. 05/01/2012	STATE OF MICHIGAN JUDGES RETIREMENT SYSTEM, DEFINED BENEFIT 234 PSA 1992, AS AMENDED BY 95 PA 2002
2.	
3.	

Name of Person Reporting	Date of Report
GRIFFIN, RICHARD A.	03/15/2022

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.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.	2020	STATE OF MICHIGAN JUDGES RETIREMENT SYSTEM, DEFINED BENEFIT PLAN	$90,864.60
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.)*

	DATE	SOURCE AND TYPE
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.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

Name of Person Reporting	Date of Report
GRIFFIN, RICHARD A.	03/15/2022

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
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.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
GRIFFIN, RICHARD A.	03/15/2022

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. Huntington Bank	A	Interest	L	T					
2. Independent Bank	A	Interest	M	T					
3. SchwabOneTrAcct: Revoc Living Trust U/A dated 09/21/18 (MGR Envestnet)									
4. - American Funds Tax Exempt Bond F3	A	Dividend	K	T					
5. - American High-Income Municipal Bond F3	A	Dividend	K	T					
6. - Blackrock Strategic Income Opps Instl	A	Dividend	K	T					
7. - Blackrock Strategic Muni Opps Instl	A	Dividend	K	T					
8. - PGIM High Yield Z	A	Dividend	J	T					
9. - Ishares Core S&P Mid Cap ETF IV	A	Dividend	K	T					
10. - Ishares Core S&P Small Cap ETF IV	A	Dividend	J	T					
11. - Ishares MSCI USA Min Vol FCT ETF IV	A	Dividend	K	T					
12. - ISHS MSCI Global Min Vol FCT ETF IV		None	K	T					
13. - Vanguard Mega Cap Growth ETF IV		None	L	T					
14. - Vanguard Mega Cap Value ETF IV		None	L	T					
15. - American Funds Capital World GR&Inc F3	A	Dividend	K	T					
16. - American Funds Fundamental Invs F3		None	K	T					
17. - American Funds New Perspective F3		None	J	T					

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
GRIFFIN, RICHARD A.	03/15/2022

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. - American Funds Smallcap World F3		None	J	T					
19. - American Funds Washington Mutual F3		None	J	T					
20. - Blackrock Health Sciences Opps Instl		None	K	T					
21. - Blockrock Technology Opportunities Instl		None	K	T					
22. CharlesSchwarb Mgr: Envestnet Inherited IRA from IRA (1) RPG									
23. - Ishares Core S&P Small Cap ETF IV	A	Dividend	J	T					
24. - Ishares Core S&P 500 ETF	A	Dividend	J	T					
25. - Ishares ESG Aware MSCI EM ETF		None	J	T					
26. - Ishares ESG Aware MSCI USA EFT	A	Dividend	J	T					
27. - Ishares Fallen Angels USD Bond ETF		None	J	T					
28. - Ishares Global Financials ETF IV		None	J	T					
29. - Ishares Global Tech ETF IV		None	J	T					
30. - Ishares MSCI EAFE Growth ETF IV		None	J	T					
31. - Ishares MSCI EAFE Value ETF IV		None	J	T					
32. - Ishares MSCI USA Value Factor ETF	A	Dividend	J	T					
33. - Ishares Tips Bond ETF IV		None	J	T					
34. - Ishares Total USD Bond Market ETF		None	J	T					

1 Income Gain Codes: (See Columns B1 and D4) — 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; 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 (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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

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GRIFFIN, RICHARD A.	03/15/2022

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.)*

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35. - Ishares TR IS 1-5 Yr In GR CR BD ETF	A	Dividend	J	T					
36. - Ishares U.S. Treasury Bond ETF	A	Dividend	J	T					
37. - Ishares US Energy ETF IV	A	Dividend	J	T					
38. - Ishares ETF GSCI DMD DYN STR ETF		None	J	T					
39. CharlesSchwab Custodian of Inherited IRA from IRA (2) MG									
40. - American Funds American Balanced A	A	Dividend	J	T					
41.									
42.									
43.									
44.									
45.									
46.									
47.									
48.									
49.									
50.									
51.									

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52.									

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

Lincoln Financial Advisors IRA now known as:

Charles Schwab - (Inherited IRA from IRA Account 1 and 2)
1. Charles Schwab MGR: Envestnet; and
2. Charles Schwab & Co. Inc. Custodian).

Name of Person Reporting	Date of Report
GRIFFIN, RICHARD A.	03/15/2022

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/ RICHARD A. GRIFFIN

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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One Columbus Circle, N.E.
Washington, D.C. 20544