AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2022

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

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	02/05/2024
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	01/01/2022 **to** 12/31/2022
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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☑ NONE *(No reportable positions.)*

POSITION	NAME OF ORGANIZATION/ENTITY
1.	
2.	
3.	
4.	
5.	

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements)*

☐ 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.	

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

A. Filer's Non-Investment Income

☐ NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.	2022	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
1.		
2.		
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ 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.	02/05/2024

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

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

Name of Person Reporting	Date of Report
GRIFFIN, RICHARD A.	02/05/2024

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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)	
1.	Huntington Bank	A	Interest	L	T					
2.	Independent Bank	A	Interest	M	T					
3.	SchwabOneTrAcct: Revoc Living Tr. U/A dated 09/21/18(MGREnvestnet) (H)									
4.	- American Funds Tax Exempt Bond F3 (TFEBX)	A	Dividend	K	T					
5.	- American High-Income Municipal Bond F3 (HIMFX)	A	Dividend	K	T					
6.	- Blackrock Strategic Income Opps Instl (BSIIX)	A	Dividend	K	T					
7.	- Blackrock Strategic Muni Opps Instl (MAMTX)	A	Dividend	K	T					
8.	- PGIM High Yield Z (PHYZH)	A	Dividend	J	T					
9.	- Ishares Core S&P Mid Cap ETF IV (IJH)	A	Dividend	K	T					
10.	- Ishares Core S&P Small Cap ETF IV (IJR)	A	Dividend	J	T					
11.	- Ishares MSCI USA Min Vol FCT ETF IV (USMV)	A	Dividend	K	T					
12.	- Ishares Emerging MarketsDiv ETF (DVYE)	A	Dividend	J	T					
13.	- ISHS MSCI Global Min Vol FCT ETF IV (ACWV)	A	Dividend	K	T					
14.	- Vanguard Mega Cap Growth ETF IV (MGK)	B	Dividend	L	T					
15.	- Vanguard Mega Cap Value ETF IV (MGV)	B	Dividend	L	T					
16.	- American Funds Capital World GR&Inc F3 (FWGIX)	B	Dividend	K	T					
17.	- American Funds Fundamental Invs F3 (FUNFX)	A	Dividend	K	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		

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GRIFFIN, RICHARD A.	02/05/2024

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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18. - American Funds New Perspective F3 (FNPFX)	A	Dividend	J	T					
19. - American Funds Smallcap World F3 (SFCWX)	A	Dividend	J	T					
20. - American Funds Washington Mutual F3 (FWMIX)	A	Dividend	J	T					
21. - Blackrock Health Sciences Opps Instl (SHSSX)	A	Dividend	K	T					
22. - Blockrock Technology Opportunities Instl (BGSIX)	A	Dividend	K	T					
23. - Blackrock Event Driven Equity In (BILPX)	A	Dividend			Sold	01/01/22	J		
24. - Blackrock Low Duration Bond Ins (BFMSX)	A	Dividend			Sold	01/01/22	J		
25. - Blackrock Mid-Cap Growth Equity (CMGIX)	A	Dividend			Sold	01/01/22	J		
26. - Blackrock Total Return Instl (MAHQX)	A	Dividend			Sold	01/01/22	J		
27. CharlesSchwab Mgr: Envestnet Inherited IRA from IRA (1) RPG (H)									
28. - Ishares Core S&P Small Cap ETF IV (IJR)	A	Dividend	J	T					
29. - Ishares Core S&P 500 ETF (IVV)	A	Dividend	J	T					
30. - Ishares ESG Aware MSCI EM ETF (ESGE)	A	Dividend	J	T					
31. - Ishares ESG Aware MSCI USA EFT (ESGU)	A	Dividend	J	T					
32. - Ishares Fallen Angels USD Bond ETF (FALN)	A	Dividend	J	T					
33. - Ishares Global Financials ETF IV (IXG)	A	Dividend	J	T					
34. - Ishares Global Tech ETF IV (IXN)	A	Dividend	J	T					

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	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	
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GRIFFIN, RICHARD A.	02/05/2024

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35. - Ishares MSCI EAFE Growth ETF IV (EFG)	A	Dividend	J	T					
36. - Ishares MSCI EAFE Value ETF IV (EFV)	A	Dividend	J	T					
37. - Ishares MSCI USA Value Factor ETF (VLUE)	A	Dividend	J	T					
38. - Ishares MSCI USA Min Vol Fctr ETV IV (USMV)	A	Dividend	J	T					
39. - Ishares Tips Bond ETF IV (TIP)	A	Dividend	J	T					
40. - Ishares Total USD Bond Market ETF (IUSB)	A	Dividend	J	T					
41. - Ishares TR IS 1-5 Yr In GR CR BD ETF (IGSB)	A	Dividend	J	T					
42. - Ishares U.S. Treasury Bond ETF (GOVT)	A	Dividend	J	T					
43. - Ishares US Energy ETF IV (IYE)	A	Dividend	J	T					
44. - Ishares ETF GSCI DMD DYN STR ETF (COMT)	A	Dividend	J	T					
45. - Ishares MSCI Emerging Market Min.Volume FCT ETF (EEMV)	A	Dividend	J	T	Buy	05/18/22	J		
46. - Ishares Convertible Bond ETF (ICVT)	A	Dividend	J	T	Buy	05/20/22	J		
47. - Ishares US Infrastructure ETF (IFRA)	A	Dividend	J	T	Buy	05/20/22	J		
48. - Ishares US Technology ETF IV (IYW)	A	Dividend	J	T	Buy	10/24/22	J		
49. - Ishares MBS ETF (MBB)	A	Dividend	J	T	Buy	10/24/22	J		
50. - Ishares MSCI USA MOMNTUMFCT ETF (MTUM)	A	Dividend	J	T	Buy	10/24/22	J		
51. - Ishares High Yield Corporate Bond ETF (SHYG)	A	Dividend	J	T	Buy	10/24/22	J		

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52. - Ishares 10-20 Year Treasury Bond ETF IV (TLH)	A	Dividend	J	T	Buy	10/24/22	J		
53. CharlesSchwab Custodian of Inherited IRA from IRA (2) MG (H)									
54. - American Funds American Balanced A	A	Dividend	J	T					
55.									
56.									
57.									
58.									
59.									
60.									
61.									
62.									
63.									
64.									
65.									
66.									

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Name of Person Reporting	Date of Report
GRIFFIN, RICHARD A.	02/05/2024

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

Name of Person Reporting	Date of Report
GRIFFIN, RICHARD A.	02/05/2024

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. § 13141 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. § 13106)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544