AO 10
Rev. 1/2019

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

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	05/06/2024
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	01/01/2023 **to** 12/31/2023
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.	05/06/2024

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.	2023	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.					

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.	05/06/2024

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)	B. Income during reporting period		C. Gross value at end of reporting period		D. 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 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)	B	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			Sold	1/1/23	J		
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)	A	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			Sold	09/29/23	K		

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.	05/06/2024

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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
18. - American Funds New Perspective F3 (FNPFX)	A	Dividend			Sold	09/29/23	K		
19. - American Funds Smallcap World F3 (SFCWX)	A	Dividend	J	T					
20. - American Funds Washington Mutual F3 (FWMIX)	A	Dividend	K	T	Sold (part)	09/29/23	J		
21. - Blackrock Health Sciences Opps Instl (SHSSX)	A	Dividend	K	T					
22. - Blockrock Technology Opportunities Instl (BGSIX)	A	Dividend	K	T					
23. -Capital Group Dividend Value ETF (CGDV)		None	K	T	Buy	10/02/23	K		
24. -Capital Group Global GRWT EQY ETF (CGGO)		None	J	T	Buy	10/02/23	J		
25. -Capital Group Core Equity ETF (CGUS)		None	J	T	Buy	10/02/23	J		
26. CharlesSchwab Mgr: Envestnet Inherited IRA from IRA (1) [redacted] (H)									
27. - Ishares Core S&P Small Cap ETF IV (IJR)	A	Dividend	J	T					
28. - Ishares Core S&P 500 ETF (IVV)	A	Dividend	J	T					
29. - Ishares ESG Aware MSCI EM ETF (ESGE)	A	Dividend	K	T					
30. - Ishares ESG Aware MSCI USA EFT (ESGU)	A	Dividend	J	T					
31. - Ishares Fallen Angels USD Bond ETF (FALN)	A	Dividend	J	T					
32. - Ishares Global Financials ETF IV (IXG)	A	Dividend	J	T					
33. - Ishares Global Tech ETF IV (IXN)	A	Dividend	J	T					
34. - Ishares MSCI EAFE Growth ETF IV (EFG)	A	Dividend	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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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
35. - Ishares MSCI EAFE Value ETF IV (EFV)	A	Dividend	J	T					
36. - Ishares MSCI USA Value Factor ETF (VLUE)	A	Dividend	J	T					
37. - Ishares MSCI USA Min Vol Fctr ETV IV (USMV)	A	Dividend	J	T					
38. - Ishares Tips Bond ETF IV (TIP)	A	Dividend	J	T					
39. - Ishares Total USD Bond Market ETF (IUSB)	A	Dividend	J	T					
40. - Ishares TR IS 1-5 Yr In GR CR BD ETF (IGSB)	A	Dividend	J	T					
41. - Ishares U.S. Treasury Bond ETF (GOVT)	A	Dividend	J	T					
42. - Ishares US Energy ETF IV (IYE)	A	Dividend	J	T					
43. - Ishares ETF GSCI DMD DYN STR ETF (COMT)	A	Dividend	J	T					
44. - Ishares MSCI Emerging Market Min.Volume FCT ETF (EEMV)	A	Dividend			Sold	01/11/23	J		
45. - Ishares Convertible Bond ETF (ICVT)	A	Dividend			Sold	01/11/23	J		
46. - Ishares US Infrastructure ETF (IFRA)	A	Dividend	J	T					
47. - Ishares US Technology ETF IV (IYW)	A	Dividend	J	T					
48. - Ishares MBS ETF (MBB)	A	Dividend	J	T					
49. - Ishares MSCI USA MOMNTUMFCT ETF (MTUM)	A	Dividend			Sold	01/11/23	J		
50. - Ishares High Yield Corporate Bond ETF (SHYG)	A	Dividend			Sold	01/11/23	J		
51. - Ishares 10-20 Year Treasury Bond ETF IV (TLH)	A	Dividend	J	T					

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52. - Ishares JPMorgan USD Emerg Markets Bond (EMB)		None	J	T	Buy	01/13/23	J		
53. - Ishares MSCI Emerging Mkts ex China ETF (EMXC)		None	J	T	Buy	10/23/23	J		
54. - Ishares Core MSCI Emerging Markets ETF (IEMG)		None	J	T	Buy	01/13/23	J		
55. - Ishares Core S&P Mid-Cap (IJH)		None	J	T	Buy	07/24/23	J		
56. - Ishares S&P 500 Growth (IVW)		None	J	T	Buy	07/24/23	J		
57. - Ishares Global Energy ETF (IXC)		None	J	T	Buy	10/23/23	J		
58. - Ishares iBoxx $Investment Grade Corporate Bond ET (LQD)		None	J	T	Buy	07/24/23	J		
59. - Ishares S&P 100 ETF (OEF)		None	J	T	Buy	10/23/23	J		
60. - Ishares MSCI USA Quality Factor ETF (QUAL)		None	J	T	Buy	03/21/23	J		
61. - Ishares Treasury Floating Rate Bond ETF (TFLO)		None	J	T	Buy	07/24/23	J		
62. - Ishares 20 Plus Year Treasury Bond ETF (TLT)		None	J	T	Buy	07/24/23	J		
63. CharlesSchwab Custodian of Inherited IRA from IRA (2) [redacted] (H)									
64. - American Funds American Balanced A	A	Dividend	J	T					
65.									
66.									
67.									
68.									

1. Income Gain Codes: (See Columns B1 and D4)
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3. Value Method Codes (See Column C2)
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69.									
70.									
71.									
72.									
73.									
74.									
75.									
76.									

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GRIFFIN, RICHARD A.	05/06/2024

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

Name of Person Reporting	Date of Report
GRIFFIN, RICHARD A.	05/06/2024

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. § 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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Washington, D.C. 20544