

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Gaughan, Patricia A.	2. Court or Organization U.S. District Court, N.D. Ohio	3. Date of Report 06/08/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address United States Courthouse 801 West Superior Avenue Cleveland, Ohio 44113		
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. Member - Board of Directors	St. John Medical Center Community Board
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. 1978	PERS - mandatory public retirement plan covering state and local public employees (SEE Chap 145 of the Ohio Revised Code)
2.	
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2015

St. Raphael Church (administration)

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

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. Keybank National Association Savings Account	A	Interest	J	T					
2. Third Federal Savings Checking Account	A	Interest	J	T					
3. Ohio PERS Retirement Fund	E	Distribution	L	T					
4. IRA - Columbus Life Insurance Co. Deferred Annuity	A	Interest	J	T					
5. IRA - Phoenix Home Life Flexible Annuity	A	Interest	J	T					
6. IRA - UBS cash equivalent									
7. -Columbia Contrarian Core Fund Class Z (X)	A	Dividend	J	T	Buy	05/20/15	J		
8. -Templeton Gibal Bond ADV (X)	A	Dividend	J	T	Sold (part)	01/23/15	J	A	
9. -Templeton Gibal Bond ADV (X)	A	Dividend	J	T	Sold (part)	04/23/15	J	A	
10. -Templeton Gibal Bond ADV (X)	A	Dividend	J	T	Sold (part)	05/20/15	J	A	
11. -Templeton Gibal Bond ADV (X)	A	Dividend	J	T	Sold (part)	07/24/15	J	A	
12. -Templeton Gibal Bond ADV (X)	A	Dividend	J	T	Sold (part)	10/23/15	J	A	
13. -Templeton Gibal Bond ADV (X)	A	Dividend	J	T					
14. -Henderson European Focus Fund CL I (X)	A	Dividend	J	T					
15. -Blackrock Global Allocation Fund Inc Institutional (X)	A	Dividend	J	T					
16. -Franklin Inc ADV (X)	A	Dividend	K	T					
17. -Thornburg Income Builder CL I (X)	A	Dividend	J	T					

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(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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☐ 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. IRA - UBS cash equivalent									
19. -Columbia Contrarian Core Fund Class Z (X)	A	Dividend	J	T	Buy	05/20/15	J		
20. -Pace Money Market Investments Fund (X)	A	Dividend			Sold	01/23/15	J	A	
21. -Templeton Gblal Bond ADV (X)	A	Dividend	J	T	Sold (part)	01/23/15	J	A	
22. -Templeton Gblal Bond ADV (X)	A	Dividend	J	T	Sold (part)	04/23/15	J	A	
23. -Templeton Gblal Bond ADV (X)	A	Dividend	J	T	Sold (part)	05/20/15	J	A	
24. -Templeton Gblal Bond ADV (X)	A	Dividend	J	T	Sold (part)	07/24/15	J	A	
25. -Templeton Gblal Bond ADV (X)	A	Dividend	J	T	Sold (part)	10/23/15	J	A	
26. -Templeton Gblal Bond ADV (X)	A	Dividend	J	T					
27. -Blackrock Global Allocation Fund Inc Institutional (X)	A	Dividend	J	T					
28. -Thornburg Income Builder CL I (X)	A	Dividend	J	T					
29. UBS Resource Management Brokerage Account #4									
30. -UBS Bank USA Deposit Account	A	Interest	J	T					
31. -American Funds Smallcap World Fund Class F2	A	Dividend	J	T					
32. -Artisan International Value Inv	A	Dividend	K	T					
33. -JP Morgan Large Cap Growth Fund Select	A	Dividend	K	T					
34. -Oppenheimer Developing Markets Fund Cl Y	A	Dividend			Sold	12/30/15	J	A	

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(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	
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35. -Prudential Jennison Equity Income Fund Class Z	A	Dividend	K	T					
36. -Third Ave Tr Real Estate Value FD	A	Dividend	J	T					
37. -THORNBURG CORE GROWTH FUND I	A	Dividend	K	T					
38. -EATON VANCE GLOBAL MACRO ABSOLUTE RETURN FUND I	A	Dividend	J	T					
39. -LOOMIS SAYLES INVESTMENT GRADE BOND FUND CLASS Y	A	Dividend			Sold	12/30/15	J	A	
40. -PRUDENTIAL SHORT-TERM CORPORATE BOND FUND CLASS INC Z (X)	A	Dividend			Sold	12/30/15	K	A	
41. -FRANKLIN INC ADV	B	Dividend			Sold	12/30/15	K	A	
42. -IVY ASSET STRATEGY FUND CLASS I	A	Dividend			Sold	12/30/15	K	A	
43. -PRINCIPAL FDS INC, GLOBAL DIVERSIFIED INCOME FUND CLASS P (X)	A	Dividend			Sold	12/30/15	J	A	
44. -AQR MANAGED FUTURES STRATEGY FUND CLASS I	A	Dividend	J	T					
45. -THORNBURG CORE GROWTH FUND I	A	Dividend	K	T					
46. -OPPENHEIMER SR FLOATING RATE FD CLASS Y	A	Dividend			Sold	12/30/15	J	A	
47. -AMG YACKTMAN FOCUSED FUND CLASS SVC	A	Dividend			Sold	05/20/15	K	A	
48. -Columbian Contrarian Core Fund Class Z (X)	A	Dividend	J	T	Buy	05/20/15	J		
49. -Eagle Small Cap Growth Fund Class I (X)	A	Dividend			Buy	05/20/15	J		
50. -Eagle Small Cap Growth Fund Class I (X)	A	Dividend			Sold	12/30/15	J	A	

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51. -Amer Funds New World Fund Class F2 (X)	A	Dividend	J	T	Buy	12/30/15	J		
52. -Pioneer Fltng Rate FD CL Y (X)	A	Dividend	J	T	Buy	12/30/15	J		
53. -Vanguard Short-Term Corp BD IDX Admiral (X)	A	Dividend	K	T	Buy	12/30/15	K		
54. -Prudential Total Return Bond Fund Class Z (X)	A	Dividend	J	T	Buy	12/30/15	J		
55. -The Income of Fund of America Fund Class F2 (X)	A	Dividend	K	T	Buy	12/30/15	K		
56. -T Rowe Price Diversified Small Cap Growth FD (X)	A	Dividend	J	T	Buy	12/30/15	J		
57. -Thornburg Income Builder CL I (X)	A	Dividend	K	T	Buy	12/30/15	K		
58. -Vanguard Mid-Cap Index Fund Admiral (X)	A	Dividend	J	T	Buy	12/30/15	J		
59. -Henderson European Focus Fund CL I	A	Dividend	J	T					
60. -Nuveen Invt TR NWQ Small Cap Value FD CL I	A	Dividend	J	T					

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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.)*

VII. INVESTMENTS AND TRUSTS

Assets in lines 8-17 and 20-28 were exempt from prior disclosure because they were not previously required to be reported.

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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/ Patricia A. Gaughan**

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