

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) Rose, Thomas M.	2. Court or Organization U.S. District Ct., S.D. Ohio	3. Date of Report 04/18/2017
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 01/01/2016 to 12/31/2016
7. Chambers or Office Address 200 West Second Street 9th Floor, Federal Building Dayton, OH 45402		
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.	Partner	Rose and Buerger Farms LLP
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.	1976	Public Employees Retirement System, no control, retirement
2.	2005	Northwestern Mutual Individual retirement account - self directed (rolled from Ohio Deferred Comp Fund)
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	Ohio Public Employee Retirement System (Retirement)	\$87,806.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2016	Greene Co., OH/State of Ohio- Greene County Clerk of Courts/Salary
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.)*

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.		

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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. Franklin Co Hosp Rev Bond 11/1/23	A	Dividend	K	T					
2. Chillicothe Ohio School Bonds	A	Dividend	J	T	Buy	10/25/16	J		
3. Akron OH G.O. Bond 12/1/30	A	Dividend	J	T					
4. Centerville Ohio Hlth Ca (Bethany Lutheran) Vlg. Proj 11/17	B	Interest	K	T					
5. Field, OH Local Sch GO Bonds 12/1/18	A	Dividend			Sold	01/02/16	J	A	
6. Franklin Co Health Care Fac Bond (Ohio Presb) 7/1/26	A	Dividend	J	T					
7. Mahoning County Ohio Gen Obligation Bonds 12/1/21	B	Interest	K	T					
8. Cleveland Ohio ARPT Sys Revenue 1/1/18	A	Interest	K	T					
9. American Muni Power	A	Dividend	K	T	Buy	06/03/16	K		
10. Ohio State Wtr Dev Auth Bond 6/1/33	A	Interest			Sold	06/01/16	J	A	
11. Hamilton Cty, OH Swr Sys FAC Bonds 12/1/17 (X)	A	Interest			Sold	12/01/16	K	A	
12. Ross County, OH Hosp Fac Rev. Bonds (Adena) (12-1/28)	A	Interest	K	T					
13. Cincinnati, OH Economic Dev Bonds	A	Dividend	J	T					
14. Cincinnati, OH Urban Reber Bonds	A	Dividend	J	T					
15. Covnetry Ohio Local School District Bonds	A	Dividend	J	T					
16. Alerian MLP ETF	A	Interest	J	T					
17. Deerfield Twp Ohio Tax Bonds	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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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 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. Johnson-Monroe Local School Dist	A	Dividend	J	T					
19. Ohio University General Receipts Bonds (see VIII for explanation)	A	Dividend	J	T					
20. Warrenville Heights Bonds (see VIII for explanation)	A	Dividend	J	T					
21. Key Bank	A	Dividend	J	T					
22. Ohio St. High Ed Fac. Comm Bond	A	Dividend	K	T					
23. Carnival Cruise Lines	A	Dividend	J	T	Buy	04/26/16	J		
24. Lowes	A	Dividend			Sold	09/08/16	J	A	
25. Ford	A	Dividend			Sold	12/27/16	J	A	
26. Red Hat	A	Dividend	J	T					
27. Conoco Phillips	A	Dividend			Sold	12/27/16	K	A	
28. Boeing Co. Common Stock	A	Dividend	K	T	Sold (part)	09/12/16	J	A	
29. GE Common Stock	A	Dividend	K	T	Sold (part)	09/12/16	J	A	
30. Thornburg Value Fund Class A Re/Re/Re 50586	A	Dividend	K	T					
31. Thornburg Invest. Income Class A 50590	B	Dividend	K	T					
32. Whiting Petroleum Corp.	A	Dividend			Buy	03/14/16	J		
33.	A	Dividend			Sold	08/18/16	J	A	
34. Johnson and Johnson	A	Dividend	J	T					

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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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. Caterpillar	A	Dividend	K	T					
36. Facebook Common Stock	A	Dividend	L	T	Sold (part)	09/09/16	J	A	
37. Adient (ARNAC) Spinoff from Johnson Controls	A	Dividend			Sold	12/27/16	J	A	
38. Cisco	A	Dividend	K	T	Buy (add'l)	06/03/16	J		
39. Weyerhaeuser stock	A	Dividend	K	T					
40. Timkin	A	Dividend	J	T					
41. Akamai	A	Dividend	J	T					
42. Johnson Control	A	Dividend			Sold	12/27/16	K	A	
43. Wells Fargo	A	Dividend	J	T					
44. Worthington Industries	A	Dividend			Sold	08/18/16	J	A	
45. Dow Chemical	A	Dividend	J	T					
46. Honeywell	A	Dividend			Sold	09/07/16	J	A	
47. TJX	A	Dividend	J	T					
48. Walt Disney	A	Dividend			Sold	11/01/16	J	A	
49. Alcoa	A	Dividend	J	T					
50. Arconic (Spinoff from Alcoa)	A	Dividend			Sold	12/27/16	J	A	
51. Twitter	A	Dividend	J	T	Sold (part)	12/22/16	J	A	

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52. Ambarella	A	Dividend	J	T					
53. Starbucks	A	Dividend	J	T					
54. Columbia Acorn International Fund	A	Dividend			Sold	09/19/16	J	A	
55. Fidelity Advisor Mid Capp II Fund	A	Dividend	J	T					
56. Fidelity Advisor New Insights Fund Class	A	Dividend	K	T					
57. New World Fund Class F-2	A	Dividend	K	T					
58. Deutsche Echange Commodity Strategy Fund Inst.	A	Dividend	J	T					
59. The Oakmark International Fund	A	Dividend	K	T					
60. MFS Value Fund Class	A	Dividend	K	T					
61. Dreyfus Ins. Deposit	A	Dividend	J	T					
62. T Rowe Price Real Estate	A	Dividend	J	T					
63. Templeton Global Bond Fund Class A	A	Dividend	J	T					
64. Northern Small Cap Value Fund	A	Dividend	J	T					
65. Pimco Income Fund Class	A	Dividend	K	T					
66. Europacific Growth Fund (Am Imos)	A	Dividend	K	T					
67. Am. Century Diversified Bonds	A	Dividend	K	T					
68. Dodge & Cox Income Fund	A	Dividend	K	T					

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69. Hartford World Bond Fund	A	Dividend	J	T					
70. Int Growth & Income Fund (Am Funds)	A	Dividend	J	T					
71. John Hancock Discp Fund	A	Dividend	J	T					
72. Metropolitan West Total Return Fund	A	Dividend	J	T					
73. Sweney Cartwright Stock Cash Account	C	Interest	M	T					
74. Rose and Buerger Farms LLP	A	Distribution	L	W					

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

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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/ **Thomas M. Rose**

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