

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) Gaughan, Patricia A.	2. Court or Organization U.S. District Court, N.D. Ohio	3. Date of Report 08/10/2017
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 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Member - Board of Directors	St. John Medical Center Community Board
2. Member - Board of Directors	Collaborative to End Human Trafficking
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. 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. 2016

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	K	T					
2. Third Federal Savings Checking Account (Y)									
3. IRA - Columbus Life Insurance Co. Deferred Annuity	A	Interest			Distributed	06/20/16	J		
4. IRA - Phoenix Home Life Flexible Annuity	A	Interest			Distributed	04/25/16	J		
5. IRA #1 (H)									
6. Columbia Contrarian Core Fund Class Z (SMGIX)	A	Dividend	J	T					
7. Templeton Gblal Bond ADV (TGBAX)	A	Dividend	J	T					
8. Henderson Eiropean Focus Fund CL I (HFEIX) (Y)									
9. Blackrock Global Allocation Fund Inc Institutional (MALOX)	A	Dividend	J	T					
10. Franklin Inc ADV (FRIAX)		None			Sold	02/05/16	K		
11. The Income of America Fund Class F2 (AMEFX)	A	Dividend	K	T	Buy	02/05/16	K		
12. Thornburg Income Builder CL I (TIBIX)	A	Dividend	J	T					
13. IRA #2 (H)									
14. Columbia Contrarian Core Fund Class Z	A	Dividend	J	T					
15. Templeton Gblal Bond ADV	A	Dividend	J	T					
16. Blackrock Global Allocation Fund Inc Institutional	A	Dividend	J	T	Buy (add'l)	08/04/16	J		
17. Thornburg Income Builder CL I	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 H = \$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 = \$250,000.01 - \$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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18. MFS Value Fund Class I	A	Dividend	J	T	Buy	08/04/16	J		
19. Brokerage #1 (H)									
20. UBS Bank USA Deposit Account	A	Interest	J	T					
21. American Funds Smallcap World Fund Class F2 (SMCFX)	A	Dividend	J	T					
22. Artisan International Value Inv (APDKX)	A	Dividend	K	T					
23. JP Morgan Large Cap Growth Fund Select (SEEGX)	A	Dividend	K	T					
24. Prudential Jennison Equity Income Fund Class Z	A	Dividend			Sold	11/14/16	K	B	
25. Third Ave Tr Real Estate Value FD		None			Sold	02/05/16	J	A	
26. EATON VANCE GLOBAL MACRO ABSOLUTE RETURN FUND I (EIGMX)	A	Dividend	J	T					
27. PRUDENTIAL SHORT-TERM CORPORATE BOND FUND CLASS INC Z (PIFZX)	A	Dividend	K	T	Buy	02/05/16	K		
28. PRINCIPAL FDS INC, GLOBAL DIVERSIFIED INCOME FUND CLASS P (PGDPX)	B	Dividend	K	T					
29. AQR MANAGED FUTURES STRATEGY FUND CLASS I (AQMIX)	A	Dividend	J	T					
30. THORNBERG CORE GROWTH FUND I		None			Sold	02/05/16	J	B	
31. OPPENHEIMER SR FLOATING RATE FD CLASS Y (OOSYX)	A	Dividend	J	T	Buy	02/05/16	J		
32. Columbian Contrarian Core Fund Class Z (SMGLX)	A	Dividend	J	T					
33. Amer Funds New World Fund Class F2 (NFFFX)	A	Dividend	J	T					

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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	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	
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34. Pioneer Fltng Rate FD CL Y		None			Sold	02/05/16	J		
35. Vanguard Short-Term Corp BD IDX Admiral		None			Sold	02/05/16	K		
36. Prudential Total Return Bond Fund Class Z (PDBZX)	A	Dividend	J	T					
37. The Income Fund of America Fund Class F2 (AMEFX)	A	Dividend	K	T					
38. T Rowe Price Diversified Small Cap Growth FD (PRDSX)	A	Dividend	J	T					
39. Thornburg Income Builder CL I (TIBIX)	B	Dividend	K	T					
40. Vanguard Mid-Cap Index Fund Admiral		None			Sold	02/05/16	J		
41. Henderson European Focus Fund CL I	A	Dividend			Sold	11/14/16	J		
42. Nuveen Invt TR NWQ Small Cap Value FD CL I (NSCRX)	A	Dividend	J	T					
43. Cohen & Steers Real Estate Securities BD (CSDIX)	A	Dividend	K	T	Buy	02/05/16	J		
44.					Buy (add'l)	12/20/16	K		
45. Jensen Quality Growth Fund Class I (JENIX)	A	Dividend	J	T	Buy	02/05/16	J		
46. JP Morgan Equity Income Fund (HLIEX)	A	Dividend	K	T	Buy	12/20/16	K		
47. Principal Midcap Fund Class P (PMCPX)	A	Dividend	J	T	Buy	02/05/16	J		

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

Part VII, lines 3 and 4: Cash-based; no underlying investments.

Part VII, line 3 of the 2015 report is a defined benefit pension plan, therefore it has been removed from Part VII of my reports. It continues to be reported in Part II, and any benefits received will be listed in Part III A.

Part VII, lines 8 and 16: See 2015, lines 8-13 and 21-26, respectively.

Part VII, lines 37 and 45 of 2015 report: Inadvertently duplicated entries.

Part VII, line 43, Column D(1) of the 2015 report: Transaction should have reflected a partial sale.

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