

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) Rose, Thomas M.	2. Court or Organization U.S. District Ct., S.D. Ohio	3. Date of Report 07/08/2016
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 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. 2015	Ohio Public Employee Retirement System (Retirement)	\$85,931.00
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. 2015	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	Buy	01/08/15	J		
2. Wilmington Ohio Water Rev Bond 6/15/16	A	Dividend			Sold	06/26/15	J	A	
3. Akron OH G.O. Bond 12/1/30	A	Dividend	J	T	Buy	01/20/15	J		
4. Centerville Ohio Hlth Ca (Bethany Lutheran) Vlg. Proj 11/17	B	Interest	K	T					
5. Clyde Green Springs School Dist. Obligation Bond 12/1/15	A	Dividend			Sold	12/02/15	K	A	
6. Field, OH Local Sch GO Bonds 12/1/18	A	Dividend	J	T					
7. Franklin Co Health Care Fac Bond (Ohio Presb) 7/1/26	A	Dividend	J	T					
8. Mahoning County Ohio Gen Obligation Bonds 12/1/21	B	Interest	K	T					
9. Ohio St Water Dev. Bonds (First Eng) 7/1/33	A	Dividend			Sold	07/01/15	K	A	
10. Cleveland Ohio ARPT Sys Revenue 1/1/18	A	Interest	K	T					
11. Cleveland Ohio ARPT Sys Revenue 1/1/15	A	Interest			Redeemed	01/02/15	K	A	
12. Ohio State Wtr Dev Auth Bond 6/1/33	A	Interest	J	T					
13. Hamilton Cty, OH Swr Sys FAC Bonds 12/1/17 (X)	A	Interest	K	T					
14. Ross County, OH Hosp Fac Rev. Bonds (Adena) (12-1/28)	A	Interest	K	T					
15. Cincinnati, OH Economic Dev Bonds	A	Dividend	J	T	Buy	11/24/15	J		
16. Cincinnati, OH Urban Reber Bonds	A	Dividend	J	T	Buy	11/24/15	J		
17. Covnetry Ohio Local School District Bonds	A	Dividend	J	T	Buy	07/27/15	J		

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	B = \$1,001 - \$2,500 F = \$50,001 - \$100,000	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	J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	L = \$50,001 - \$100,000 O = \$500,001 - \$1,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	P4 = More than \$50,000,000
3. Value Method Codes	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) U = Book Value	S = Assessment V = Other	T = Cash Market	W = Estimated

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18. Alerian MLP ETF	A	Interest	J	T					
19. Deerfield Twp Ohio Tax Bonds	A	Dividend	J	T	Buy	09/28/15	J		
20. Johnson-Monroe Local School Dist (see VIII for explanation)	A	Dividend	J	T					
21. Ohio University General Receipts Bonds (see VIII for explanation)	A	Dividend	J	T					
22. Warrenville Heights Bonds (see VIII for explanation)	A	Dividend	J	T					
23. Key Bank (see VIII for explanation)	A	Dividend	J	T					
24. Ohio St. High Ed Fac. Comm Bond	A	Dividend	J	T	Buy	09/28/15	J		
25. Eaton	A	Dividend			Sold	01/05/15	K	A	
26. Lowes	A	Dividend	J	T	Buy	02/24/15	J		
27. Ford	A	Dividend	J	T					
28. Red Hat	A	Dividend	J	T	Buy	01/14/15	J		
29. Conoco Phillips	A	Dividend	J	T					
30. Boeing Co. Common Stock	A	Dividend	L	T					
31. GE Common Stock	A	Dividend	K	T					
32. Thornburg Value Fund Class A Re/Re/Re 50586	A	Dividend	K	T					
33. Thornburg Invest. Income Class A 50590	B	Dividend	K	T					
34. Johnson and Johnson	A	Dividend			Sold	02/13/15	K		

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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	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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35. Johnson and Johnson	A	Dividend	J	T	Buy	07/15/15	J		
36. Caterpillar	A	Dividend	K	T					
37. Facebook Common Stock	A	Dividend	L	T					
38. Qualcomm	A	Dividend			Buy	02/13/15	J		
39.	A	Dividend			Sold	11/24/15	J	A	
40. Cisco	A	Dividend	J	T	Buy	02/13/15	J		
41. Weyerhaeuser stock	A	Dividend	K	T					
42. Timkin	A	Dividend	J	T					
43. Akamai	A	Dividend	J	T					
44. Applied Material	A	Dividend			Sold	01/05/15	J	A	
45. Johnson Control	A	Dividend	K	T					
46. Dresser Ran	A	Dividend			Sold	07/01/15	J	B	
47. Wells Fargo	A	Dividend	J	T	Buy	07/15/15	J		
48. Worthington Industries	A	Dividend	J	T	Buy	01/28/15	J		
49. JC Penney	A	Dividend			Sold	07/13/15	J		
50. Direct TV	A	Dividend			Sold	07/27/15	J	A	
51. Dow Chemical	A	Dividend	J	T					

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52. Honeywell	A	Dividend	J	T					
53. TJX	A	Dividend	J	T					
54. Walt Disney	A	Dividend	J	T					
55. Rite Aid	A	Dividend			Buy	02/13/15	J		
56.	A	Dividend			Buy	04/19/15	J		
57.	A	Dividend			Sold	07/13/15	J	A	
58. Alcoa	A	Dividend	J	T	Buy	02/20/15	J		
59.	A	Dividend	J	T	Buy	04/10/15	J		
60. Twenty-First Century Fox	A	Dividend			Buy	03/30/15	J		
61.	A	Dividend			Sold	06/11/15	J	A	
62. Twitter	A	Dividend	J	T	Buy	04/15/15	J		
63.	A	Dividend			Buy	04/28/15	J		
64.	A	Dividend			Sold (part)	12/31/15	J	A	
65. Ambarella	A	Dividend	J	T	Buy	06/23/15	J		
66.	A	Dividend			Sold (part)	12/31/15	J	A	
67. Fit Bit	A	Dividend			Buy	07/16/15	J		
68.	A	Dividend			Sold	08/27/15	J	A	

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69. Starbucks	A	Dividend	J	T	Buy	10/30/15	J		
70. Columbia Acorn International Fund	A	Dividend	J	T					
71. Fidelity Advisor Mid Capp II Fund	A	Dividend	J	T					
72. Fidelity Advisor New Insights Fund Class	A	Dividend	K	T					
73. New World Fund Class F-2	A	Dividend	J	T	Buy	12/07/15	J		
74. Deutsche Echange Commodity Strategy Fund Inst.	A	Dividend	J	T	Buy	12/07/15	J		
75. The Oakmark International Fund	A	Dividend	J	T					
76. MFS Value Fund Class	A	Dividend	K	T					
77. T Rowe Price Emerging Markets	A	Dividend			Sold	12/01/15	K	A	
78. T Rowe Price Real Estate	A	Dividend	J	T					
79. Templeton Global Bond Fund Class A	A	Dividend	J	T					
80. Northern Small Cap Value Fund	A	Dividend	J	T					
81. Pimco Income Fund Class	A	Dividend	K	T					
82. Europacific Growth Fund	A	Dividend	J	T					
83. Am. Century Diversified Bonds	A	Dividend	J	T					
84. Dodge & Cox Income Fund	A	Dividend	K	T					
85. Hartford World Bond Fund	A	Dividend	J	T					

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86. Int Growth & Income Fund	A	Dividend	J	T					
87. Pimco Commod. Plus Fund	A	Dividend			Sold	12/07/15	J	A	
88. Principal High Yield	A	Dividend			Sold	06/29/15	J	A	
89. John Hancock Discp Fund	A	Dividend	J	T					
90. Metropolitan West Total Return Fund	A	Dividend	J	T					
91. Sweney Cartwright Stock Cash Account	C	Interest	M	T					
92. Rose and Buerger Farms, LLP	A	Distribution	L	W					
93. Rental Property, Greene County, Ohio	A	Rent			Sold	08/03/15	M	E	Ronald Dowling

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

Assets listed on Lines 20-23 were inadvertently omitted from the 2014 Financial Disclosure Report. Those assets were bought as follows:

Johnson-Monroe Local School Dist. 11/03/14
Ohio University General Receipts Bonds 08/07/14
Warrenville Heights Bonds 12/02/14
Key Bank 01/02/14

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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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544