

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) Newman, Michael J.	2. Court or Organization United States District Court, Southern District of Ohio	3. Date of Report 8/24/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge - full time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 1/1/2011 to 12/31/2011
7. Chambers or Office Address 200 West Second Street, Room 505 Dayton, Ohio 45402		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the <i>NONE</i> box for each part where you have no reportable information. Insert signature on last page.		

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. Board of Directors	Cincinnati Public Radio, Inc.
2. Board of Directors	Cincinnati Bar Association
3. Board of Directors	Federal Bar Association
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. 1991	United States Government Thrift Savings Plan; pension upon retirement
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Newman, Michael J.

Date of Report

8/24/2012

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. _____	_____	_____
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. _____	_____
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. Federal Bar Association	January 28 - 30, 2011	Los Angeles, CA	Board of Directors Meeting	Transportation, meals, hotel
2. Federal Bar Association	March 16 - 20, 2011	Washington, DC	Board of Directors Meeting	Transportation, meals, hotel
3. Federal Bar Association	June 23 - 25, 2011	New York City, NY	Board of Directors Meeting	Transportation, meals, hotel
4. Federal Bar Association	Sept 7 - 11, 2011	Chicago, Ill	Board of Directors Meeting	Transportation, meals, hotel
5. _____	_____	_____	_____	_____

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Newman, Michael J.

Date of Report

8/24/2012

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.	Federal Bar Association - Dayton, Ohio Chapter	Donation used toward the reception following the investiture.	\$500.00
2.	Federal Bar Association - Cincinnati/ Northern Kentucky Chapter	Donation used toward the reception following the investiture.	\$1,000.00
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.	Wells Fargo Bank	Primary Mortgage; Rental property #1; Beach Haven N.J.(Section 7, Line #18)	O
2.	CitiBank	Secondary Mortgage; Rental property #1; Beach Haven, N.J.	None
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Newman, Michael J.

Date of Report

8/24/2012

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. Brokerage Account #1									
2. Gabelli Asset Fund	A	Dividend	J	T					
3. iShares MSCI Australia Index Fund	A	Dividend	J	T					
4. iShares Trust MSCI EAFE Index	A	Dividend	J	T					
5. India Fund	A	Dividend	J	T					
6. SPDR S&P 500 ETF Trust	A	Dividend	J	T					
7. Vanguard Total stock Market ETF	A	Dividend	J	T					
8. Brokerage Account #2									
9. Gabelli Asset Fund	A	Dividend	J	T					
10. iShares MSCI Australia Index Fund	A	Dividend	J	T					
11. iShares Trust MSCI EAFE Index	A	Dividend	J	T					
12. India Fund	A	Dividend	J	T					
13. SPDR S&P 500 ETF Trust	A	Dividend	J	T					
14. Vanguard Total stock Market ETF	A	Dividend	J	T					
15. Brokerage Account #3									
16. Gabelli Asset Fund (Correction of spelling)	A	Dividend	J	T					
17. iShares MSCI Australia Index Fund	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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

Newman, Michael J.

Date of Report

8/24/2012

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)

18. iShares Trust MSCI EAFE Index	A	Dividend	J	T					
19. India Fund	A	Dividend	J	T					
20. SPDR S&P 500 ETF Trust	A	Dividend	J	T					
21. Vanguard Total stock Market ETF	A	Dividend	J	T					
22. Brokerage Account #4									
23. "Private Bank" - deposit account	A	Interest	J	T					
24. Brokerage Acct #5									
25. Cincinnati Financial	A	Dividend	J	T					
26. Deutsche Telekom	A	Dividend	J	T					
27. Exxon Mobile	A	Dividend	J	T					
28. GE	A	Dividend	J	T					
29. Intel	A	Dividend	J	T					
30. Johnson & Johnson	A	Dividend	J	T					
31. Merck	A	Dividend	J	T					
32. Spectra Energy	A	Dividend	J	T					
33. Abbott Laboratories	B	Dividend	J	T	Buy	10/4/11	J		
34. See Part VIII									

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

Newman, Michael J.

Date of Report

8/24/2012

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)

35. See Part VIII									
36. Cisco Systems	C	Dividend	J	T	Buy	12/02/11	J		
37. Conoco Phillips	A	Dividend	J	T	Buy	10/04/11	J		
38. See Part VIII									
39. Eli Lilly & Co	B	Dividend	J	T	Buy	10/17/11	J		
40. Morgan Stanley Cap Trust Pfd	B	Dividend	J	T	Buy	10/17/11	J		
41. See Part VIII									
42. See Part VIII									
43. See Part VIII									
44. Penn West Energy	B	Dividend	J	T	Buy	10/17/11	J		
45. Pentair	B	Dividend	J	T	Buy	10/04/11	J		
46. See Part VIII									
47. Procter & Gamble	C	Dividend	J	T	Buy	10/12/11	J		
48. A Schulman	B	Dividend	J	T	Buy	10/04/11	J		
49. Waste Management	B	Dividend	J	T	Buy	10/04/11	J		
50. Wells Farbo Corp Pfd	B	Dividend	J	T	Buy	10/17/11	J		
51. Whirlpool	C	Dividend	J	T	Buy	11/09/11	J		

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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

Newman, Michael J.

Date of Report

8/24/2012

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)
52.					Buy	11/23/11	J		
53. Private Bank - Bank Deposit Account	A	Interest	M	T					
54. 401(k) #1	A	Interest	L	T					
55. Rental property #1 Beach Haven, N.J.	F	Rent	P1	W					
56. 1/2 interest [REDACTED], Laura, Ohio	D	Rent	N	W					
57.									

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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Newman, Michael J.

Date of Report

8/24/2012

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

Per instruction in the advisory letter of August 13, 2012 the following corrections have been made to the May 15, 2011 amended report.

PART VII - page 5, line 23 - The listing of cash has been amended to indicate this is a bank deposit account with Private Bank.

PART VII - page 7, line 52 - The list of cash has been amended to indicate this is a bank deposit account with Private Bank.

PART VII - pages 5 - 6, lines 33, 36, 37, 399, 40, 44, 45, 47 - 51 - All listed companies were new purchases made after the initial report in 2011.

PART VI - pages 5 - 6, lines 34, 35, 38, 41, 42, 43, and 46 items reported in error. It has been determined they were purchased in calendar year 2012 and will be reported on the 2012 FDR.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Newman, Michael J.

Date of Report

8/24/2012

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/ Michael J. Newman**

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