

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 05/01/2014
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 01/01/2013 to 12/31/2013
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 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. Board of Directors	Cincinnati Public Radio, Inc.
2. Board of Directors	Federal Bar Association
3. Board of Directors & Chapter President	Federal Bar Association, Dayton Chapter
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.	

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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.		
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. 2013	Valley View Schools - part time teacher
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	April 4, 2013 - April 5, 2013	Arlington, VA	Federal Bar Association - Mid Year Meeting	Transportation, meals, hotel
2. Federal Bar Association	April 4, 2013 - April 5, 2013	Arlington, VA	Federal Bar Association - Mid Year Meeting	Transportation, meals, hotel
3. Federal Bar Association	April 25, 2013 - April 27, 2013	Washington, DC	Federal Bar Association Chapter Leadership Training Program	Transportation, meals, hotel
4. Federal Bar Association	May 1, 2013 - May 3, 2013	New Orleans, LA	Federal Bar Association - National Conference	Transportation, meals, hotel
5. Momentum Event Group	September 9, 2013 - September 10, 2013	New York, NY	Erisa Speech	Transportation, meals, hotel

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6.	Federal Bar Association	September 23, 2013 - September 27, 2013	San Juan, PR	Federal Bar Association - Annual Meeting	Transportation, meals, hotel
7.	University of Kansas Edowment Association	October 20, 2013 - October 22, 2013	Lawrence, KS	Speaking Engagement - to Law Students at Law School	Transporation, meals, hotel

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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.	Wells Fargo Bank	Primary Mortgage; Rental property #1; Beach Haven N.J. (See Part VII Line 28)	O
2.	CitiBank	Secondary Mortgage; Rental property #1; Beach Haven, N.J.	None
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. Brokerage Account #1									
2. Gabelli Asset Fund	A	Dividend	J	T					
3. iShares MSCI Australia Index Fund	A	Dividend			Sold	03/13/13	J	A	
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	Buy	06/21/13	J		
8. Private Bank Deposit Account	A	Interest	J	T					
9. Vanguard FTSE All World Ex-USETS	A	Dividend	J	T					
10. Brokerage Account #2									
11. Gabelli Asset Fund	A	Dividend	J	T					
12. iShares MSCI Australia Index Fund	A	Dividend			Sold	03/13/13	J	A	
13. iShares Trust MSCI EAFE Index	A	Dividend	J	T					
14. India Fund	A	Dividend	J	T					
15. SPDR S&P 500 ETF Trust	A	Dividend	J	T					
16. Vanguard Total stock Market ETF	A	Dividend	J	T	Buy	06/21/13	J		
17. Private Bank Deposit Account	A	Interest	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)

18. Vanguard FTSE All World Ex-USETS	A	Dividend	J	T					
19. Brokerage Account #3									
20. Gabelli Asset Fund	A	Dividend	J	T					
21. iShares MSCI Australia Index Fund	A	Dividend			Sold	03/13/13	J	A	
22. iShares Trust MSCI EAFE Index	A	Dividend	J	T					
23. India Fund	A	Dividend	J	T					
24. SPDR S&P 500 ETF Trust	A	Dividend	J	T					
25. Vanguard Total stock Market ETF	A	Dividend	J	T	Buy	06/21/13	J		
26. Private Bank Deposit Account	A	Interest	J	T					
27. Vanguard FTSE All World Ex-USETS	A	Dividend	J	T					
28. Rental property #1 Beach Haven, NJ	F	Rent	P1	W					
29. 1/2 interest in family farm, Laura, Ohio	D	Rent	N	W					
30. Brokerage Account #6	A	Interest			Redeemed	12/19/13	J		
31. Private Bank Deposit	A	Interest	J	T	Redeemed	12/19/13	J	A	
32.									
33.									
34.									

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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	
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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/ **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
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