

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2017Report 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 05/02/2018
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 01/01/2017 to 12/31/2017
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.)POSITIONNAME OF ORGANIZATION/ENTITY

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.)DATEPARTIES AND TERMS

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. 2017	Ohio Public Employee Retirement System (Retirement)	\$89,681.00
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. 2017	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.)*

<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. Franklin Co Hosp Rev Bond 11/1/23 (3531867K9)	A	Dividend	K	T					
2. Chillicothe Ohio School Bonds (169196JZ6)	A	Dividend	J	T					
3. Akron OH G.O. Bond 12/1/30 (010033P51)	A	Dividend	J	T					
4. Centerville Ohio Hlth Ca (Bethany Lutheran) Vlg. Proj 11/17	B	Interest			Redeemed	01/01/17	K	A	
5. Mahoning County Ohio Gen Obligation Bonds 12/1/21	B	Interest			Redeemed	12/01/17	K	A	
6. Cleveland Ohio ARPT Sys Revenue 1/1/18	A	Interest			Redeemed	01/03/17	J	A	
7. American Muni Power (02765UKH6)	A	Dividend	K	T					
8. Ross County, OH Hosp Fac Rev. Bonds (Adeua)(778260EY1) (12-1/28)	A	Interest	K	T					
9. Cincinnati, OH Economic Dev Bonds (172254HX5)	A	Dividend	J	T					
10. Cincinnati, OH Urban Reber Bonds (172309BA3)	A	Dividend	J	T					
11. Coventry Ohio Local School District Bonds (222867DD2)	A	Dividend	J	T					
12. Alerian MLP ETF	A	Interest	J	T					
13. Deerfield Twp Ohio Tax Bonds (244570DC8)	A	Dividend	J	T					
14. Johnson-Monroe Local School Dist	A	Dividend	J	T					
15. Ohio University General Receipts Bonds (see VIII for explanation)	A	Dividend	J	T					
16. Warrenville Heights Bonds (see VIII for explanation)	A	Dividend	J	T					
17. Key Bank	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 = \$250,000.01 - \$500,000.00	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	

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☐ NONE (No reportable income, assets, or transactions.)

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18. Ohio St. High Ed Fac. Comm Bond	A	Dividend	K	T					
19. Carnival Cruise Lines	A	Dividend	J	T					
20. Red Hat	A	Dividend	J	T					
21. Boeing Co. Common Stock	A	Dividend	K	T					
22. GE Common Stock	A	Dividend			Sold	12/26/17	K	A	
23. Thornburg Value Fund Class A Re/Re/Re 50586	A	Dividend	K	T					
24. Thornburg Invest. Income Class A 50590	B	Dividend	K	T					
25. Johnson and Johnson	A	Dividend	J	T					
26. Caterpillar	A	Dividend	K	T					
27. Facebook Common Stock	A	Dividend	K	T					
28.					Sold (part)	08/29/17	J	A	
29. Cisco	A	Dividend	K	T					
30. Weyerhaeuser stock	A	Dividend	K	T					
31. Timkin	A	Dividend	J	T					
32. Akamai	A	Dividend	J	T					
33. Wells Fargo	A	Dividend	J	T					
34. Dow Chemical	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	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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35. TJX	A	Dividend	J	T					
36. Alcoa	A	Dividend	J	T					
37. Ambarella (AMBA)	A	Dividend			Sold	12/20/17	J	A	
38. Starbucks (SBUX)	A	Dividend			Sold	12/20/17	J	A	
39. Fidelity Advisor Mid Capp II Fund FLLMX	A	Dividend	J	T	Sold (part)	01/31/17	J	A	
40. Fidelity Advisor New Insights Fund Class FINSX	A	Dividend	K	T	Sold (part)	01/31/17	J	A	
41. New World Fund Class F-2 NFFFX	A	Dividend	K	T					
42. Deutsche Echange Commodity Strategy Fund Inst. SKIRX	A	Dividend	J	T					
43. The Oakmark International Fund OAKIX	A	Dividend	K	T	Sold (part)	01/31/17	J	A	
44. MFS Value Fund Class MEIIX	A	Dividend	K	T	Sold (part)	03/13/17	J	A	
45. Dreyfus Ins. Deposit DIDI	A	Dividend	J	T					
46. T Rowe Price Real Estate TRREX	A	Dividend	J	T	Sold (part)	01/31/17	J	A	
47. Templeton Global Bond Fund Class A TGBAX	A	Dividend			Sold	03/13/17	J	A	
48. Northern Small Cap Value Fund NOSGX	A	Dividend	J	T	Sold (part)	01/31/17	J	A	
49. Pimco Income Fund Class PONPX	B	Dividend	K	T	Sold (part)	01/31/17	J	A	
50. Europacific Growth Fund (Am Imos) AEPFX	A	Dividend	K	T					
51. Am. Century Diversified Bonds ADFIX	A	Dividend	K	T					

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52. Dodge & Cox Income Fund DODIX	A	Dividend	K	T					
53. Hartford World Bond Fund HWDIX	A	Dividend	J	T					
54. Int Growth & Income Fund (Am Funds) IGFFX	A	Dividend			Sold	03/13/17	J	A	
55. John Hancock Discp Fund JVMIX	A	Dividend	J	T	Sold (part)	01/31/17	J	A	
56. Metropolitan West Total Return Fund MWTIX	A	Dividend			Sold	03/13/17	J	A	
57. The Oakmark Inter Small Cap Fund OAKEX	A	Dividend	J	T	Buy	03/13/17	J		
58. Finish Line FINL	A	Dividend	J	T	Buy	12/18/17	J		
59. Mahoning Co. Swr System 560072CE8	A	Dividend	K	T	Buy	12/01/17	K		
60. County of Hamilton GO Bond 40727TCT9	A	Dividend	K	T	Buy	10/30/17	K		
61. Franklin Cty School Bond 354172HUS	A	Dividend	K	T	Buy	08/17/17	K		
62. Ohio State Hosp Fac Rev Bond 677561KP6	A	Dividend	K	T	Buy	08/17/17	K		
63. Chillicothe Hosp Fac Bond 169203AJ5	A	Dividend	J	T	Buy	06/17/17	J		
64. Lancaster City School Bd 514264DP2	A	Dividend	K	T	Buy	01/04/17	K		
65. Berkshire Hathaway BRKB	A	Dividend	K	T	Buy	10/20/17	K		
66.	A				Buy	06/07/17	K		
67. India Fund Inc. (IFN)	A	Dividend	K	T	Buy	05/22/17	K		
68. International Paper Inc (IP)	A	Dividend	J	T	Buy	06/07/17	J		

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69. International Business (IBM)	A	Dividend	K	T	Buy	12/26/17	K		
70. Carlyle Group LP (CG)	A	Dividend	J	T	Buy	02/23/17	J		
71. Ohio St Higher Education Fac Com 67756DHG4 See VIII for explanation	A	Dividend	J	T					
72. Sweney Cartwright Stock Cash Account	C	Interest	M	T					
73. Rose and Buerger Farms LLP	A	Distribution	L	W					

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

Redeemed 10/27/2016

Franklin Co. Health Care Fac Bond (Ohio Presb) 7/1/26 (353180GK2) /A /Dividend /Redeemed /10/27/16 /J /A

Sold 12/22/16

Twitter /A /Dividend /Sold /12/22/16 /J /A

Bought 1/27/16

Ohio St Higher Education Fac Com 67756DHG4 /A /Dividend /J /T /Buy /1/27/16 /J

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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