

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) Gaughan, Patricia A.	2. Court or Organization U.S. District Court, N.D. Ohio	3. Date of Report 06/09/2012
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 01/01/2011 to 12/31/2011
7. Chambers or Office Address United States Courthouse 801 West Superior Avenue Cleveland, Ohio 44113	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	

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. Sign 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. Member - Board of Directors	St. John Medical Center Community Board
2. Member - Board of Directors	Magnificat High School
3.	
4.	
5.	

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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.)*

<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. 2011	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.)*

<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. Keybank National Association Savings Account (J)	A	Interest	J	T					
2. Third Federal Savings Checking Account (J)	A	Interest	J	T					
3. IRA - Evergreen Funds (Wells Fargo) - Equity Income Fund	A	Interest			Merged (with line 12)	09/07/11	J	A	
4. IRA - MBNA America Bank cash-equivalent	A	Interest			Merged (with line 16)	09/22/11	J	A	
5. IRA - Charter One Bank cash-equivalent	A	Interest			Merged (with line 12)	03/03/11	K	A	
6. Ohio PERS Retirement Fund		None	L	T					
7. IRA - Columbus Life Insurance Co. Deferred Annuity(S)	A	Interest	J	T					
8. IRA - Phoenix Home Life Flexible Annuity (S)	A	Interest	J	T					
9. SEP/IRA Putnam Voyager Fund Class B (S)	A	Dividend			Merged (with line 14)	03/09/11	K		
10. Northrop Grumman Corporation Common Stock (S)	A	Dividend			Merged (with line 13)	03/09/11	J		
11. RBC Bank Deposit Program (X)	A	Interest	J	T	Open	03/03/11	M		
12. IRA - RBC Advisor cash equivalent (X)	A	Dividend	J	T	Open	03/09/11	K		
13. RBC Advisor Account (S) (X)	A	Dividend	J	T	Open	03/03/11	J		
14. IRA - RBC (S) cash equivalent (X)	A	Interest	J	T	Open	03/09/11	K		
15. RBC Advisor Account (X)	A	Int./Div.	J	T	Open	03/03/11	M		
16. RBC Bank Deposit Program (X)	A	Interest	J	T	Distributed (part)	04/19/11	L		
17. RBC Bank Deposit Program (X)	A	Interest	J	T	Distributed (part)	04/28/11	L		

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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18. RBC Consulting Solutions (X)	A	Dividend	J	T	Open	04/19/11	M		
19. RBC Bank Deposit Program (X)	A	Interest			Closed	07/01/11	J		
20. IRA - RBC Advisor cash equivalent (X)	A	Dividend			Closed	07/01/11	K		
21. RBC Advisor Account (S) (X)	A	Dividend			Closed	07/01/11	J		
22. IRA - RBC cash equivalent (S)(X)	A	Interest			Closed	07/01/11	K		
23. RBC Advisor Account (X)	A	Int./Div.			Closed	07/01/11	M		
24. RBC Consulting Solutions (X)	A	Dividend			Closed	07/01/11	L		
25. IRA - UBS cash equivalent(X)	A	Int./Div.	K	T	Open	07/01/11	K		
26. UBS Resource Management Account (XJ 16506 WM)(X)	A	Int./Div.	L	T	Open	07/01/11	L		
27. UBS Resource Management Account(XJ 16507 WM)(X)	A	Int./Div.	M	T	Open	07/01/11	M		
28. UBS Resource Management Account (XJ 16508 WM) (S)(X)	A	Int./Div.	J	T	Open	07/01/11	J		
29. IRA - UBS cash equivalent (S)(X)	A	Int./Div.	K	T	Open	07/01/11	K		
30.									

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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.



NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY 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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