

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 05/08/2018
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 United States Courthouse 801 West Superior Avenue Cleveland, Ohio 44113		
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. Member - Board of Directors	St. John Medical Center Community Board
2. Member - Board of Directors	Collaborative to End Human Trafficking
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. 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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2017

St. Raphael Church (administration) - 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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

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	A	Interest	J	T					
2. IRA #1 (H)									
3. Columbia Contrarian Core Fund Class Z (SMGIX)	A	Dividend	J	T					
4. Templeton Gblal Bond ADV (TGBAX)	A	Dividend	J	T					
5. Blackrock Global Allocation Fund Inc Institutional (MALOX)	A	Dividend	J	T					
6. American Funds, The Income of America Fund Class F2 (AMEFX)	B	Dividend	K	T					
7. Thornburg Income Builder CL I (TIBIX)	A	Dividend	J	T					
8. IRA #2 (H)									
9. Columbia Contrarian Core Fund Class Z (SMGIX)	A	Dividend	J	T					
10. Templeton Global Bond ADV (TGBAX)	A	Dividend	J	T					
11. Blackrock Global Allocation Fund Inc Institutional (MALOX)	A	Dividend	K	T					
12. Thornburg Income Builder CL I (TIBIX)	A	Dividend	J	T					
13. MFS Value Fund Class I (MEIIX)	A	Dividend	K	T					
14. Brokerage #1 (H)									
15. UBS Bank USA Deposit Account (Y)									
16. American Funds, Smallcap World Fund Class F2 (SMCFX)	A	Dividend	J	T					
17. Artisan International Value Inv (APDKX)	A	Dividend	K	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 I (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. JP Morgan Large Cap Growth Fund Select (SEEGX)	C	Dividend	K	T					
19. Eaton Vance Global Macro Absolute Return Fund I (EIGMX)	A	Dividend			Sold (part)	08/28/17	J		
20.					Sold	11/20/17	J		
21. Prudential Short-Term Corporate Bond Fund Class Inc Z (PIFZX)	A	Dividend	K	T					
22. Principal Global Diversified Income Fund Class I (PGDIX)	A	Dividend			Sold	11/20/17	K	A	
23. AQR Managed Futures Strategy Fund Class I (AQMIX)		None			Sold	11/20/17	J		
24. Oppenheimer SR Floating Rate FD Class Y (OOSYX)	A	Dividend			Sold (part)	08/28/17	J	A	
25.					Sold	11/20/17	J	A	
26. Columbian Contrarian Core Fund Class Z (SMGIX)	A	Dividend	J	T					
27. American Funds, New World Fund Class F2 (NFFFX)	A	Dividend	J	T					
28. Prudential Total Return Bond Fund Class Z (PDBZX)	A	Dividend	K	T	Buy (add'l)	08/28/17	J		
29.					Buy (add'l)	11/20/17	J		
30.					Buy (add'l)	11/21/17	J		
31. American Funds, The Income Fund of America Fund Class F2 (AMEFX)	B	Dividend	K	T	Sold (part)	11/21/17	J	A	
32. T Rowe Price Diversified Small Cap Growth FD (PRDSX)	A	Dividend	J	T					
33. Thornburg Income Builder CL I (TIBIX)	B	Dividend	K	T	Sold (part)	11/21/17	J	B	
34. Nuveen Inv't TR NWQ Small Cap Value FD CL I (NSCRX)	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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. Cohen & Steers Real Estate Securities BD (CSDIX)	A	Dividend	K	T					
36. Jensen Quality Growth Fund Class I (JENIX)	A	Dividend	K	T					
37. JP Morgan Equity Income Fund (HLIEX)	A	Dividend	K	T					
38. Principal Midcap Fund Class I (PCBIX)	A	Dividend	J	T					
39. Metropolitan West Total Return Bond Fund Class I (MWTIX)	A	Dividend	K	T	Buy	11/20/17	K		
40.					Buy (add'l)	11/21/17	J		
41. Templeton Global Bond ADV (TGBAX)	A	Dividend	J	T	Buy	11/20/17	J		

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

Part VII, lines 6, 10, 22, 27, 31, and 38: Name or symbol changes only; no reportable transactions. See 2016 report, lines 11, 15, 28, 33, 37, and 47, respectively.
Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

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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/ Patricia A. Gaughan**

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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Washington, D.C. 20544