

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) Gaughan, Patricia A.	2. Court or Organization U.S. District Court, N.D. Ohio	3. Date of Report 05/13/2014
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 01/01/2013 to 12/31/2013
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	Magnificat High School
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 7

Name of Person Reporting

Gaughan, Patricia A.

Date of Report

05/13/2014

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. 2013

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting

Gaughan, Patricia A.

Date of Report

05/13/2014

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.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting

Gaughan, Patricia A.

Date of Report

05/13/2014

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. Third Federal Savings Checking Account	A	Interest	J	T					
3. Ohio PERS Retirement Fund	C	Distribution	L	T					
4. IRA - Columbus Life Insurance Co. Deferred Annuity	A	Interest	J	T					
5. IRA - Phoenix Home Life Flexible Annuity	A	Interest	J	T					
6. IRA - UBS cash equivalent	C	Int./Div.	L	T					
7. IRA - UBS cash equivalent	B	Int./Div.	K	T					
8. UBS Resource Management Brokerage Account #4									
9. -UBS Bank USA Deposit Account	A	Interest	J	T					
10. -Pace Money Market Investments Fund Class P	A	Interest	J	T					
11. -American Funds Smallcap World F-1	A	Dividend	J	T					
12. -Artisan International Value Inv	A	Dividend	K	T	Buy (add'l)	09/19/13	J		
13. -Artisan Value Fund Investor Class	A	Dividend			Sold	09/19/13	K	A	
14. -JP Morgan Large Cap Growth Fund Class A	A	Dividend	K	T					
15. -Oppenheimer Developing Markets Fund Cl A	A	Dividend	J	T					
16. -Prudential Jennison Equity Income Fund A	A	Dividend	K	T					
17. -Third Ave Tr Real Estate Value FD	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	
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 7

Name of Person Reporting

Gaughan, Patricia A.

Date of Report

05/13/2014

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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. -THORNBURG CORE GROWTH FUND CLASS A	A	Dividend	J	T					
19. -THORNBURG INTLVALUE FUND I	A	Dividend			Sold	09/19/13	J	A	
20. -EATON VANCE GLOBAL MACRO ABSOLUTE RETURN FUND A	A	Dividend	J	T					
21. -JP MORGAN CORE BOND FUND CLASS A	A	Dividend			Sold	09/19/13	K	A	
22. -LOOMIS SAYLES INVESTMENT GRADE BOND FUND CLASS A	A	Dividend	J	T					
23. -PIMCO TOTAL RETURN FUND CLASS A	B	Dividend	K	T					
24. -PRUDENTIAL SHORT-TERM CORPORATE BOND FUND CLASS A	A	Dividend	K	T					
25. -FT-FRANKLIN INCOME A FBOID	B	Dividend	K	T					
26. -IVY ASSET STRATEGY FUND CLASS A	A	Dividend	K	T					
27. -PRINCIPAL GLOBAL DIVERSIFIED INCOME FUND CLASS A	A	Dividend	K	T					
28. -AQR MANAGED FUTURES STRATEGY FUND CLASS N	A	Dividend	J	T					
29. -PACE MONEY MARKET INVESTMENTS FUND	A	Dividend	J	T					
30. -THORNBURG CORE GROWTH FUND	A	Dividend	J	T					
31. -OPPENHEIMER SENIOR FLOATING RATE FUND CLASS A	A	Dividend	J	T	Buy	09/19/13	J		
32. -AMG YACHTMAN FOCUSED FUND SERVICE CLASS	A	Dividend	K	T	Buy	09/19/13	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 \$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 7

Name of Person Reporting

Gaughan, Patricia A.

Date of Report

05/13/2014

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

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Gaughan, Patricia A.

Date of Report

05/13/2014

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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