



United States District Court

Southern District of Ohio
200 West Second Street
Room 910
Dayton, Ohio 45402

Chambers of
Thomas M. Rose
District Judge

(937) 512-1600

June 26, 2007

Ortrie D. Smith
Judicial Conference of
The United States Committee
on Financial Disclosure
One Columbus Circle, N.E.
Washington D.C. 20544

RECEIVED
2007 JUL -2 P 3:25
FINANCIAL
DISCLOSURE OFFICE

Re: Judge Thomas M. Rose Calendar Year 2006 Filing
Your Letter of June 8, 2007

Dear Mr. Smith:

Thank you for your inquiry dated June 8, 2007 concerning my annual financial disclosure report filed May 5, 2007.

In reviewing your letter, it would appear your questions concern certain entries on Pages 9 and 11 of Part VII of my disclosure form. Specifically, the majority of your inquiries concern assets that were not previously reflected in my financial disclosures. I will attempt to address these items of inquiry in the order they appeared in your letter.

First, as to the BP PLC ADR sponsored stock shares (Part VII, Page 9, Line 86) and the Persinger Supply Co. stock shares (Part VII, Page 9, Line 90), these stocks were part of [REDACTED] trusts. Upon their deaths, the attorney for the estates, with the consent of [REDACTED] gathered trust assets and formally [REDACTED] trust accounts containing those assets by [REDACTED] ure statement for calendar year 2006 [REDACTED] death were held in trust with [REDACTED] I [REDACTED] 06 disclosure, I utilized a formal statement from the investment firm of Sweeney Cartwright, issued prior to the disclosure's submittal in May 2006. Unfortunately, the BP and Persinger stock was not recorded in the formal trust accounts until August 2006, after the submittal of 2006 disclosure (see attached statement). These stocks, however, were property of [REDACTED] trusts and were subsequently transferred to me as indicated in this 2007 disclosure statement. The fact that these two stocks were not listed in the 2006 declaration, as assets of [REDACTED] trusts, was an oversight due to the fact they were not reflected by the investment firm's formal trust statements

until August 2006.

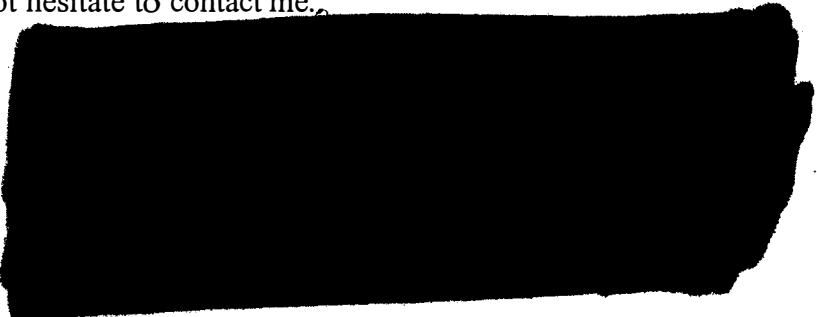
As for the Sweeney Cartwright Stock Cash Account (Part VII, P. 11, Line 120) this too was not formally reflected by the account until the second half of 2006 and was not contained in the 2006 disclosure statement (see attached statement). This cash account is one that was created by cash monies held in trust accounts of [REDACTED] were collected by the estate attorney and then transferred into the formal trust account in mid 2006 and was later partially transferred to me as reflected in the 2007 disclosure.

As to the KSJ Stables, Llp, this is a new partnership formulated in November 2006, after the 2006 disclosure report.

As to the value method code utilized in Part VII, P. 11, Line 123, Column C(2), I utilized the appraisal value of this property performed by the county auditor in 2002 (see attached letter) when this property was solely in [REDACTED]

In summary with regard to the BP and Persinger stock, these were omitted from the 2006 report due to the fact they had not been included and reported to me by the formal trust accounts until after the 2006 declaration. The Sweeney Cartwright cash account also was not collected and formally reported until mid 2006 and was not included in the 2006 declaration. KSJ Stables was not in existence until November 2006 and therefore not subject to reporting. Finally, the appraisal was conducted of the rental property in 2002.

If this letter does not provide sufficient explanation for your inquiries or you need further information/documentation, please do not hesitate to contact me.





Sweney Cartwright & Co.

Investment Securities

Member Chicago Stock Exchange
Member SIPC/NASD

004493

Account Number

Tax ID Number

ON FILE

For the Period Page 4 of 5

08/01/06 Through 08/31/06

DAILY ACCOUNT ACTIVITY

DATE	TRANS	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT	BALANCE
/01/06		OPENING BALANCE - CASH ACCOUNT					0.00
/01/06	Taxable div	NATIONAL CITY CORP DIVIDEND ON [REDACTED]@ .39000				944.58	944.58cr
/01/06	Non-tax div	NUVEEN OHIO QUAL INCM MUN FD DIVIDEND ON [REDACTED]@ .06550				65.50	1,010.08cr
/01/06	Purchase	PURCHASE R&T OH TAX FREE MNY FD			1,010.08		0.00
/07/06	Received	BP P L C ADR SPONSORED [REDACTED]					0.00
/15/06	Non-tax int	SCUYAHOGA CNTY OHIO HOSP *BE INTEREST ON [REDACTED] BOND 5.375 02/15/12				268.75	268.75cr
/15/06	Purchase	PURCHASE R&T OH TAX FREE MNY FD			268.75		0.00
/18/06	Check rec	DEPOSIT TO MONEY MARKET PERL CK #568				178,000.00	178,000.00cr
/21/06	Purchase	PURCHASE R&T OH TAX FREE MNY FD			178,000.00		0.00
76	Received	HUNTINGTON BANCSHARES [REDACTED]14)DTD 7/30/93;257027(28)					0.00
/29/06	Received	PERSINGER SUPPLY CO. #408, DTD 7/13/06, REG N/O THOMAS					0.00
/29/06	Received	THE SALT CREEK VALLEY BANK #454, DTD 6/28/06, REG N/O THOMAS					0.00

PENDING SETTLEMENT

DATE	TRANS	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
/01/06	Bought	CASH ACCOUNT SCANTON OHIO LIMITED TAX G O BONDS 5.00 12/01/08		102.994	5,216.70	
/01/06	Bought	FRANKLIN CO OH HOSP REVENUE BONDS (DOCTORS HOSP) *ETM* 5.90 12/01/06		100.582	20,415.90	
/01/06	Bought	MIAMISBURG (MONTGOMERY CNTY) OH SPCL ASSMT G O LTD BOND 4.95 12/01/08		102.887	10,416.95	
/01/06	Bought	STATE OF OHIO MENTAL HEALTH FAC-II-A REVENUE BONDS NON-CLBE 5.25 12/01/06		100.422	35,611.58	

Columbus, OH

LUWANNA A. DELANEY
GREENE COUNTY AUDITOR

To:

RE: NOTICE OF PROPERTY APPRAISAL

Below is the value for the listed property in Greene County:

Parcel ID Number:

Property Location:

Appraised Land Value:	14,470
Appraised Building Value:	65,360
Total Appraised Value:	79,830

If you disagree with this valuation, please call or come to the Greene County Appraisal office prior to **September 20th, 2002** at:

Monday thru Friday between 8:00 am and 4:00 pm

The appraisal office may request documentation to support your difference of opinion. Please be prepared to supply this if requested. We can not calculate taxes at this time. Tax bills will be available mid January, 2003.

For any other inquiries, contact the County Auditor at:

Monday thru Friday between 8:00 am and 4:00 pm

A formal complaint to valuation may be filed after your tax bill has been received in 2003. This must be filed prior to March 31st, 2003 at 4:00 pm at the County Auditor's Office.

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2006

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) Rose, Thomas M	2. Court or Organization U.S. District Ct., S.D. Ohio	3. Date of Report 05/01/2007
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, ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2006 to 12/31/2006
7. Chambers or Office Address 200 West Second Street 9th Floor, Federal Building Dayton, OH 45402	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 instructions.)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Partner	Wiggins & Rose Stables L.L.P.
2. Partner	Rose Stables
3. Partner	KSJ Stables Llp
4. Co-Trustee	Trust #1 (Terminated)
5. Co-Trustee	Trust #2 (Terminated)

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of instructions.)

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
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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FINANCIAL DISCLOSURE REPORT

Page 2 of 13

Name of Person Reporting

Rose, Thomas M

Date of Report

05/01/2007

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of 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. 2006	Ohio Public Employee Retirement System (Retirement)	\$ 69,000
2.		
3.		
4.		
5.		

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.	
2.	
3.	
4.	
5.	

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)*☒ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>
1.	
2.	
3.	
4.	
5.	

FINANCIAL DISCLOSURE REPORT

Page 3 of 13

Name of Person Reporting

Rose, Thomas M

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05/01/2007

V. GIFTS. *(Includes those to spouse and dependent children. See pp. 28-31 of 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 instructions.)*☐ NONE *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1. Sky Bank	Mortgage on rental property #1 - Xenia, Ohio	K
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 13

Name of Person Reporting

Rose, Thomas M

Date of Report

05/01/2007

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Trust #1 - Thomas D. Rose Securities	Trust corpus distributed to beneficiaries [REDACTED]								
2. --Am Electric Power	A	Dividend			Distribution	7/18	J		[REDACTED]
3. --Bob Evans Farms	A	Dividend			"	7/18	K		[REDACTED]
4. --Duke Energy	A	Dividend			"	7/18	J		[REDACTED]
5. --Hartford Financial Ser	A	Dividend			"	7/18	J		[REDACTED]
6. --Host Marriott	A	Dividend			"	7/18	J		[REDACTED]
7. --Huntington Bancshares	C	Dividend			"	7/18	L		TR, [REDACTED]
8. --ITT Inds Inc	A	Dividend			"	7/18	J		TMR [REDACTED]
9. --National City Bank	C	Dividend			"	7/18	M		TMR [REDACTED]
10. --Nuveen Ohio Income Fd	A	Dividend			"	7/18	K		TR, [REDACTED]
11. --Rayonier Inc	A	Dividend			"	7/18	J		[REDACTED]
12. --Starwood Hotels	A	Dividend			"	7/18	J		[REDACTED]
13.									
14. Trust #1 - Municipals	Trust corpus distributed to beneficiaries Thomas Rose (TR) [REDACTED]								
15. --Broadview Heights	A	Interest			Distribution	7/18	K		TR
16. --Butler County Ohio	A	Interest			"	7/18	J		[REDACTED]
17. --Canton, Ohio City Schools	A	Interest			"	7/18	K		[REDACTED]

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000 R = Cost (Real Estate Only) V = Other	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000 S = Assessment W = Estimated	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000 T = Cash Market	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value				
3. Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

Page 5 of 13

Name of Person Reporting

Rose, Thomas M

Date of Report

05/01/2007

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. --Columbus (Franklin Co.) Ohio	B	Interest			"	7/18	K		TR
19. --Columbus (Franklin Co.) Ohio	B	Interest			"	7/18	K		
20. --Cuyahoga County, Ohio	A	Interest			"	7/18	J		TR
21. --Franklin Cty Ohio Imps	A	Interest			"	7/18	J		TR
22. --Franklin City (Warren Co.)	A	Interest			"	7/18	K		TR
23. --Greene County, Ohio	A	Interest			"	7/18	J		
24. --Greene County, Ohio	A	Interest			"	7/18	J		
25. --Hamilton County Hosp	A	Interest			"	7/18	K		TR
26. --Hamilton County Hosp	A	Interest			"	7/18	J		TR
27. --Highland Local	A	Interest			"	7/18	J		
28. --Huber Heights	B	Interest			"	7/18	K		TR
29. --Independence, Ohio	A	Interest			"	7/18	J		TR
30. --Mansfield (Richland Co.)	B	Interest			"	7/18	K		TR
31. --Medina Co. Hosp	A	Interest			"	7/18	J		TR
32. --Montgomery Co. Spc 1	A	Interest			"	7/18	K		
33. --Montgomery Co. Ohio	A	Interest			"	7/18	J		
34. --Ohio Cap Corp HSG	A	Interest			"	7/18	J		

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 6 of 13

Name of Person Reporting

Rose, Thomas M

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	(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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. --Ohio State Pub. Facilities	B	Interest			"	7/18	K		TR
36. --Olentangy Loc. Sch Dist	A	Interest			"	7/18	J		TR
37. --Southern LSD (Meigs Co)	A	Interest			"	7/18	K		TR
38. --Toledo, Ohio General	A	Interest			"	7/18	K		TR
39. West Carrollton (Mont Co)	B	Interest			"	7/18	K		
40. West Carrollton (Mont Co)	A	Interest			"	7/18	J		
41.									
Trust corpus distributed to beneficiaries Thomas Rose (TR) [REDACTED]									
42. Trust #2 - Mary L. Rose Securities [REDACTED]									
43. --Archer-Daniels-Midland	B	Dividend			"	7/18	M		TR, [REDACTED]
44. --Bob Evans	A	Dividend			"	7/18	K		[REDACTED]
45. --First Energy Corp	A	Dividend			"	7/18	J		[REDACTED]
46. --Huntington Bancshares	B	Dividend			"	7/18	K		TR, [REDACTED]
47. --Marshall & Ilsley Corp	A	Dividend			"	7/18	J		[REDACTED]
48. --National City Corp	C	Dividend			"	7/18	M		TR, [REDACTED]
49. --Newell Rubbermaid	B	Dividend			"	7/18	K		TR, [REDACTED]
50. --Nuveen Ohio Qual Incom	A	Dividend			"	7/18	K		TR
51.									

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	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	T = Cash Market
3. Value Method Codes (See Column C2)	P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 7 of 13

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52. Trust #2 - Municipals					Trust corpus distributed to beneficiaries Thomas Rose (TR)				
53. --Broadview Hts	A	Dividend			Distribution	7/18	K		
54. --Celina, Ohio CSD	A	Dividend			"	7/18	K		TR
55. --Clermont County, Ohio	A	Interest			"	7/18	K		
56. --Columbus (Franklin Co) Ohio	A	Interest			"	7/18	K		TR
57. --Cuyahoga County Hospital	A	Interest			"	7/18	J		
58. --Franklin Ohio Pub Imp	A	Interest			"	7/18	J		
59. --Greene County, Ohio	A	Interest			"	7/18	J		
60. --Greene County, Ohio	A	Interest			"	7/18	J		
61. --Hamilton County Hospital	A	Interest			"	7/18	K		TR
62. --Highland Local School	A	Interest			"	7/18	J		TR
63. --Independence, Ohio LSD	A	Interest			"	7/18	K		
64. --Jonathan Alter LSD	A	Interest			"	7/18	K		
65. --Kettering (Mont County)	B	Interest			"	7/18	K		
66. --Montgomery County, Ohio	A	Interest			"	7/18	K		
67. --Ohio Building Authority	A	Interest			"	7/18	J		TR
68. --Ohio St. Bldg. Authority	A	Interest			"	7/18	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	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 8 of 13

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69. --Ohio St. Pub. Facs	A	Interest			"	7/18	J		
70. --Olentangy LSD	A	Interest			"	7/18	K		TR
71. --Olentangy LSD	A	Interest			"	7/18	J		
72.									
73. Personal Equities									Thomas Rose - TR
74. Huntington Bankshares Common Stock	A	Dividend	J	T					
75. Huntington Bankshares Common Stock	B	Dividend	K	T	Trust/bene	7/18	K		TR
76. Salt Creek Bank Common Stock	A	Dividend	J	T					
77. Salt Creek Bank Common Stock	C	Dividend	M	T	Trust/bene	7/18	M		TR
78.									
79. Thomas M. Rose Retirement Acct NW Mutual Self Directed									
80. --Amcap Fund Inc. Class A	A	Dividend	K	T					
81. --Small Cap World Fund Inc. Class A	A	Dividend	K	T					
82. --Aim Mutual Fund Inc. Class A	B	Dividend	K	T					
83. --Bond Fund of Am Inc. Class A	B	Dividend	L	T					
84. --Euro Pacific Growth B Fd. Class A	B	Dividend	K	T					
85. Archer - Daniels - Midland Co.	A	Dividend	K	T	Trust/bene	7/18	K		TR

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 9 of 13

Name of Person Reporting

Rose, Thomas M

Date of Report

05/01/2007

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
86. BP P L C ADR Sponsored	A	Dividend	K	T	"	7/18	K		TR
87. National City Corp	C	Dividend	L	T	"	7/18	L		TR
88. Newell Rubbermaid Inc.	A	Dividend	J	T	"	7/18	J		TR
89. Nuveen Ohio Qual Incm Mun Fd	A	Dividend	K	T	"	7/18	K		TR
90. Persinger Supply Co.	A	Dividend	J	T	"	7/18	J		TR
91.									
92. Municipals									
93. Broadview Hts. G.O. Bond	A	Interest	K	T	Trust/bene	7/18	K		TR
94. Canton Ohio Limited Tax	A	Interest	J	T	Bought	9/1	J		TR
95. Celina Ohio CSD Ref Unlt	A	Interest	K	T	Trust/bene	7/18	K		TR
96. Columbus (Franklin Co.) Ohio	A	Interest	K	T	"	7/18	K		TR
97. Cuyahoga Cnty Ohio Hosp	A	Interest	J	T	"	7/18	J		TR
98. Franklin Ohio Pub Imps	A	Interest	J	T	"	7/18	J		TR
99. Franklin City (Warren Co.)	A	Interest	K	T	"	7/18	K		TR
100. Hamilton Cnty Ohio Hlth Ca	B	Interest	K	T	Bought	12/6	K		TR
101. Hamilton Cnty Ohio Hosp	A	Interest	K	T	Trust/bene	7/18	J		TR
102. Hamilton County Ohio Hos	B	Interest	K	T	"	7/18	K		TR

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	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	P3 =\$25,000,001 - \$50,000,000 Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	P4 =More than \$50,000,000 S =Assessment W =Estimated	T =Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 10 of 13

Name of Person Reporting

Rose, Thomas M

Date of Report

05/01/2007

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
103. Highland Local School	A	Interest	J	T	Beneficiary	7/18	J		TR
104. Highland Local School	A	Interest			Redemption	12/1	J		
105. Huber Hts (Montgomery Co)	B	Interest	K	T	Beneficiary	7/18	K		TR
106. Independence Ohio Loc SC	A	Interest	K	T	"	7/18	J		TR
107. Mansfield (Richland Cnty)	B	Interest	K	T	"	7/18	K		TR
108. Medina County Ohio Hosp	A	Interest	K	T	"	7/18	J		TR
109. Miamisburg (Montgomery Cnty)	A	Interest	J	T	Bought	9/1	J		TR
110. Ohio St Bldg Auth Revenu	A	Interest	K	T	Beneficiary	7/18	J		TR
111. Ohio St Pub Facs Commn	B	Interest	K	T	"	7/18	K		TR
112. Olentangy Loc Sch Dist O	B	Interest	K	T	"	7/18	K		TR
113. Southern LSD (Meigs Co)	A	Interest	K	T	"	7/18	K		TR
114. Toledo, Ohio General	A	Interest	K	T	"	7/18	K		TR
115. Franklin Co. OH Hosp Revenue Bond	A	Interest	K	T	Bought	9/1	K		TR
116. Franking Co. OH Hosp Revenue Bond	A	Interest			Redemption	12/1	K		
117. State of Ohio Mental Health	B	Interest	K	T	Bought	9/1	K		TR
118. State of Ohio Mental Health	B	Interest			Redemption	12/1	K		
119. Thornburg Invst Income	B	Int./Div.	K	T	Bought	12/11	K		TR

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

FINANCIAL DISCLOSURE REPORT

Page 11 of 13

Name of Person Reporting

Rose, Thomas M

Date of Report

05/01/2007

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. Sweney Cartwright Stock Cash Account	B	Interest	M	T	Beneficiary	7/18	M		TR
121. Wiggins & Rose Stables L.L.P.		None	J	W					
122. Rose Stables, Partnership		None	J	W					
123. Rental Property #1, Xenia, OH		None	L	Q					
124. KSJ Stables Llp		None	K	W					

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

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K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

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S = Assessment

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D = \$5,001 - \$15,000

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P2 = \$5,000,001 - \$25,000,000

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FINANCIAL DISCLOSURE REPORT

Page 12 of 13

Name of Person Reporting

Rose, Thomas M

Date of Report

05/01/2007

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

FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

Rose, Thomas M

Date of Report

05/01/2007

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

Date

5-7-07

NOTE: ANY
AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FOR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544