

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2009

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 04/05/2010
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 01/01/2009 to 12/31/2009
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 filing instructions.)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Partner	Wiggins & Rose Stables L.L.P.
2. Partner	KSJ Stables Llp
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. 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. 2009	Ohio Public Employee Retirement System (Retirement)	\$74,682.00
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. 2009	Ohio Public Retirement System (Retirement)
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. Huntington Bank fka Sky Bank	Mortgage on rental property #1 - Xenia, Ohio	K
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. Aneap Fund Inc. Class A Am Funds	A	Dividend	K	T					
2. Small Cap World Fund Class A Am Funds	A	Dividend	K	T					
3. Aim Mutual Fund Inc. Class A Am Funds	C	Dividend	K	T					
4. Bend Fund of Am Inc. Class A Am Funds	B	Dividend	L	T					
5. Euro Pacific Growth B Fd. Class A Am Funds	A	Dividend	K	T					
6. Archer - Daniels - Midland Co.	A	Dividend	K	T					
7. BP P L C ADR Sponsored	B	Dividend	K	T					
8. Central Fund of Canada LTD CL	A	Dividend	J	T					
9. Claymore Exchange Traded FD Zacks YLD Hg	A	Dividend	J	T					
10. Fomento Economico Mexicano	A	Dividend	J	T					
11. Huntington Bancshares	A	Dividend	K	T					
12. Ishares Comex Gold Tr Ishares	A	Dividend			Sold	12/09/09	J		
13. Ishares Tr DJ Sel Div Indx	A	Dividend	J	T					
14. Ishares Tr Ftse Znhua IDX	A	Dividend	K	T					
15. Ishares TR S&P Global 100	A	Dividend	K	T					
16. Microsoft Corp	A	Interest	J	T					
17. National City Corp	A	Dividend			Distributed	01/05/09	J		

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 C = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	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	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Trust (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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☐ 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)
18. PNC	A	Dividend	J	T	Spinoff (from line 17)	01/05/09	J		
19. Newell Rubbermaid Inc	A	Dividend	J	T					
20. Nuveen Ohio Qual Incm Mun	A	Dividend			Sold	12/10/09	J		
21. SPDR Index SHS FDS Mideast Africa	A	Dividend	J	T					
22. Wisdomtree Trust Fing Mkts	A	Dividend	J	T					
23. SAmerican Muni Power Oh	B	Interest	K	T					
24. SBroadview Hts. G O SA LT	A	Interest			Redeemed	12/02/09	K		
25. @SBuckeye Ohio TOB Settlem BE Fing Auth Asset	A	Interest	K	T					
26. SClina Ohio	A	Interest	K	T					
27. SCenterville Ohio Hlth Ca Bethany Lutheran Vlg Proj	A	Interest	K	T					
28. SCenterville Ohio Hlth Ca Bethany Lutheran Vlg. Proj	B	Interest	J	T					
29. SClyde Green Springs Obligation Bond	A	Dividend	K	T					
30. Columbus (Franklin Co) Ohio Gen Oblg Bds	B	Interest			Redeemed	10/01/09	K		
31. SCuyahoga Cnty Ohio Hosp Ref & Impt Revenue Bonds	A	Interest	J	T					
32. SFranklin County Ohio Hea Care Facs	A	Interest	J	T					
33. SFranklin Ohio Pub Imps General Obligation Bonds	A	Interest	J	T					
34. Franklin City (Warren Co) Ohio	A	Interest	K	T					

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

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35. SHamilton Cnty Ohio Hlth	B	Interest	K	T					
36. SHamilton Cnty Ohio Hosp (Childrens Hosp)	A	Interest			Redeemed	05/15/09	J		
37. SHamilton County Ohio Facs Rev Bond	B	Interest	K	T					
38. SHuber Hts (Montgomery Co)	B	Interest	K	T					
39. SIndependence Ohio GO	A	Interest	K	T					
40. SLorain County Ohio Hosp Ref & Impt Rev Bonds Catholic Hlth	A	Interest	K	T					
41. SMahoning County Ohio Gen Obligation Bonds	B	Interest	K	T					
42. #SMansfield (Richland Cnty Genl Oblig Bonds	B	Interest	K	T					
43. Mahoning Co. Ohio Hosp. Fac Bonds	A	Dividend	K	T					
44. SOhio St Bldg Auth Revenu Bonds	A	Interest	K	T					
45. SOhio St Higher Edl Fac (Ohio Christian Univ Proj)	B	Interest	K	T					
46. Ross Cnty Ohio Hosp. Rev Bonds	A	Dividend	J	T		10/20/09			
47. ThornburgValue Fund - A Exchahge in	A	Dividend	K	T					
48. Sweney Cartwright Stock Cash Account	B	Interest	K	T	Redeemed (part)	12/01/09	L		
49. Wiggins & Rose Stables L.L.P.	A	Distribution	J	W					
50. Rental Prop. #1, Xenia OH		None	L	W					
51. KSJ Stables LLP	D	Distribution	K	W					

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 P1 = \$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	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	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimate d	T = Cash Market	

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☐ 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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52.									
53.									
54.									
55.									
56.									
57.									
58.									
59.									
60.									
61.									

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)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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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.

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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)

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