

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Baughman, William H.	2. Court or Organization U.S. District Court, N.D. Ohio	3. Date of Report 10/16/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Full-Time United States Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address United States District Court Carl B. Stokes United States Courthouse 801 West Superior Avenue 10 A Cleveland, Ohio 44113-1846		
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.		
2.		
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.		
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.)*

DATE

SOURCE AND TYPE

INCOME
(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.)*

DATE

SOURCE AND TYPE

1. 2018

Substitute Teacher-Gesu School

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1. Notre Dame Law School

08/11/2018-08/15/2018

South Bend, IN

Participate in moot court

Lodging

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. Northwestern Mutual: Extra Ordinary Life	A	Dividend	L	T					
2.									
3. Northwestern Mutual: Whole Life	A	Dividend	L	T					
4.									
5. LPL Financial - IRA # 5-Bill									
6. -- Apple	A	Dividend	J	T					
7.									
8. -- Artisan Global Value	A	Dividend	J	T					
9.									
10. --Berwyn Funds/Income Fund	B	Dividend	J	T	Sold (part)	01/22/18	J		
11.				T	Sold (part)	02/20/18	J		
12.				T	Sold (part)	03/20/18	J		
13.									
14. --Dreyfus Standish Global Fixed Income	A	Dividend	K	T	Sold (part)	01/22/18	J		
15.					Sold (part)	02/20/18	J		
16.					Sold (part)	03/20/18	J		
17.									

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

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18. --FPA Crescent Instl	C	Dividend	K	T	Sold (part)	01/22/18	K		
19.					Sold (part)	02/20/18	K		
20.					Sold (part)	03/20/18	K		
21.									
22. --FPA New Income	B	Dividend	K	T	Sold (part)	01/22/18	J		
23.					Sold (part)	02/20/18	J		
24.					Sold (part)	03/20/18	J		
25.									
26.									
27. --Metropolitan West Total Return Bond	A	Dividend	J	T	Buy	01/30/18	J		
28.				T	Buy (add'l)	02/27/18	J		
29.				T	Buy (add'l)	03/27/18	J		
30.									
31. -- MFS Global Equity	A	Dividend	J	T					
32.									
33. --Neuberger Berman Strategic Income	B	Dividend	J	T	Sold (part)	01/22/18	J		
34.				T	Sold (part)	02/20/18	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 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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☐ 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)
35.				T	Sold (part)	03/20/18	J		
36.									
37. -- Blackrock Global Allocation	B	Dividend	K	T	Buy	01/29/18	K		
38.			K	T	Buy (add'l)	02/27/18	K		
39.				T	Buy (add'l)	03/27/18	K		
40.									
41. -- James Balanced Golden Rainbow	B	Dividend			Buy	01/29/18	K		
42.					Buy (add'l)	02/27/18	K		
43.					Buy (add'l)	03/27/18	K		
44.					Sold	12/18/18	K		
45.									
46. --Jensen Quality Growth	B	Dividend	K	T					
47.									
48. --First Eagle/Global I	C	Dividend	K	T	Sold (part)	01/22/18	K		
49.					Sold (part)	02/20/18	K		
50.					Sold (part)	03/20/18	K		
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
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52. --Templeton Global/Tr Gbl	B	Dividend	K	T					
53.									
54. Seafarer Overseas Growth & Income	A	Dividend	J	T					
55.									
56. T.Rowe Price Capital Appreciation	A	Dividend	K	T	Buy	12/19/18	K		
57.									
58. LPL Financial Insured Cash Account	A	Interest	J	T					
59.									
60. LPL Financial - IRA # 6 - Maryan									
61. --Artisan Global Value	A	Dividend	J	T					
62.									
63. --Berwyn Income	A	Dividend	J	T	Sold (part)	01/22/18	J		
64.				T	Sold (part)	02/20/18	J		
65.				T	Sold (part)	03/20/18	J		
66.									
67. --MFS Global Equity	A	Dividend	J	T					
68.									

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69. --Metropolitan West Total Return Bond	A	Dividend	J	T	Buy	01/30/18	J		
70.				T	Buy (add'l)	02/27/18	J		
71.				T	Buy (add'l)	03/27/18	J		
72.									
73. --FPA Crescent Instl	A	Dividend	J	T	Sold (part)	01/22/18	J		
74.				T	Sold (part)	02/20/18	J		
75.				T	Sold (part)	03/20/18	J		
76.									
77. --Dreyfus Standish Global Fixed Income	A	Dividend	J	T	Sold (part)	01/22/18	J		
78.				T	Sold (part)	02/20/18	J		
79.				T	Sold (part)	03/20/18	J		
80.									
81. --Blackrock Global Allocation	A	Dividend	J	T	Buy	01/29/18	J		
82.				T	Buy (add'l)	02/27/18	J		
83.				T	Buy (add'l)	03/27/18	J		
84.									
85. --FPA New Income	A	Dividend	J	T	Sold (part)	01/22/18	J		

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86.				T	Sold (part)	02/20/18	J		
87.				T	Sold (part)	03/20/18	J		
88.									
89. --James Golden Rainbow	A	Dividend			Buy	01/29/18	J		
90.					Buy (add'l)	02/27/18	J		
91.					Buy (add'l)	03/27/18	J		
92.					Sold	12/18/18	J		
93.									
94. --Seafarere Overseas Growth	A	Dividend	J	T					
95.									
96. --Neuberger Berman Strategic Income	A	Dividend	J	T	Sold (part)	01/22/18	J		
97.				T	Sold (part)	02/20/18	J		
98.				T	Sold (part)	03/20/18	J		
99.									
100. --Jensen Quality Growth	A	Dividend	J	T					
101.									
102. --First Eagle/Global I	A	Dividend	J	T	Sold (part)	01/22/18	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
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103.				T	Sold (part)	02/20/18	J		
104.				T	Sold (part)	03/20/18	J		
105.									
106. --Templeton Global	A	Dividend	J	T					
107.									
108. T. Rowe Price Capital Appreciation	A	Dividend	J	T	Buy	12/19/18	K		
109.									
110. LPL Financial Insured Cash Account	A	Interest	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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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.

Signature: s/ **William H. Baughman**

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544