

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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) Morrison, Sarah D.	2. Court or Organization United States District Court, Southern District of Ohio	3. Date of Report 07/14/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Court Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address U.S District Court 85 Marconi Blvd Columbas, OH 43215		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Administrator and Chief Executive Officer	Ohio Bureau of Workers' Compensation
2. Senior Policy Advisor	Ohio Bureau of Workers' Compensation
3.	
4.	
5.	

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

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1. 7/1991	Ohio Public Employees Retirement Plan (defined benefit pension plan)
2.	
3.	

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Name of Person Reporting

Morrison, Sarah D.

Date of Report

07/14/2020

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. 2019	State of Ohio (salary)	\$59,163.00
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.	
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.				

Name of Person Reporting	Date of Report
Morrison, Sarah D.	07/14/2020

V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
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.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

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)	(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)
1. INDIVIDUAL ASSETS (H)									
2. KEY BANK (cash)	A	Interest	K	T					
3. USAA BANK (cash)	A	Interest	K	T					
4. WESTERN SOUTHERN WHOLE LIFE INSURANCE	A	Dividend	J	T					
5. NORTHWESTERN MUTUAL WHOLE LIFE INSURANCE #1	A	Dividend	J	T					
6. NORTHWESTERN MUTUAL WHOLE LIFE INSURANCE #2	A	Dividend	J	T					
7. RETIREMENT ACCOUNT #1 (H)									
8. OHIO DC LIFEPATH 2035	A	Int./Div.	K	T					
9. IRA #1 (H)									
10. NWMUTUAL DOMESTIC EQUITY		None	J	T					
11. NWMUTUAL INDEX 500 STOCK		None	L	T					
12. NWMUTUAL FIDELITY VIP CONTRAFUND		None	L	T					
13. NWMUTUAL INDEX 400 STOCK		None	K	T					
14. NWMUTUAL SMALL CAP GROWTH STOCK		None	K	T					
15. NWMUTUAL RESEARCH INTERNATIONAL CORE		None	K	T					
16. NWMUTUAL INTERNATIONAL EQUITY		None	K	T					
17. NWMUTUAL INTERNATIONAL GROWTH		None	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

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)	(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)
18. NWMUTUAL EMERGING MARKETS EQUITY		None	K	T					
19. NWMUTUAL SELECT BOND		None	K	T					
20. NWMUTUAL STRATEGIC BOND		None	J	T					
21. NWMUTUAL INFLATION PROTECTION		None	J	T					
22. NWMUTUAL MULTI SECTOR BOND		None	K	T					
23. NWMUTUAL HIGH YIELD BOND		None	J	T					
24. NWMUTUAL GLOBAL REAL ESTATE		None	K	T					
25. NWMUTUAL SUISSE COMMODITY STRATEGY		None	K	T					
26. IRA #2 (H)									
27. GENERAL MNY MKT FUND (Y)									
28. NWM FDIC DEPOSIT (cash) (X)	A	Interest	J	T					
29. INVESCO BALANCED-RISK COMMODITY STRATEGY FD CL Y (BRCYX)	A	Dividend	K	T					
30. AMER. CENTURY DIVERSIFIED (Y)									
31. AMERICAN CENTURY SHORT DUR INFLATION PROTECTION BD FD INV CL (APOIX)	A	Dividend	J	T	Buy	08/20/19	J		
32. BARON ASSET FD INSTITUTIONAL CL (BARIX) (X)	A	Dividend	K	T					
33. DODGE & COX INCOME FD (DIDIX)	B	Dividend	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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Name of Person Reporting

Morrison, Sarah D.

Date of Report

07/14/2020

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)
34. EURPACIFIC GROWTH FD CL F-2 (DODIX)	B	Dividend	L	T					
35. FIDELITY ADVISOR MID CAP II FD CL I (FIIMX) (Y)									
36. FIDELITY ADVISOR NEW INSIGHTS FUND CLASS I (FINSX)	D	Dividend	M	T	Sold (part)	10/07/19	J	B	
37. GOLDMAN SACHS INTERNATIONAL SMALL CAP INSIGHTS FUNC CL I (GICIX)	A	Dividend	K	T					
38. GOLDMAN SACHS ABSOLUTE RETURN TRACKER FD INST'L CL (GJRTX)	A	Dividend	K	T	Buy	10/07/19	K		
39. THE OAKMARK INTERNATIONAL FD INVESTOR CLASS (OAKIX)	B	Dividend	L	T					
40. JOHN HANCOCK DISCIPLINED VALUE MID CAP FD CL I (JVMIX)	A	Dividend	K	T					
41. MFS VALUE FUND CL I (MEIIX)	C	Dividend	M	T	Sold (part)	10/07/19	J	A	
42. NEW WORLD FUND CLASS F-2 (NFFFX)	B	Dividend	K	T					
43. NORTHERN SMALL CAP VALUE FUND (NOSGX)	B	Dividend	K	T					
44. PIMCO INCOME FD CL 1-2 (PONPX)	B	Dividend	J	T	Sold (part)	10/07/19	K		
45. PRINCIPAL REAL ESTATE SECURITIES FD CL 1 (PIREX) (X)	A	Dividend	K	T					
46. PRINCIPAL GLOBAL MUTI STRATEGY FD CL I (PSMIX)	A	Dividend	K	T	Buy	10/07/19	K		
47. T ROWE PRICE EMERGING MARKETS STOCK (PRMSX)	A	Dividend	K	T					
48. T ROWE PRICE REAL ESTATE (TRREX) (Y)									
49. TIAA-CREF BOND FD ADVISOR CL (TIBHX)	B	Dividend	K	T	Sold (part)	08/20/19	J	A	

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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50. BROKERAGE ACCOUNT #1 (H)									
51. GENERAL MNY MKT FUND (Y)									
52. INVESCO BALANCED-RISK COMMODITY STRATEGY FD CL Y (BRCYX)	A	Dividend	J	T					
53. BARON ASSET FD INSTITUTIONAL CL (BARIX) (X)	A	Dividend	J	T					
54. DODGE & COX INTERNATIONAL FD (DODFX)	B	Dividend	K	T					
55. EURPACIFIC GROWTH FD CL F-2 (AEPFX)	A	Dividend	K	T					
56. FIDELITY ADVISOR MID CAP II FD CL I (FIMX) (Y)									
57. FIDELITY ADVISOR NEW INSIGHTS FD CL I (FINSX)	C	Dividend	L	T					
58. FIDELITY ADVISOR INTERMEDIATE MUNI INCOME FD CL I (FZIIX)	A	Dividend	K	T					
59. FRANKLIN FEDERAL INTERMEDIATE- TERM INC FD ADVISORS CL (FITZX)	A	Dividend	K	T					
60. JOHN HANCOCK DISCIPLINED VALUE MID CAP FD CL I (JVMIX)	A	Dividend	J	T					
61. MFS VALUE FUND CL I (MEIIX)	B	Dividend	K	T					
62. NEW WORLD FUND CLASS F-2 (NFFFX)	A	Dividend	J	T					
63. NORTHERN SMALL CAP VALUE FUND (NOSGX)	A	Dividend	J	T					
64. PRINCIPAL REAL ESTATE SECURITIES FD CL 1 (PIREX) (X)	A	Dividend	J	T					
65. T ROWE PRICE EMERGING MARKETS STOCK (PRMSX)	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
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	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)
66. T ROWE PRICE REAL ESTATE (TRREX) (Y)									
67. BROKERAGE ACCOUNT #2 (H)									
68. GENERAL MNY MKT FUND (Y)									
69. NWM FDIC DEPOSIT (cash) (X)	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.)*

Part I, lines 1 and 2: Concluded prior to taking the bench.

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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Name of Person Reporting

Morrison, Sarah D.

Date of Report

07/14/2020

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/ Sarah D. Morrison

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