

FINANCIAL DISCLOSURE REPORT
Nomination Report

1. Person Reporting (Last name, first, middle initial) Rose, Thomas M.		2. Court or Organization District Court - S.D. Ohio	3. Date of Report 01/28/2002
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge Nominee		5. Report Type (check type) X Nomination, Date 01/23/2002 Initial Annual Final	6. Reporting Period 01/01/2001 to 12/31/2001
7. Chambers or Office Address Greene County Courthouse 45 North Detroit Street Xenia, OH 45385		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 section where you have no reportable information. Sign on the last page.			

I. POSITIONS (Reporting individual only; see pp. 9-13 of Instructions.)

POSITION	NAME OF ORGANIZATION / ENTITY
☐ NONE (No reportable positions.)	
1 Partner	Wiggins&Rose Stables L.L.P.
2 Partner	Rose Stables
3 Director	Xenia Rotary Club, Xenia, Ohio

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

DATE	PARTIES AND TERMS
☐ NONE (No reportable agreements.)	
1 1976	Public Employees Retirement System, no control
2 1982	Ohio Deferred Compensation Fund, self-directed employee retirement benefit plan
3	

III. NON-INVESTMENT INCOME (Reporting individual and spouse; see pp. 17-24 of Instructions.)

DATE	SOURCE AND TYPE	GROSS INCOME (yours, not spouse's)
☐ NONE (No reportable non-investment income.)		
1 2001	State of Ohio/Greene County-Judicial Salary	\$80,309.55
2 2000	State of Ohio/Greene County-Judicial Salary	\$77,975.06
3 2001	State of Ohio Department of Economic Development-Spouse	
4 2000	State of Ohio Department of Economic Development-Spouse	

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Rose, Thomas M.

Date of Report

01/28/2002

IV. REIMBURSEMENTS — transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children. See pp. 25-28 of Instructions.)

	SOURCE	DESCRIPTION
☐	NONE (No such reportable reimbursements.)	
1	Exempt	
2		
3		
4		
5		
6		
7		

V. GIFTS

(Includes those to spouse and dependent children. See pp. 29-32 of Instructions.)

	SOURCE	DESCRIPTION	VALUE
☐	NONE (No such reportable gifts.)		
1	Exempt		
2			
3			

VI. LIABILITIES

(Includes those of spouse and dependent children. See pp 33-35 of Instructions.)

	CREDITOR	DESCRIPTION	VALUE CODE*
☐	NONE (No reportable liabilities.)		
1	Sky Bank	Mortgage on rental property #1, Xenia, Ohio	K
2			
3			
4			
5			
6			

* VAL CODES: J=\$15,000 or less K=\$15,001-\$50,000 L=\$50,001 to \$100,000 M=\$100,001-\$250,000 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 P3=\$25,000,001-\$50,000,000 P4=\$50,000,001 or more

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting
Rose, Thomas M.Date of Report
01/28/2002

VII. Page 1 INVESTMENTS and TRUSTS-- income, value, transactions (Includes those of spouse and dependent children. See pp. 36-54 of Instructions.)

A. Description of Assets (including trust assets) <i>Place "(X)" after each asset exempt from prior disclosure.</i>	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code (A-H)	(2) Type (e.g., dividend, rent or interest)	(1) Value Code (J-P)	(2) Value Method Code (Q-W)	(1) Type (e.g., buy, sell, partial sale, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month- Day	(3) Value Code (J-P)	(4) Gain Code (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions.)									
1 LPL Financial Services Investment Account									
2 -Premier Money Market Fund	A	Dividend	J	T	Exempt				
3 -CISCO Systems Common Stock		None	J	T	Exempt				
4 -Microsoft Common Stock		None	J	T	Exempt				
5 -Wal-Mart Common Stock	A	Dividend	J	T	Exempt				
6 -Oppenheimer Quest Value Fund	A	Dividend	J	T	Exempt				
7 -Putnam Health Sciences Trust		None	J	T	Exempt				
8 AIM Agressive Growth Fund	A	Dividend	J	T	Exempt				
9 Huntington Bankshares Common Stock	A	Dividend	J	T	Exempt				
10 Saltcreek Valley Bank Common Stock	A	Dividend	J	T	Exempt				
11 AT&T Latin America Common Stock		None	J	T	Exempt				
12 Comdisco Common Stock		None	J	T	Exempt				
13 Putnam Investments IRA	B	Distribut ion	K	T	Exempt				
14 -Putnam Global Growth Fund CL A									
15 -Putnam Health Sciences Trust CL A									
16 -Putnam Vista Fund CL A									
17 Self-directed Ohio Public Employees Deferred Comp Plan	C	Dividend	M	T	Exempt				

1 Inc/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
(Col. B1, D4) F=\$50,001-\$100,000 G=\$100,001-\$1,000,000 H1=\$1,000,001-\$5,000,000 H2=\$5,000,001 or more2 Val Codes: J=\$15,000 or less K=\$15,001-\$50,000 L=\$50,001-\$100,000 M=\$100,001-\$250,000 N=\$250,001-\$500,000
(Col. C1, D3) O=\$500,001-\$1,000,000 P1=\$1,000,001-\$5,000,000 P2=\$5,000,001-\$25,000,000 P3=\$25,000,001-\$50,000,000 P4=\$50,000,001 or more3 Val Mth Codes: Q=Appraisal R=Cost (real estate only) S=Assessment T=Cash/Market
(Col. C2) U=Book Value V=Other W=Estimated

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting
Rose, Thomas M.

Date of Report
01/28/2002

VII. Page 2 INVESTMENTS and TRUSTS-- income, value, transactions (Includes those of spouse and dependent children. See pp. 36-54 of Instructions.)

A. Description of Assets (including trust assets) <i>Place "(X)" after each asset exempt from prior disclosure.</i>	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code (A-H)	(2) Type (e.g., dividend, rent or interest)	(1) Value Code (J-P)	(2) Value Method Code (Q-W)	(1) Type (e.g., buy, sell, partial sale, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month- Day	(3) Value Code (J-P)	(4) Gain Code (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions.)									
18 -OFDEC Guaranteed Return Option									
19 -Fidelity Equity Income									
20 -Putnam Investors									
21 -Janus Fund									
22 -AIM Constellation									
23 -Vanguard International Growth									
24 Wiggins&Rose Stables L.L.P.	A	Distribut ion	J	W	Exempt				
25 Rose Stables, Partnership	A	Distribut ion	J	W	Exempt				
26 Rental Property #1, Xenia, Ohio	A	Rent	L	Q	Exempt				
27 Public Employee Retirement		None	N	T	Exempt				
28									
29									
30									
31									
32									
33									
34									

1 Inc/Gain Codes: A=\$1,000 or less (Col. B1, D4) 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=\$5,000,001 or more	E=\$15,001-\$50,000
2 Val Codes: J=\$15,000 or less (Col. C1, D3) O=\$500,001-\$1,000,000	K=\$15,001-\$50,000 P1=\$1,000,001-\$5,000,000	L=\$50,001-\$100,000 P2=\$5,000,001-\$25,000,000	M=\$100,001-\$250,000 P3=\$25,000,001-\$50,000,000	N=\$250,001-\$500,000 P4=\$50,000,001 or more
3 Val Mth Codes: Q=Appraisal (Col. C2) U=Book Value	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market	

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Rose, Thomas M.

Date of Report

01/28/2002

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

Rental property #1 last appraised in May, 2001

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Rose, Thomas M.

Date of Report

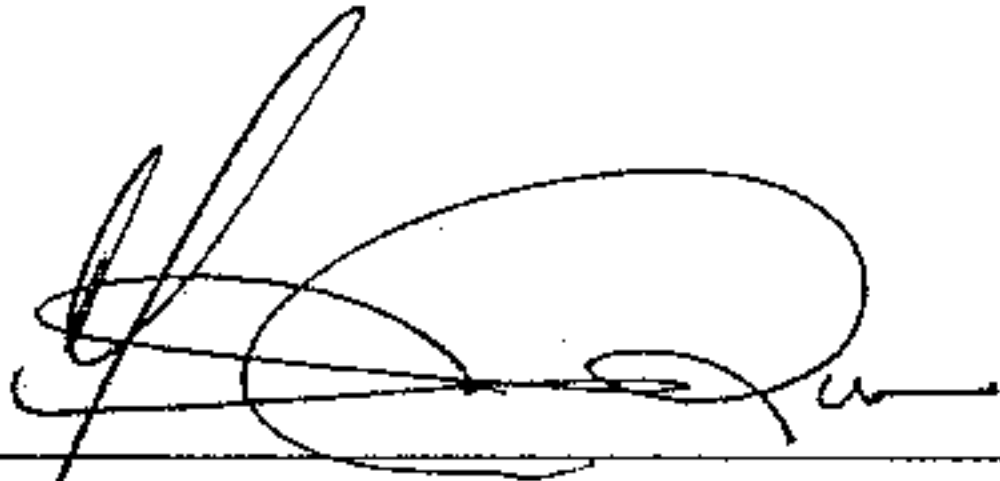
01/28/2002

IX. CERTIFICATION

I certify that all the 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. 4, section 501 et. seq., 5 U.S.C. 7353 and Judicial Conference regulations.

Signature



Date

1-28-2002

Note:

Any individual who knowingly and wilfully falsifies or fails to file this report may be subject to civil and criminal sanctions (5 U.S.C. App. 4, Section 104).

FILING INSTRUCTIONS**Mail original and three additional copies to:**

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

FINANCIAL STATEMENT

NET WORTH

Provide a complete, current financial net worth statement which itemizes in detail all assets (including bank accounts, real estate, securities, trusts, investments, and other financial holdings) all liabilities (including debts, mortgages, loans, and other financial obligations) of yourself, your spouse, and other immediate members of your household.

ASSETS				LIABILITIES			
Cash on hand and in banks	10	000	00	Notes payable to banks-secured			
U.S. Government securities-add schedule				Notes payable to banks-unsecured			
Listed securities-add schedule	46	699	72	Notes payable to relatives			
Unlisted securities-add schedule				Notes payable to others			
Accounts and notes receivable:				Accounts and bills due			
Due from relatives and friends				Unpaid income tax			
Due from others				Other unpaid income and interest			
Doubtful				Real estate mortgages payable-add schedule	200	000	00
Real estate owned-add schedule	235	110	00	Chattel mortgages and other liens payable			
Real estate mortgages receivable				Other debts-itemize:			
Autos and other personal property	50	000	00	Credit Cards	3	000	00
Cash value-life insurance	54	818	00				
Other assets itemize:							
Traditional IRA	21	453	64				
Deferred Compensation Plan	183	857	24				
PERS Retirement	120	000	00	Total liabilities	203	000	00
				Net Worth	518	938	60
Total Assets	721	938	60	Total liabilities and net worth	721	938	60
CONTINGENT LIABILITIES				GENERAL INFORMATION			
As endorser, comaker or guarantor	none			Are any assets pledged? (Add schedule)	none		
On leases or contracts	none			Are you defendant in any suits or legal actions?	none		
Legal Claims	none			Have you ever taken bankruptcy?	no		
Provision for Federal Income Tax	none						
Other special debt	none						