

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) Gaughan, Patricia A.	2. Court or Organization U.S. District Court, N.D. Ohio	3. Date of Report 08/10/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address United States Courthouse 801 West Superior Avenue Cleveland, Ohio 44113		
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. Member - Board of Directors	St. John Medical Center Community Board
2. Member - Board of Directors	Collaborative to End Human Trafficking
3. Executor	Estate #1
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. 1978	PERS - mandatory public retirement plan covering state and local public employees (SEE Chap 145 of the Ohio Revised Code)
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2019	St. Raphael Church (administration) - salary
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
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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.		

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Name of Person Reporting

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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. Keybank National Association Savings Account	A	Interest	K	T					
2. IRA #1 (H)									
3. American Funds American Mutual Fund (AMRFX)	A	Dividend	J	T	Buy	03/19/19	J		
4.					Sold (part)	09/04/19	J	A	
5. American Funds Europacific Growth Fund (AEPFX)	A	Dividend	J	T	Buy	03/19/19	J		
6.					Buy (add'l)	09/04/19	J		
7. American Funds Washington Mutual Fund (WMFFX)	A	Dividend	J	T	Buy	03/19/19	J		
8.					Buy (add'l)	09/04/19	J		
9. American Funds New Perspective Fund (ANWFX)	A	Dividend	J	T	Buy	03/19/19	J		
10.					Buy (add'l)	09/04/19	J		
11. American Funds New World Fund (NFFFX)	A	Dividend	J	T	Buy (add'l)	03/19/19	J		
12.					Sold (part)	09/04/19	J		
13. American Funds Smallcap World Fund (SMCFX)	A	Dividend	J	T	Buy	03/19/19	J		
14.					Buy (add'l)	09/04/19	J		
15. American Funds Emerging Markets Bond (EBNFX)	A	Dividend			Sold	03/19/19	J		
16. Blackrock Equity Dividend Fund (MADVX)		None			Sold	03/19/19	J		
17. Blackrock Strategic Income Opportunities Fund (BSIIX)	A	Dividend	J	T	Buy (add'l)	03/19/19	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)
18.					Buy (add'l)	09/04/19	J		
19. Cohen & Steers Preferred Sec & Inc Fund (CPXIX)	A	Dividend	J	T	Buy (add'l)	03/19/19	J		
20.					Sold (part)	09/04/19	J	A	
21. Davis Global Fund (DGFYX)		None			Sold	03/19/19	J		
22. Dreyfus/Standish Global Fixed Income Fund (SDGIX)	A	Dividend			Sold	03/19/19	J		
23. First Eagle Overseas Fund (SGOIX)		None			Sold	03/19/19	J		
24. Glenmede Largecap Growth (GTLLX)		None			Sold	03/19/19	J		
25. Harding Loevner International Equity (HLMIX)		None			Sold	03/19/19	J	A	
26. Jensen Quality Growth Fund (JENIX)	A	Dividend			Sold	03/19/19	J	A	
27. JOHCM Emerging Markets Opps Fund (JOEMX)		None			Sold	03/19/19	J	A	
28. Lord Abnett Short Duration Income Fund (LDLFX)	A	Dividend			Sold	03/19/19	J		
29. Metropolitan West Total Return Bond Fund (MWTIX)	A	Dividend	J	T	Buy (add'l)	03/19/19	J		
30.					Buy (add'l)	09/04/19	J		
31. MFS Value Fund (MEIIX)		None			Sold	03/19/19	J	A	
32. Nuveen Invt NWQ Small Cap Value Fund (NSCRX)		None			Sold	03/19/19	J		
33. Oppenheimer International Bond Fund (OIBYX)	A	Dividend			Sold	03/19/19	J	A	
34. PGIM Total Return Bond (PDBZX)	A	Dividend	J	T	Buy (add'l)	03/19/19	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	
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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)
35.					Buy (add'l)	09/04/19	J		
36. Principal Midcap Fund (PCBIX)		None			Sold	03/19/19	J		
37. Putnam Ultra Short Duration Income Fund (PSDYX)	A	Dividend	J	T	Buy	03/19/19	J		
38.					Buy (add'l)	09/04/19	J		
39. T. Rowe Price QM US Small-Cap Growth Equity Fund (PRDSX)		None			Sold	03/19/19	J	A	
40. American Funds Growth Fund of America Fund (GFFFX)	A	Dividend	J	T	Buy	03/19/19	J		
41.					Sold (part)	09/04/19	J	A	
42. Victory Sycamore Established Value Fund (VEVIX)		None			Sold	03/19/19	J		
43.									
44. IRA #2 (H)									
45. American Funds American Mutual Fund (AMRFX)	A	Dividend	J	T	Buy	03/19/19	J		
46.					Sold (part)	09/04/19	J	A	
47. American Funds Europacific Growth Fund (AEPFX)	A	Dividend	J	T	Buy	03/19/19	J		
48.					Buy (add'l)	09/04/19	J		
49. American Funds Washington Mutual Fund (WMFFX)	A	Dividend	J	T	Buy	03/19/19	J		
50.					Sold (part)	09/04/19	J	A	
51. American Funds New Perspective Fund (ANWFX)	A	Dividend	J	T	Buy	03/19/19	J		

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52.					Buy (add'l)	09/04/19	J		
53. American Funds New World Fund (NFFFX)	A	Dividend	J	T	Buy (add'l)	03/19/19	J		
54.					Sold (part)	09/04/19	J		
55. American Funds Smallcap World Fund (SMCFX)	A	Dividend	J	T	Buy	03/19/19	J		
56.					Buy (add'l)	09/04/19	J		
57. American Funds Emerging Markets Bond (EBNFX)	A	Dividend			Sold	03/19/19	J		
58. Blackrock Equity Dividend Fund (MADVX)		None			Sold	03/19/19	J		
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65. First Eagle Overseas Fund (SGOIX)		None			Sold	03/19/19	J		
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67. Harding Loevner International Equity (HLMIX)		None			Sold	03/19/19	J	A	
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69. JOHCM Emerging Markets Opps Fund (JOEMX)		None			Sold	03/19/19	J	A	
70. Lord Abbett Short Duration Income Fund (LDLFX)	A	Dividend			Sold	03/19/19	J		
71. Metropolitan West Total Return Bond Fund (MWTIX)	A	Dividend	J	T	Buy (add'l)	03/19/19	J		
72.					Buy (add'l)	09/04/19	J		
73. MFS Value Fund (MEIIX)		None			Sold	03/19/19	J	A	
74. Nuveen Invt NWQ Small Cap Value Fund (NSCRX)		None			Sold	03/19/19	J		
75. Oppenheimer International Bond Fund (OIBYX)	A	Dividend			Sold	03/19/19	J	A	
76. PGIM Total Return Bond (PDBZX)	A	Dividend	J	T	Buy (add'l)	03/19/19	J		
77.					Buy (add'l)	09/04/19	J		
78. Principal Midcap Fund (PCBIX)		None			Sold	03/19/19	J		
79. Putnam Ultra Short Duration Income Fund (PSDYX)	A	Dividend	J	T	Buy	03/19/19	J		
80.					Buy (add'l)	09/04/19	J		
81. T. Rowe Price QM US Small-Cap Growth Equity Fund (PRDSX)		None			Sold	03/19/19	J	A	
82. American Funds Growth Fund of America Fund (GFFFX)	A	Dividend	J	T	Buy	03/19/19	J		
83.					Sold (part)	09/04/19	J	A	
84. Victory Sycamore Established Value Fund (VEVIX)		None			Sold	03/19/19	J		
85.									

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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86. IRA #3 (H) (X)									
87. American Funds American Mutual Fund (AMRFX)	A	Dividend	K	T	Buy	03/19/19	K		
88.					Buy (add'l)	03/25/19	J		
89.					Sold (part)	05/17/19	J	A	
90.					Sold (part)	09/04/19	J	A	
91. American Funds Washington Mutual Fund (WMFFX)	A	Dividend	K	T	Buy	03/19/19	K		
92.					Buy (add'l)	03/25/19	J		
93.					Sold (part)	05/17/19	J	A	
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96.					Buy (add'l)	03/25/19	J		
97.					Sold (part)	05/17/19	J		
98.					Buy	09/04/19	J		
99. American Funds New Perspective Fund (ANWFX)	A	Dividend	J	T	Buy	03/19/19	J		
100.					Buy (add'l)	03/25/19	J		
101.					Sold (part)	05/17/19	J	A	
102.					Buy (add'l)	09/04/19	J		

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3 Value Method Codes (See Column C2)					

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103. American Funds New World Fund (NFFFX)	A	Dividend	J	T	Buy (add'l)	03/19/19	J		
104.					Buy (add'l)	03/25/19	J		
105.					Sold (part)	05/17/19	J		
106.					Sold (part)	09/04/19	J	A	
107. American Funds Smallcap World Fund (SMCFX)	A	Dividend	J	T	Buy	03/19/19	J		
108.					Buy (add'l)	03/25/19	J		
109.					Sold (part)	05/17/19	J	A	
110.					Buy (add'l)	09/04/19	J		
111. American Funds International Growth & Income Fund (IGFFX) (X)		None			Sold	03/19/19	J		
112. Arbitrage Fund (ARBNX) (X)		None			Sold	03/19/19	J	A	
113. Blackrock Floating Rate Fund (BFRIX) (X)	A	Dividend			Sold	03/19/19	J		
114. Blackrock Multi-Asset Income Fund (BIICX) (X)	A	Dividend			Sold	03/19/19	K		
115. Blackrock Strategic Income Opportunities Fund (BSIIX) (X)	A	Dividend	J	T	Sold (part)	03/19/19	J		
116.					Buy (add'l)	03/25/19	J		
117.					Sold (part)	05/17/19	J		
118.					Buy (add'l)	09/04/19	J		
119. Cohen & Steers Preferred Sec & Inc Fund (CPXIX)	A	Dividend	J	T	Buy	03/19/19	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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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)
120.					Buy (add'l)	03/25/19	J		
121.					Sold (part)	05/17/19	J	A	
122.					Buy (add'l)	09/04/19	J		
123. Columbia Contrarian Core Fund (SMGIX) (X)		None			Sold	03/19/19	J	A	
124. Coumbia Strategic Income Fund (LSIZX) (X)		None			Sold	03/19/19	J		
125. Janus Henderson Global Income Fund (HFQAX) (X)		None			Sold	03/19/19	J		
126. Lord Abbett Floating Rate Fund (LFRFX) (X)	A	Dividend			Sold	03/19/19	J		
127. Lord Abbett Short Duration Income Fund (LDLFX) (X)	A	Dividend			Sold	03/19/19	J		
128. Metropolitan West Total Return Bond Fund (MWTIX) (X)	A	Dividend	J	T	Buy (add'l)	03/19/19	J		
129.					Buy (add'l)	03/25/19	J		
130.					Sold (part)	05/17/19	J	A	
131.					Buy (add'l)	09/04/19	J		
132. PGIM Total Return Bond (PDBZX)	A	Dividend	J	T	Buy	03/20/19	J		
133.					Buy (add'l)	03/25/19	J		
134.					Sold (part)	05/17/19	J	A	
135.					Buy (add'l)	09/04/19	J		
136. Putnam Ultra Short Duration Income Fund (PSDYX)	A	Dividend	J	T	Buy	03/19/19	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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Gaughan, Patricia A.

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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)	(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)
137.					Buy (add'l)	03/25/19	J		
138.					Sold (part)	05/17/19	J	A	
139.					Buy (add'l)	09/04/19	J		
140. American Funds Growth Fund of America Fund (GFFFX)	A	Dividend	J	T	Buy	03/19/19	J		
141.					Buy (add'l)	03/25/19	J		
142.					Sold (part)	05/17/19	J	A	
143.					Sold (part)	09/04/19	J	A	
144. American Funds Income Fund of America Fund (AMEFX) (X)	A	Dividend			Sold	03/19/19	J	A	
145. Western Union Bond (959802AL3) (X)		None			Sold	03/20/19	J		
146.									
147. Brokerage #1 (H)									
148. UBS Bank USA Dep Acct	A	Interest	J	T					
149. American Funds New World Fund (NFFFX)	A	Dividend	K	T	Buy (add'l)	01/23/19	J		
150. American Funds Smallcap World Fund (SMCFX)	A	Dividend	K	T	Buy (add'l)	01/23/19	J		
151. Artisan International Value Fund (APDKX)	A	Dividend	K	T	Buy (add'l)	01/23/19	J		
152. Cohen & Steers Global Realty Fund (CSSPX)	B	Dividend	K	T	Buy (add'l)	01/23/19	J		
153. Columbia Contrarian Core Fund (SMGIX)		None			Buy (add'l)	01/23/19	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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Name of Person Reporting

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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)	(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)
154.					Sold	02/22/19	K	A	
155. Jensen Quality Growth Fund (JENIX)	A	Dividend	K	T	Buy (add'l)	01/23/19	J		
156. JP Morgan Equity Income Fund (HLIEX)	B	Dividend	K	T	Buy (add'l)	01/23/19	J		
157. JP Morgan Largecap Growth Fund (SEEGX)	D	Dividend	K	T	Buy (add'l)	01/23/19	J		
158. Metropolitan West Total Return Bond Fund (MWTIX)	B	Dividend	L	T	Buy (add'l)	01/23/19	J		
159.					Buy (add'l)	02/22/19	K		
160.					Sold (part)	04/23/19	J		
161. Nuveen Invt NWQ Small Cap Value Fund (NSCRX)		None			Buy (add'l)	01/23/19	J		
162.					Sold	02/22/19	K	B	
163. PGIM Short-Term Corporate Bond (PIFZX)	A	Dividend	L	T	Buy (add'l)	01/23/19	J		
164. PGIM Total Return Bond (PDBZX)	C	Dividend	J	T	Buy (add'l)	01/23/19	J		
165.					Sold (part)	01/24/19	J	A	
166.					Buy (add'l)	02/22/19	K		
167.					Sold (part)	07/24/19	J	A	
168.					Sold (part)	10/24/19	J	A	
169. Principal Midcap Fund (PCBIX)	A	Dividend	K	T	Buy (add'l)	01/23/19	J		
170. T. Rowe Price QM US Small-Cap Growth Equity Fund (PRDSX)	A	Dividend	J	T	Buy (add'l)	01/23/19	J		

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	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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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)	(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)
171. Templeton Global Bond (TGBAX)	A	Dividend	J	T	Buy (add'l)	01/23/19	J		
172. The Income Fund of America Fund (AMEFX)	B	Dividend	K	T	Buy (add'l)	01/23/19	J		
173. Thornburg Income Builder (TIBIX)	B	Dividend	K	T	Buy (add'l)	01/23/19	J		
174.									
175. Trust #1 (H)									
176. American Funds American Mutual Fund (AMRFX) (X)		None			Sold	02/27/19	M		
177. American Funds Washington Mutual Fund (WMFFX) (X)		None			Sold	02/27/19	M	A	
178. American Funds Capital Income Builder Fund (CAIFX) (X)		None			Sold	02/27/19	M	C	
179. American Funds Capital World Growth & Income Fund (WGIFX) (X)		None			Sold	02/27/19	L	A	
180. American Funds Smallcap World Fund (SMCFX) (X)		None			Sold	02/27/19	L	A	
181. American Funds Global Balanced Fund (GBLFX) (X)		None			Sold	02/27/19	L	C	
182. Blackrock Floating Rate Fund (BFRIX) (X)	A	Dividend			Sold	02/27/19	J		
183. Blackrock Multi-Asset Income Fund (BIICX) (X)	A	Dividend			Sold	02/27/19	J	A	
184. Brighthouse Financial Stock (BHF) (X)		None			Sold	02/26/19	J		
185. Columbia Contrarian Core Fund (SMGIX) (X)		None			Sold	02/27/19	K		
186. Coumbia Strategic Income Fund (LSIZX) (X)		None			Sold	02/27/19	J	A	
187. Dalton OH Loc School OID Muni Bond (235631AX6) (X)		None			Sold	02/26/19	L	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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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)
188. Janus Henderson Global Income Fund (HFQAX) (X)		None			Sold	02/27/19	J		
189. JP Morgan Income Builder (JNBSX) (X)	A	Dividend			Sold	02/27/19	L	B	
190. Metlife Stock (MET) (X)		None			Sold	02/26/19	J		
191. Metropolitan West Total Return Bond Fund (MWTIX) (X)	A	Dividend			Sold	02/27/19	K	A	
192. Nuveen Enhanced Muni Fund (NEA) (X)		None			Sold	02/26/19	K	A	
193. Ohio St Univ Gen Rcpts Muni Bond (677632A50) (X)		None			Sold	02/26/19	L	A	
194. PGIM Total Return Bond (PDBZX)	A	Dividend			Sold	02/27/19	K	A	
195. American Funds Income Fund of America Fund (AMEFX) (X)		None			Sold	02/27/19	M		
196. UBS Bank USA Dep Acct (X)	A	Interest			Sold	12/23/19	J	A	
197. UBS Select Treasury Institutional Money Market Fund (SETXX)	D	Dividend			Buy	02/28/19	P1		
198.					Buy (add'l)	03/01/19	J		
199.					Buy (add'l)	05/16/19	M		
200.					Sold	06/12/19	P1	A	
201.									

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

VII. INVESTMENTS AND TRUSTS

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.

Part VII, line 196: Assets were in a trust account and the proceeds were distributed to the beneficiaries in 2019. As of December 2019, the account only held cash, and the final distribution was made 12/23/2019.

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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/ Patricia A. Gaughan**

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