

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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 04/13/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (senior status)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address 200 West Second Street 9th Floor, Federal Building Dayton, OH 45402		
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. Partner	Rose and Buerger Farms LLP
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. 1976	Public Employees Retirement System, no control, retirement
2. 2005	Northwestern Mutual Individual retirement account - self directed (rolled from Ohio Deferred Comp Fund)
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Rose, Thomas M.

Date of Report

04/13/2021

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. 2020	Ohio Public Employee Retirement System (Retirement)	\$95,305.68
2. 2020	Northwestern IRA Distribution (RMD)	\$2,414.48
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. 2020	Ohio Public Employee Retirement System (Retirement) Co., OH/State of Ohio- Greene County Clerk of Courts/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.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting	Date of Report
Rose, Thomas M.	04/13/2021

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Rose, Thomas M.

Date of Report

04/13/2021

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. Energy Select SPDR ETF	A	Dividend	J	T	Buy	12/28/20	J		
2. Chillicothe Ohio School Bonds (169196JZ6)	A	Dividend	J	T					
3. Akron OH G.O. Bond 12/1/30 (010033P51)	A	Dividend	J	T					
4. American Muni Power (02765UKH6) Rev Bond	A	Dividend	K	T					
5. Cincinnati, OH Economic Dev Bonds (172254HX5)	A	Dividend	J	T					
6. Cincinnati, OH Urban Redev Bonds (172309BA3)	A	Dividend	K	T					
7. Coventry Ohio Local School District Bonds (222867DD2)	A	Dividend	J	T					
8. Cronos Group Inc.	A	Dividend			Buy	01/10/20	J		
9.					Sold	08/11/20	J	A	
10. Deerfield Twp Ohio Tax Bonds (244570DC8)	A	Dividend			Redeemed	12/01/20	J	A	
11. Johnson-Monroe Local School Dist (479545CQ6)	A	Dividend	K	T					
12. Ohio University General Receipts Bonds (671104A40)	A	Dividend	J	T					
13. Warrenville Heights Bonds (936113AU3)	A	Dividend	K	T					
14. Key Bank	A	Dividend	J	T	Sold (part)	12/28/20	J	A	
15. Columbus, OH G.O. Bonds (199492WY1)	A	Dividend	K	T					
16. Ohio St. High Ed Fac. Comm Bond (67756AR46) KENI/ON	A	Dividend			Redeemed	07/01/20	J	A	
17. Carnival Cruise Lines	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
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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Rose, Thomas M.

Date of Report

04/13/2021

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. Ford Motor	A	Dividend	J	T	Buy	12/08/20	J		
19. Boeing Co. Common Stock	A	Dividend	K	T					
20. Thornburg Value Fund Class A Re/Re/Re 50586	A	Dividend	L	T					
21. Thornburg Invest. Income Class A 50590	B	Dividend	L	T					
22. Johnson and Johnson	A	Dividend	K	T					
23. Caterpillar	A	Dividend	L	T					
24. Facebook Common Stock	A	Dividend	K	T					
25. Cisco	A	Dividend	K	T					
26. Vanguard ETF	A	Dividend	J	T					
27. SPDR ETF	A	Dividend	J	T					
28. Tyson	A	Dividend			Sold	05/21/20	J	A	
29. Corteva	A	Dividend	J	T					
30. Timkin	A	Dividend	K	T					
31. Akamai	A	Dividend	K	T					
32. Dow Dupont, Inc. FKA Dow Chemical	A	Dividend	K	T					
33. Campbell Soup	A	Dividend	J	T					
34. Target Corp	A	Dividend	J	T	Buy	01/21/20	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 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 =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Rose, Thomas M.

Date of Report

04/13/2021

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)
35. TJX	A	Dividend	J	T					
36. Astrazeneca	A	Dividend	J	T	Buy	11/24/20	J		
37. Moderna	A	Dividend	J	T	Buy	08/10/20	J		
38. Honeywell Inter	A	Dividend	K	T	Buy	08/10/20	K		
39. Fidelity Advisor New Insights Fund Class FINSX 316071604	A	Dividend	K	T					
40. New World Fund Class F-2 NFFFX 649280823	A	Dividend	K	T					
41. Deutsche (DWS) Ehance Commodity Strategy Fund Inst. SKIRX 25159L836	A	Dividend	J	T					
42. The Oakmark International Fund OAKIX 413838202	A	Dividend	K	T					
43. MFS Value Fund Class MEIIX 552983694	A	Dividend	K	T					
44. Dreyfus Ins. Deposit DIDI	A	Dividend			Sold	04/30/20	J	A	
45. Marion Cty 569120AV0	A	Dividend	K	T	Buy	12/29/20	K		
46. Northern Small Cap Value Fund NOSGX 665162400	A	Dividend	K	T					
47. Pimco Income Fund Class PONPX 72201M719	B	Dividend	J	T					
48. Europacific Growth Fund (Am Imos) AEPFX 29875E100	A	Dividend	K	T					
49. Principal Real Estate Securities 74253Q580	A	Dividend	K	T					
50. Principal Global Mult. Strategy Fund 74255L696	A	Dividend	J	T					
51. Am. Century Short Duration Fund 0249327774	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
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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

Rose, Thomas M.

Date of Report

04/13/2021

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)
52. Baron Asset Fund Inst. Class 068278605	A	Dividend	K	T					
53. Goldman Sachs Absolute Fund 38145N220	A	Dividend	J	T					
54. Goldman Sachs Int Sm Cap Investor Gicix	A	Dividend	J	T					
55. TIAA - CREF Bond Advisor TIBHX 87245P718	A	Dividend	K	T					
56. Dodge & Cox Income Fund DODIX 256210105	A	Dividend	K	T					
57. Hartford World Bond Fund HWDIX 41664M235	A	Dividend	J	T					
58. John Hancock Discp Fund JVMIX 47803W406	A	Dividend	K	T					
59. Mahoning Co. Swr System 560072CE8	A	Dividend	K	T					
60. County of Hamilton GO Bond (40727TCT9)	A	Dividend	K	T					
61. Franklin, Ohio Cty School Bond (354172HUS)	A	Dividend	K	T					
62. Ohio State Hosp Fac Rev Bond (67756IKP6)	A	Dividend	K	T					
63. Chillicothe Hosp Fac Bond (169203AJ5)	A	Dividend	J	T					
64. Lancaster, Ohio City School Bonds (514264DP2)	A	Dividend	K	T					
65. Hamilton Co. Hsp Bond 40727ZS53	A	Dividend	K	T					
66. Lorain Oh G.O. Bond 5436893U5	A	Dividend	K	T					
67. Ravenna Oh Bond 754361BE2	A	Dividend			Redeemed	12/01/20	J	A	
68. Upper Arlington Sch 915506MS5	A	Dividend	K	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	
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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

Rose, Thomas M.

Date of Report

04/13/2021

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)
69. Berkshire Hathaway BRKB	A	Dividend	L	T					
70. Little Miami Ohio Loc Sch Bonds (537292MN1)	A	Dividend	K	T					
71. Carlyle Group LP (CG)	A	Dividend	J	T					
72. Ohio St Higher Education Fac Com 67756DHG4	A	Dividend	J	T					
73. Boenning and Scattergood Cash fka Sweeney Cartwright Cash	C	Interest	M	T					
74. Rose and Buerger Farms LLP	A	Distribution	K	W					
75. Goldman Sachs Large Caps 381430503	A	Dividend	K	T	Buy	12/31/20	K		
76. Ishare Gold Tr Ishares 464285105	A	Dividend	J	T	Buy	08/31/20	J		
77. Ishare Tr MSCI USA Value Factor ETF 46432F388	A	Dividend	J	T	Buy	12/18/20	J		
78. Western Asset Core Bond Fund Class 1 - 957663305	A	Dividend	J	T	Buy	08/31/20	J		
79. Oxford Lane Capital Corp Preferred 691543300	A	Dividend	J	T	Buy	08/12/20	J		
80. Keycorp Perf Ser E Bond 493267-70-2	A	Dividend	J	T	Buy	07/16/20	J		
81. PNC Financial Var PFD	A	Dividend	J	T	Buy	07/16/20	J		
82. NM FDIC Insured Deport Program	A	Dividend	J	T	Buy	05/01/20	J		
83. 200 Greif Inc. CLA GEF -@37.11 (**-see Section VIII for explanation	A	Dividend	J	T	Buy	10/10/19	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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Rose, Thomas M.

Date of Report

04/13/2021

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

** VII -

Line No. 83. 200 Greif Inc. CLA GEF -@37.11 was purchased October 10 2019 but was inadvertently left off the last disclosure report

Greif-200- A Dividend J T 10/10/2019 J

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Rose, Thomas M.

Date of Report

04/13/2021

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/ Thomas M. Rose**

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