

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 4/28/2014
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
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	KSJ Stables LLP (nka 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 11

Name of Person Reporting

Rose, Thomas M.

Date of Report

4/28/2014

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. 2013	Ohio Public Employee Retirement System (Retirement)	\$85,987.00
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. 2013	Greene 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 11

Name of Person Reporting

Rose, Thomas M.

Date of Report

4/28/2014

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.	Old Fort Banking	Mortgage on Investment Property/Cedarville, OH	M
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Rose, Thomas M.

Date of Report

4/28/2014

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. Bank of Am Coop Preferred Stock	A	Dividend			Redeemed	05/28/13	J	A	
2. Napoleon Ohio SD GO Bonds 12/1/14	A	Dividend	K	T					
3. Nat City Cap Preferred Stock	A	Dividend			Redeemed	07/30/13	J	A	
4. Northridge Ohio SD (Mont Co) GO Bonds 12/1/16	A	Dividend			Redeemed	12/02/13	J	A	
5. Sprint Nextel Common Stock	A	Dividend	J	T					
6. Wilmington Ohio Water Rev Bond 6/15/16	A	Dividend	J	T					
7. \$Celina Ohio G.O. Bond 12/1/20	A	Interest	K	T					
8. \$Centerville Ohio Hlth Ca (Bethany Lutheran) Vlg Proj 11/1/14	A	Interest	K	T					
9. \$Centerville Ohio Hlth Ca (Bethany Lutheran) Vlg. Proj 11/17	B	Interest	K	T					
10. \$Clyde Green Springs School Dist. Obligation Bond 12/1/15	A	Dividend	K	T					
11. Field, OH Local Sch GO Bonds 12/1/18	A	Dividend	J	T					
12. Franklin Co Health Care Fac Bond (Ohio Presb) 7/1/26	A	Dividend	J	T					
13. \$Hamilton Cnty Ohio Hlth Care Fac Bonds 1/1/13	B	Interest			Redeemed	01/02/13	K	A	
14. \$Hamilton County Ohio Facs Rev Bonds Children's Hosp 5-13/14	B	Interest	K	T					
15. \$Independence Ohio LSD 12/1/16	A	Interest			Redeemed	06/03/13	K	A	
16. \$Mahoning County Ohio Gen Obligation Bonds 12/1/21	B	Interest	K	T					
17. \$Mansfield (Richland Cnty) Genl Oblig Bonds 12/1/13	B	Interest			Redeemed	03/04/13	K	A	

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 (See Columns C1 and D3)	J = \$15,001 - \$50,000 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	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

Name of Person Reporting

Rose, Thomas M.

Date of Report

4/28/2014

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)

18. Ohio St Water Dev. Bonds (First Eng) 7/1/33	A	Dividend	K	T					
19. Sweney Cartwright Stock Cash Account	C	Interest	M	T					
20. Rose and Buerger Farms, LLP (fka KSJ Stables LLP)	A	Distribution	L	W					
21. Alerian MLP ETF	A	Interest	K	T					
22. Eaton	A	Dividend			Sold	04/02/13	K	C	
23.	A	Dividend	K	T	Buy	05/07/13	J		
24. Corning	A	Dividend	K	T					
25. Ford	A	Dividend	J	T					
26.	A	Dividend			Buy (add'l)	05/15/13	J		
27.	A	Dividend			Buy (add'l)	06/12/13	J		
28.	A	Dividend			Sold (part)	09/16/13	K	C	
29. Microsoft	A	Dividend			Sold	01/24/13	J	A	
30. Conoco Phillips	A	Dividend	J	T					
31. Cleveland Ohio ARPT Sys Revenue 1/1/18	A	Interest	K	T					
32. Cleveland Ohio ARPT Sys Revenue 1/1/15	A	Interest	K	T					
33. Ohio State Wtr Dev Auth Bond 6/1/33	A	Interest	J	T					
34. Hamilton Cty, OH Swr Sys FAC Bonds 12/1/17 (X)	A	Interest	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 6 of 11

Name of Person Reporting

Rose, Thomas M.

Date of Report

4/28/2014

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. Ross County, OH Hosp Fac Rev. Bonds (Adena)	A	Interest	K	T					
36. Boeing Co. Common Stock	A	Dividend	K	T					
37.	A	Dividend			Buy (add'l)	01/24/13	J		
38.	A	Dividend			Sold (part)	09/16/13	J	C	
39.	A	Dividend			Sold (part)	11/14/13	K	D	
40. Eaton Corp. Common Stock	A	Dividend			Sold	04/02/13	K	C	
41.	A	Dividend	K	T	Buy	05/07/13	J		
42. GE Common Stock	A	Dividend	K	T					
43. Berkshire B Common Stock	A	Dividend			Sold	04/23/13	K	C	
44. Sun Trust Common Stock	A	Dividend			Sold	10/19/13	J	C	
45. Thornburg Value Fund Class A Re/Re/Re 50586	A	Dividend	K	T					
46. Thornburg Invest. Income Class A 50590	B	Dividend	K	T					
47. Sprint Nextel Corp	A	Dividend	J	T					
48. Ishares China Index	A	Dividend	J	T					
49. Ishares China Index	A	Dividend	J	T					
50. Johnson and Johnson	A	Dividend	K	T					
51.	A	Dividend			Buy (add'l)	05/07/13	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 7 of 11

Name of Person Reporting

Rose, Thomas M.

Date of Report

4/28/2014

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. Caterpillar	A	Dividend			Sold	02/25/13	K	B	
53.	A	Dividend	K	T	Buy	03/11/13	J		
54.	A	Dividend			Buy (add'l)	04/19/13	K		
55. Columbia Acorn International Fund	A	Dividend	J	T					
56. Credit Suisse Commodity Return	A	Dividend			Sold	05/23/13	J		
57. Fidelity Advisor Mid Capp II Fund	A	Dividend	J	T					
58. Fidelity Advisor New Insights Fund Class	A	Dividend	K	T					
59. Franklin High Income Fund Class A	A	Dividend			Sold	09/23/13	J		
60. Harbor Bond Fund Institutional Class	A	Dividend	K	T					
61. Harbor Real Return Fund Institutional	A	Dividend	J	T					
62. The Oakmark International Fund	A	Dividend	J	T					
63. Perkins Mid Cap Value Fund	A	Dividend	J	T					
64. MFS Value Fund Class W	A	Dividend	K	T					
65. MFS International Growth Fund Class W	A	Dividend	J	T					
66. T Rowe Price Emerging Markets	A	Dividend	J	T					
67. T Rowe Price Real Estate	A	Dividend	J	T					
68. Scout International Fund	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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	L = \$50,001 - \$100,000 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 11

Name of Person Reporting

Rose, Thomas M.

Date of Report

4/28/2014

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)
69. Templeton Global Bond Fund Class A	A	Dividend	J	T					
70. Northern Small Cap Value Fund	A	Dividend	J	T					
71. Pimco Income Fund Class A	A	Dividend	J	T					
72. Facebook Common Stock	A	Dividend	J	T	Buy	09/17/13	J		
73. Molycorp	A	Dividend			Buy	05/15/13	J		
74.	A	Dividend			Sold	12/20/13	J	A	
75. Cisco Common Stock	A	Dividend			Buy	01/24/13	J		
76.	A	Dividend			Buy (add'l)	05/28/13	J		
77.	A	Dividend			Sold	12/20/13	J	A	
78. Weyerhaeuser stock	A	Dividend	K	T	Buy	02/25/13	J		
79.	A	Dividend			Buy (add'l)	03/11/13	J		
80.	A	Dividend			Buy (add'l)	05/15/13	J		
81. Vale	A	Dividend			Buy	02/25/13	J		
82.	A	Dividend			Buy (add'l)	03/11/13	J		
83.	A	Dividend			Sold	12/30/13	J	A	
84. Oracle	A	Dividend			Buy	03/11/13	J		
85.	A	Dividend			Sold	12/30/13	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 \$5,000,000	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 11

Name of Person Reporting

Rose, Thomas M.

Date of Report

4/28/2014

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)
86. ADT	A	Dividend			Buy	04/08/13	J		
87.	A	Dividend			Sold	12/20/13	J	A	
88. Timkin	A	Dividend	J	T	Buy	04/19/13	J		
89.	A	Dividend			Buy (add'l)	06/27/13	J		
90. Akamai	A	Dividend	J	T	Buy	05/15/13	J		
91. Dupont	A	Dividend			Buy	05/16/13	J		
92.	A	Dividend			Sold	11/14/13	J	A	
93. Applied Material	A	Dividend	J	T	Buy	06/18/13	J		
94. Pioneer	A	Dividend	J	T	Buy	10/23/13	J		
95. Johnson Control	A	Dividend	K	T	Buy	09/17/13	J		
96.	A	Dividend			Buy (add'l)	12/26/13	J		
97. Dresser Ran	A	Dividend	J	T	Buy	06/18/13	J		
98. Joy Global	A	Dividend	J	T	Buy	06/18/13	J		
99. [REDACTED], Greene County, OH	E	Rent	N	W	Buy	01/02/13	N		
100. Sandridge Common Stock	A	Dividend	J	T	Buy	07/18/13	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 \$5,000,000	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 10 of 11

Name of Person Reporting

Rose, Thomas M.

Date of Report

4/28/2014

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

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Rose, Thomas M.

Date of Report

4/28/2014

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