

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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 05/17/2014
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 01/01/2012 to 12/31/2012
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	Magnificat High School
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. 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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2012

St. Raphael Church (administration)

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

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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	J	T					
2. Third Federal Savings Checking Account	A	Interest	J	T					
3. Ohio PERS Retirement Fund		None	L	T					
4. IRA - Columbus Life Insurance Co. Deferred Annuity	A	Interest	J	T					
5. IRA - Phoenix Home Life Flexible Annuity	A	Interest	J	T					
6. IRA - UBS cash equivalent	C	Int./Div.	L	T					
7. UBS Resource Management Brokerage Account #1		None							
8. UBS Resource Management Brokerage Account #2		None							
9. UBS Resource Management Brokerage Account #3		None							
10. IRA - UBS cash equivalent	B	Int./Div.	K	T					
11. UBS Resource Management Brokerage Account #4									
12. -UBS Bank USA Deposit Account	A	Interest	J	T					
13. -Pace Money Market Investments Fund Class P	A	Interest	J	T					
14. -American Funds Smallcap World F-1	A	Dividend	J	T					
15. -Artisan International Value Inv	A	Dividend	J	T	Buy	11/28/12	J		
16. -Artisan Value Fund Investor Class	A	Dividend	J	T	Buy	11/28/12	J		
17. -JP Morgan Large Cap Growth Fund Class A	A	Dividend	J	T	Buy	03/29/12	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 H ~\$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 ~\$250,000.001 - \$500,000.000	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	

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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)
18.					Buy (add'l)	11/28/12	J		
19. -Oppenheimer Developing Markets Fund Cl A	A	Dividend	J	T	Buy	03/30/12	J		
20.					Buy (add'l)	11/28/12	J		
21. -Prudential Jennison Equity Income Fund A	A	Dividend	K	T	Buy	03/27/12	K		
22.					Buy (add'l)	03/29/12	K		
23. -Third Ave Tr Real Estate Value FD	A	Dividend	J	T					
24. -THORNBERG CORE GROWTH FUND CLASS A	A	Dividend	J	T					
25. -THORNBURG INTLVALUE FUND I	A	Dividend	J	T					
26. -EATON VANCE GLOBAL MACRO ABSOLUTE RETURN FUND A	A	Dividend	J	T	Buy	03/30/12	J		
27.					Sold (part)	03/30/12	J		
28. -JP MORGAN CORE BOND FUND CLASS A	A	Dividend	K	T	Buy	03/30/12	K		
29.					Sold (part)	11/28/12	J	A	
30. -LOOMIS SAYLES INVESTMENT GRADE BOND FUND CLASS A	A	Dividend	J	T	Buy	03/29/12	J		
31. -PIMCO TOTAL RETURN FUND CLASS A	B	Dividend	K	T	Buy	03/30/12	K		
32.					Sold (part)	11/28/12	J	A	
33. -PRUDENTIAL SHORT-TERM CORPORATE BOND FUND CLASS A	A	Dividend	K	T					
34. -PRUDENTIAL SHORT-TERM CORPORATE BOND FUND	A	Dividend			Buy	03/30/12	K		

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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35.					Sold (part)	11/28/12	J	A	
36. PRUDENTIAL SHORT-TERM CORPORATE BOND FUND INC	A	Dividend			Sold	03/29/12	K	A	
37. -FT-FRANKLIN INCOME A FBOLD	B	Dividend	K	T	Buy	03/29/12	K		
38. -IVY ASSET STRATEGY FUND CLASS A	A	Dividend	K	T	Buy	03/30/12	K		
39. -PRINCIPAL GLOBAL DIVERSIFIED INCOME FUND CLASS A	A	Dividend	K	T					
40. -AQR MANAGED FUTURES STRATEGY FUND CLASS N	A	Dividend	J	T	Buy	04/02/12	J		
41. -ALTRIA GROUP INC	A	Dividend			Sold	03/27/12	J	A	
42. -AQR MANAGED FUTURES STRATEGY FUND CLASS I	A	Dividend			Sold	03/29/12	J	A	
43. -AT&T INC	A	Dividend			Sold	03/27/12	J	A	
44. BANK OF MONTREAL CANADA	A	Dividend			Sold	03/27/12	J	A	
45. -BCE INC NEW CAD	A	Dividend			Sold	03/27/12	J	A	
46. -BRISTOL MYERS SQUIBB CO	A	Dividend			Sold	03/27/12	J	A	
47. -CBL & ASSOC PPTYS INC	A	Dividend			Sold	03/27/12	J	A	
48. -CHEVRON CORP	A	Dividend			Sold	03/27/12	J	A	
49. -DIAMOND OFFSHORE DRILLING INC	A	Dividend			Sold	03/27/12	J	A	
50. -DIGITAL REALTY TRUST INC REIT	A	Dividend			Sold	03/27/12	J	A	
51. -DOMINION RESOURCES INC VA	A	Dividend			Sold	03/27/12	J	A	

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52. -ENERGY TRANSFER EQUITY LP UNITS LTD	A	Dividend			Sold	03/27/12	J	A	
53. -ENTERPRISE PRODUCTS PARTNER LP MLP	A	Dividend			Sold	03/27/12	J	A	
54. -FIRSTENERGYCORP	A	Dividend			Sold	03/27/12	J	A	
55. -FRANKLIN HIGH INCOME FUND ADVISOR CLASS	A	Dividend			Sold	03/29/12	J	A	
56. -FRANKLIN HIGH INCOME FUND CLASS A	A	Dividend			Buy	03/30/12	J		
57.	A				Sold	11/28/12	J	A	
58. -HEINZ H J CO	A	Dividend			Sold	03/27/12	J	A	
59. -HUSSMAN INVT TR STRATEGIC GROWTH FD	A	Dividend			Sold	11/28/12	J	A	
60. -IVY ASSET STRATEGY FUND CLASS I	A	Dividend			Sold	03/29/12	K	A	
61. -JP MORGAN CORE BOND FUND SELECT	A	Dividend			Sold	03/29/12	K	A	
62. -JP MORGAN EQUITY INCOME FUND CLASS A									
63. -JP MORGAN LARGE CAP GROWTH FUND SELECT									
64. -KINDER MORGAN ENERGY PARTNERS MLP	A	Dividend			Sold	03/27/12	J	A	
65. -LILLY ELI & CO	A	Dividend			Sold	03/27/12	J	A	
66. -LOOMIS SAYLES INVESTMENT GRADE BOND CLASS Y	A	Dividend			Sold	03/29/12	J	A	
67. -LORILLARD INC	A	Dividend			Sold	03/27/12	J	A	
68. -MERCK & CO INC	A	Dividend			Sold	03/27/12	J	A	

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69. -OPPENHEIMER DEVELOPING MARKETS CLASS Y	A	Dividend			Sold	03/29/12	J	A	
70. -PACE MONEY MARKET INVESTMENTS FUND	A	Dividend			Buy	11/12/12	J		
71. -PIMCO TOTAL RETURN FUND CLASS P	A	Dividend			Sold	03/29/12	K	A	
72. -SPECTRA ENERGY CORP	A	Dividend			Sold	03/27/12	J	A	
73. -THORNBURG CORE GROWTH FUND	A	Dividend			Buy	03/30/12	J		
74. -THORNBURG CORE GROWTH FUND I	A	Dividend			Sold	03/29/12	J	A	
75. VERIZON COMMUNICATIONS INC	A	Dividend			Sold	03/28/12	J	A	
76. -WEITZ HICKORY FUND FBOLD	A	Dividend			Sold	03/29/12	J	A	
77. -WELLS FARGO INTERNATIONAL BOND FUND	A	Dividend			Sold	03/29/12	J	A	
78.		Dividend			Buy (add'l)	03/30/12	J		
79.		Dividend			Sold	11/28/12	J	A	
80. -WILLIAMS PARTNERS LP UNIT LTD PARTNERSHIP	A	Dividend			Sold	03/27/12	J	A	

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

VII. INVESTMENTS AND TRUSTS

LINE 8. This asset was inadvertently omitted from the most recent prior disclosure report. Brokerage Account #2 was opened on 07/01/11 with a value code of K. Brokerage Account #2 was distributed to Brokerage Account #4 on 09/01/11.

LINES 6, 7, and 8. These accounts were consolidated into Brokerage Account #4 in September and October 2011 and are officially closed.

Line 62. Purchase of this asset was cancelled on 3/27/2012 and should not have been listed as a "Buy".

Line 63. Purchase of this asset was cancelled on 3/27/2012 and should not have been listed as a "Buy".

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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