

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) Frost, Gregory L.	2. Court or Organization U.S. Dist. Ct., S.Dist.of Ohio	3. Date of Report 05/12/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge	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 169 U.S. Courthouse 85 Marconi Boulevard Columbus, Ohio 43215		
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. Director / Shareholder	W.K. Frost, Inc. (owned corporation)
2. Director - Secretary/Treasurer	Maryhaven, Inc. (Non-profit drug and alcohol rehabilitation facility)
3. Adjunct Professor	The Ohio State University, College of Law
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. 03/01/03	Public Employees Retirement System of Ohio, pension plan as a result of former position as state court judge.
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. 2013	W. K. Frost, Inc. (director's fee)	\$2,000.00
2. 2013	Ohio Public Employees Retirement System (pension)	\$80,312.00
3. 2013	The Ohio State University, College of Law - Adjunct Professor	\$3,000.00
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	State of Ohio, The Supreme Court of Ohio - salary
2. 2013	Ohio Deferred Compensation - distribution
3. 2013	Ohio Public Employees Retirement System - pension
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.				

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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.	Flagstar Bank	Meridian Condo Project mortgage	N
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. Park National Bank Checking Account		None	J	T					
2. Park National Bank Checking Account (spouse)		None	J	T					
3. W.K. Frost, Inc. - Closely held stock	E	Distribution	M	U					
4. Clayton Land Holdings, LLC appraised 3/15/00		None	L	T					
5. Shrimplin #1 - Royalty Interest, Knox County, Ohio	B	Royalty	J	W					
6. Deferred Comp. [REDACTED] - Fidelity Growth Company		None	K	T					
7. Deferred Comp. [REDACTED] - Fidelity Contrafund		None	J	T					
8. Deferred Comp. [REDACTED] Janus Fund		None	J	T					
9. Deferred Comp. [REDACTED] - Vanguard International Growth		None	K	T					
10. Deferred Comp. [REDACTED] - Vanguard Institutional Index		None	K	T					
11. Deferred Comp. [REDACTED] - Guaranteed Return Option		None	K	T					
12. Deferred Comp. [REDACTED] - FPA Capital Fund		None	K	T					
13. Investment/Rental Property - Cocoa Beach, FL	D	Rent	O	W					
14. Deferred Comp. [REDACTED] - Fidelity Contrafund		None	K	T					
15. Deferred Comp. [REDACTED] - Fidelity Growth		None	K	T					
16. Deferred Comp. [REDACTED] - Janus Fund		None	J	T					
17. Deferred Comp. [REDACTED] - Vanguard International		None	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 \$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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18. Deferred Comp. [REDACTED] - Vanguard Institutional		None	K	T					
19. Deferred Comp. [REDACTED] - FPA Capital Fund		None	K	T					
20. Deferred Comp. [REDACTED] - Guaranteed Return		None	J	T					
21. Moundbuilders Country Club	A	Interest	J	T					
22. Park National Bank Savings Account [REDACTED]	A	Interest	J	T					
23. Park National Bank Saving Account	A	Interest	L	T					
24. Deferred Comp. [REDACTED] - Vanguard Capital Opportunity		None	J	T					
25. Deferred Comp. [REDACTED] - Vanguard Total Bond Market Index		None	J	T					
26. Wells Fargo Brokerage Account [REDACTED]	A	Interest	J	T					
27. Wells Fargo Brokerage Account [REDACTED] Aflac Inc.	A	Dividend	K	T					
28. Wells Fargo Brokerage Account [REDACTED] Ship Finance Intl. LT	B	Dividend	J	T					
29. Wells Fargo Brokerage Account [REDACTED] Archer-Daniels Midlnd	A	Dividend	K	T					
30. Wells Fargo Brokerage Account [REDACTED] Realty Income Corp	B	Dividend	J	T					
31. Wells Fargo Brokerage Account [REDACTED] Seadrill LTD	B	Dividend	K	T					
32. Wells Fargo Brokerage Account [REDACTED] AT&T Inc	B	Dividend	K	T					
33. Wells Fargo Brokerage Account [REDACTED] Berkshire Hathaway Inc		None	K	T					
34. Wells Fargo Brokerage Account [REDACTED] Pepsico	B	Dividend	K	T					

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35. Wells Fargo Brokerage Account [REDACTED] Berkshire Hathaway		None	K	T					
36. Wells Fargo Brokerage Account [REDACTED] Intel	A	Dividend	J	T					
37. Wells Fargo Brokerage Account [REDACTED] Microsoft Corp.	A	Dividend	K	T					
38. Wells Fargo Brokerage Account [REDACTED] Exelon Corp.	A	Dividend	J	T	Buy	06/12/13	J		
39. PNC Investment Management Account [REDACTED] Blackrock MMF	A	Interest	K	T					
40. PNC Investment Mgmt. [REDACTED] Acct. AT&T	A	Dividend	J	T					
41. PNC Investment Mgmt. Acct. [REDACTED] American Express Co.	A	Dividend	J	T					
42. PNC Investment Mgmt. Acct. [REDACTED] Amerisource Bergen Corp.	A	Dividend	J	T					
43. PNC Investment Mgmt. Acct. [REDACTED] Apple	A	Dividend	J	T					
44. PNC Investment Mgmt. Acct. [REDACTED] Baxter International Inc	A	Dividend	K	T					
45. PNC Investment Mgmt. Acct. [REDACTED] Bristol Myers Squibb Co.	A	Dividend	J	T					
46. PNC Investment Mgmt. Acct. [REDACTED] CSX Corp	A	Dividend	J	T					
47. PNC Investment Mgmt. Acct. [REDACTED] Chubb Corp	A	Dividend	J	T					
48. PNC Investment Mgmt. Acct. [REDACTED] Connecticut St. SER D GO	A	Interest	K	T					
49. PNC Investment Mgmt. Acct. [REDACTED] Conoco Phillips	A	Dividend	J	T					
50. PNC Investment Mgmt. Acct. [REDACTED] Consolidated Edision Inc.	A	Dividend	J	T					
51. PNC Investment Mgmt. Acct. [REDACTED] Disney Walt Co.		None	J	T					

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52. PNC Investment Mgmt. Acct. [REDACTED] Dupont E I De Nemours & Co.	A	Dividend	J	T					
53. PNC Investment Mgmt. Acct. [REDACTED] Eaton Corp	A	Dividend	J	T	Buy	02/21/13	J		
54. PNC Investment Mgmt. Acct. [REDACTED] Exxon Mobil Corp.	A	Dividend	J	T					
55. PNC Investment Mgmt. Acct. [REDACTED] General Electric Co.	A	Dividend	J	T					
56. PNC Investment Mgmt. Acct. [REDACTED] Harbor Int'l Fund Class	A	Dividend	J	T					
57. PNC Investment Mgmt. Acct. [REDACTED] Intel	A	Dividend	J	T					
58. PNC Investment Mgmt. Acct. [REDACTED] IBM	A	Dividend	J	T					
59. PNC Investment Mgmt. Acct. [REDACTED] IShares TR MSCI Emerging	A	Dividend	J	T					
60. PNC Investment Mgmt. Acct. [REDACTED] I Shares MSCI EAFE Index	A	Dividend	J	T					
61. PNC Investment Mgmt. Acct. [REDACTED] I Shares Russell Midcap	A	Dividend	K	T					
62. PNC Invmt. Mgmt. Acct. [REDACTED] Ishares TR Russell 2000 Idx	A	Dividend	J	T					
63. PNC Invmt. Mgmt. Acct. [REDACTED] JPMorgan Chase	A	Dividend	J	T					
64. PNC Invmt. Mgmt. Acct. [REDACTED] Johnson & Johnson	A	Dividend	J	T					
65. PNC Invmt. Mgmt. Acct. [REDACTED] Johnson Controls	A	Dividend	J	T					
66. PNC Invmt. Mgmt. Acct. [REDACTED] Litman Gregory Masters Int'l	A	Dividend	J	T					
67. PNC Invmt. Mgmt. Acct. [REDACTED] Mass St. Sch. Bldg Auth Bond	A	Dividend	L	T					
68. PNC Invmt. Mgmt. Acct. [REDACTED] McDonald's Corp	A	Dividend	J	T					

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69. PNC Invmt. Mgmt. Acct. [REDACTED] Microsoft Corp	A	Dividend	J	T					
70. PNC Invmt. Mgmt. Acct. [REDACTED] Nextera Energy Inc.	A	Dividend	J	T					
71. PNC Invmt. Mgmt. Acct. [REDACTED] OSU Ref Ser A	A	Interest	K	T					
72. PNC Invmt. Mgmt. Acct. [REDACTED] Oracle	A	Dividend	J	T					
73. PNC Invmt. Mgmt. Acct. [REDACTED] Pepsico Inc.	A	Dividend	J	T					
74. PNC Invmt. Mgmt. Acct. [REDACTED] Phoenix AZ Civic Impt	A	Interest	K	T					
75. PNC Invmt. Mgmt. Acct. [REDACTED] Price T Rowe Grp	A	Dividend	J	T					
76. PNC Invmt. Mgmt. Acct. [REDACTED] Proctor & Gamble	A	Dividend	J	T					
77. PNC Invmt. Mgmt. Acct. [REDACTED] Qualcomm	A	Dividend	J	T					
78. PNC Invmt. Mgmt. Acct. [REDACTED] JM Smucker	A	Dividend	J	T					
79. PNC Invmt. Mgmt. Acct. [REDACTED] UPS	A	Dividend	J	T					
80. PNC Invmt. Mgmt. Acct. [REDACTED] United Technologies Corp.	A	Dividend	J	T					
81. PNC Invmt. Mgmt. Acct. [REDACTED] Univ of CO Enterprise Rev.	A	Interest	K	T					
82. PNC Invmt. Mgmt. Acct. [REDACTED] Wells Fargo	A	Dividend	J	T					
83. PNC Invmt. Mgmt. Acct. [REDACTED] Wisconsin St. Trans. Rev Bd		None			Matured	07/01/13	K	A	
84. Wells Fargo Brokerage Account [REDACTED] Eaton	A	Dividend	J	T					
85. Wells Fargo Brok. Acct. [REDACTED] IShares Dow Jones Select Div.	A	Dividend	J	T					

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86. Wells Fargo Brok. Acct. [REDACTED] IShares TR-Dow Jones US Tech.	A	Dividend	J	T					
87. Wells Fargo Brok. Acct. [REDACTED] Deere & Co.	B	Dividend	K	T					
88. Wells Fargo Brok. Acct. [REDACTED] Emerson Electric	A	Dividend	K	T					
89. Wells Fargo Brok. Acct. [REDACTED] IBM	A	Dividend	K	T					
90. Wells Fargo Brok. Acct. [REDACTED] IShares FTSE EPRA/ETF NAREIT	A	Dividend	J	T					
91. Wells Fargo Brok. Acct. [REDACTED] S&P US Preferred Stock	A	Dividend	J	T					
92. Wells Fargo Brok. Acct. [REDACTED] Potash Corp. of Saskatchewan	A	Dividend	J	T					
93. Wells Fargo Brok. Acct. [REDACTED] Senior Housing Prop. TR REIT	A	Dividend	J	T					
94. Wells Fargo Brok. Acct. [REDACTED] SPDR S&P Dow Jones INDL ETF	A	Dividend	J	T					
95. Wells Fargo Brok. Acct. [REDACTED] S&P Emerging ETF Mkts. Div.	A	Dividend	J	T					
96. Wells Fargo Brok. Acct. [REDACTED] Total S.A. Spous. ADR	B	Dividend	K	T					
97. Wells Fargo Brok. Acct. [REDACTED] Vale S A ADR	A	Dividend	K	T					
98. Wells Fargo Brok. Acct. [REDACTED] Vectren Corp.	A	Dividend	K	T					
99. Wells Fargo Brok. Acct. [REDACTED] Vanguard GNMA FD CLI	B	Dividend	L	T	Sold (part)	12/17/13	J		
100. Wells Fargo Checking Acct. [REDACTED]	A	Interest	J	T					
101. Wells Fargo Savings Acct. [REDACTED]	A	Interest	L	T					
102. Wells Fargo IRA Acct. Blackrock Build America Fund		None	J	T					

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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)
103. PNC Bank Sweep Deposit (X)	D	Interest	J	T					
104. PNC Invest. Acct. Templeton Global Bond Fund AD	A	Dividend	K	T					
105. PNC Invest. Acct. T Rowe Price High Yield Fund #57	A	Dividend	K	T					
106. PNC Invest. Acct. IShares Dow Jones US REIT ETF	A	Dividend	J	T					
107. Wells Fargo Brok. Acct. Kinder Morgan Inc.	A	Dividend	K	T	Buy	03/18/13	K		
108. Wells Fargo Brok. Acct. Southern Copper Corp.	A	Dividend	J	T	Buy	03/18/13	K		
109. Wells Fargo Brok. Acct. Royal Dutch Shell PLC	B	Dividend	K	T	Buy	03/21/13	K		
110. Wells Fargo Brok. Acct. Apple Inc.	A	Dividend	K	T	Buy	04/17/13	K		
111. Wells Fargo Brok. Acct. Excelon Corp.	A	Dividend	J	T	Buy	06/12/13	J		
112. Wells Fargo Brok. Acct. Diebold	A	Dividend	K	T	Buy	09/13/13	K		
113. PNC Invest. Acct. Bank of America Corp.	A	Dividend	K	T	Buy	07/08/13	K		
114. PNC Invest. Acct. Nike	A	Dividend	J	T	Buy	03/20/13	J		
115. PNC Invest. Acct. Campbell Soup Co.	A	Dividend	J	T					See Comment
116. PNC Invest. Acct. Chevron Corp.	A	Dividend	J	T					See Comment
117. PNC Invest. Acct. Pfizer Inc.	A	Dividend	J	T					See Comment
118. PNC Invest. Acct. Phillips 66	A	Dividend	J	T					See Comment

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 = \$250,000,001 - \$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

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Name of Person Reporting

Frost, Gregory L.

Date of Report

05/12/2014

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

The following lines were changed [REDACTED] in 2013 by adding my name to the account: 26 - 37, 39 - 52, 54 - 99, and 103 - 105.

Lines 115 - 118 were purchased on 11/08/11 and were inadvertently not reported on the 2011 and 2012 reports.

No income was received during the reporting period for the following lines: 1, 2, 4, 6 - 12, 14 - 20, 24, 25, 33, 35, 51, 83, and 102.

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

Frost, Gregory L.

Date of Report

05/12/2014

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/ Gregory L. Frost

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
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Washington, D.C. 20544