

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 03/11/2019
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 01/01/2018 to 12/31/2018
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.	
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. 2018	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.				

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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.			
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	K	T					
2. IRA #1 (H)									
3. AMER FUNDS NEW WORLD FUND CLASS F2 (NFFFX)	A	Dividend	J	T	Buy	05/09/18	J		
4. BLACKROCK EQUITY DIVIDEND FUND INSTITUTIONAL (MADVX)	A	Dividend	J	T	Buy	05/09/18	J		
5. DAVIS GLOBAL FUND CLASS Y (DGFYX)	A	Dividend	J	T	Buy	05/09/18	J		
6. FEDERATED INTERNATIONAL LEADERS INSTL (FGFLX)		None			Buy	05/09/18	J		
7.					Sold	11/27/18	J		
8. FIRST EAGLE OVERSEAS FUND CLASS I (SGOIX)	A	Dividend	J	T	Buy	05/09/18	J		
9. GLENMEDE LARGE CAP GROWTH FUND CLASS NL (GTLLX)	A	Dividend	J	T	Buy	05/09/18	J		
10. HARDING LOEVNER INTL EQ FD (HLMIX)	A	Dividend	J	T	Buy	11/27/18	J		
11. JENSEN QUALITY GROWTH FUND CLASS I (JENIX)	A	Dividend	J	T	Buy	05/09/18	J		
12. JOHCM EMERG MKTS OPPS FD I (JOEMX)	A	Dividend	J	T	Buy	11/27/18	J		
13. MFS VALUE FUND CLASS I (MEIIX)	A	Dividend	J	T	Buy	05/09/18	J		
14. NUVEEN INVT TR NWQ SMALL CAP VALUE FD CL I (NSCRX)	A	Dividend	J	T	Buy	05/09/18	J		
15. PRINCIPAL MIDCAP FUND CLASS I (PCBIX)	A	Dividend	J	T	Buy	05/09/18	J		
16. T. ROWE PRICE QM U.S. SMALL-CAP GRWTH EQ FD NL (PRDSX)	A	Dividend	J	T	Buy	05/09/18	J		
17. VICTORY SYCAMORE ESTABUSHED VALUE FUND CLASS I (VEVIX)	A	Dividend	J	T	Buy	05/09/18	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 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
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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☐ 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. WILLIAM BLAIR EMERGING MARKETS SMALL CAP GROWTH FUND CLASS I (BSIX)		None			Buy	05/09/18	J		
19.					Sold	11/27/18	J		
20. AMERICAN FUNDS EMERGING MARKETS BOND FUND CLASS F-2 (EBNFX)	A	Dividend	J	T	Buy	05/09/18	J		
21. BLACKROCK STRATEGIC INCOME I (BSIIX)	A	Dividend	J	T	Buy	05/09/18	J		
22. COHEN & STEERS PREFERRED SEC & INC FUND I (CPXIX)	A	Dividend	J	T	Buy	05/09/18	J		
23. DREYFUS/STANDISH GLOBAL FIXED INCOME FUND CLASS I (SDGIX)	A	Dividend	J	T	Buy	05/09/18	J		
24. EATON VN HI INC OPPOR I (EIHIX)	A	Dividend			Buy	05/09/18	J		
25.					Sold	10/02/18	J	A	
26. LORD ABBETT SHORT DURATION INCOME FUND CLASS F (LDLFX)	A	Dividend	J	T	Buy	05/09/18	J		
27. METROPOLITAN WEST TOTAL RETURN BOND FUND CLASS I (MWTIX)	A	Dividend	J	T	Buy	05/09/18	J		
28. PRUDENTIAL TOTAL RETURN BOND FUND CLASS Z (PDBZX)	A	Dividend	J	T	Buy	05/09/18	J		
29. Columbia Contrarian Core Fund Class Z (SMGIX)		None			Sold	05/10/18	J	A	
30. Templeton Glbal Bond ADV (TGBAX)	A	Dividend			Sold	05/10/18	J		
31. Blackrock Global Allocation Fund Inc Institutional (MALOX)		None			Sold	05/10/18	J	A	
32. American Funds, The Income of America Fund Class F2 (AMEFX)	A	Dividend			Sold	05/10/18	K	C	
33. Thornburg Income Builder CL I (TIBIX)	A	Dividend			Sold	05/10/18	K	B	

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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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34. IRA #2 (H)									
35. AMER FUNDS NEW WORLD FUND CLASS F2 (NFFFX)	A	Dividend	J	T	Buy	05/09/18	J		
36. BLACKROCK EQUITY DIVIDEND FUND INSTITUTIONAL (MADVX)	A	Dividend	J	T	Buy	05/09/18	J		
37. DAVIS GLOBAL FUND CLASS Y (DGFYX)	A	Dividend	J	T	Buy	05/09/18	J		
38. FEDERATED INTERNATIONAL LEADERS INSTL (FGFLX)		None			Buy	05/09/18	J		
39.					Sold	11/27/18	J		
40. FIRST EAGLE OVERSEAS FUND CLASS I (SGOIX)	A	Dividend	J	T	Buy	05/09/18	J		
41. GLENMEDE LARGE CAP GROWTH FUND CLASS NL (GTLX)	A	Dividend	J	T	Buy	05/09/18	J		
42. HARDING LOEVNER INTL EQ FD (HLMIX)	A	Dividend	J	T	Buy	11/27/18	J		
43. JENSEN QUALITY GROWTH FUND CLASS I (JENIX)	A	Dividend	J	T	Buy	05/09/18	J		
44. JOHCM EMERG MKTS OPPS FD I (JOEMX)	A	Dividend	J	T	Buy	11/27/18	J		
45. MFS Value Fund Class I (MEIIX)	A	Dividend	J	T	Sold (part)	05/10/18	J	A	
46. WILLIAM BLAIR EMERGING MARKETS SMALL CAP GROWTH FUND CLASS I (BESIX)		None			Buy	05/09/18	J		
47.					Sold	11/27/18	J		
48. BLACKROCK STRATEGIC INCOME I (BSIIX)	A	Dividend	J	T	Buy	05/09/18	J		
49. COHEN & STEERS PREFERRED SEC & INC FUND I (CPXIX)	A	Dividend	J	T	Buy	05/09/18	J		

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50. DREYFUS/STANDISH GLOBAL FIXED INCOME FUND CLASS I (SDGIX)	A	Dividend	J	T	Buy	05/09/18	J		
51. EATON VN HI INC OPPOR I (EIHIX)	A	Dividend			Buy	05/09/18	J		
52.					Sold	10/02/18	J	A	
53. LORD ABBETT SHORT DURATION INCOME FUND CLASS F (LDLFX)	A	Dividend	J	T	Buy	05/09/18	J		
54. METROPOLITAN WEST TOTAL RETURN BOND FUND CLASS I (MWTIX)	A	Dividend	J	T	Buy	05/09/18	J		
55. PGIM TOT RET BD Z (PDBZX) (FORMERLY PRUD TOTAL RET BD FD CL Z (PDBZX))	A	Dividend	J	T	Buy	05/09/18	J		
56. Columbia Contrarian Core Fund Class Z (SMGIX)		None			Sold	05/10/18	J	A	
57. Templeton Global Bond ADV (TGBAX)	A	Dividend			Sold	05/10/18	J		
58. Blackrock Global Allocation Fund Inc Institutional (MALOX)		None			Sold	05/10/18	K	A	
59. Thornburg Income Builder CL I (TIBIX)	A	Dividend			Sold	05/10/18	J	B	
60. Brokerage #1 (H)									
61. UBS Bank USA Dep Acct (X)		None	L	T					
62. American Funds, New World Fund Class F2 (NFFFX)	A	Dividend	J	T					
63. American Funds, Smallcap World Fund Class F2 (SMCFX)	A	Dividend	J	T					
64. Artisan International Value Inv (APDKX)	A	Dividend	K	T					
65. Cohen & Steers Global Rlty Shs Fd (CSSPX)	A	Dividend	K	T	Buy	02/09/18	K		

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66. Columbia Contrarian Core Fund Class Z (SMGIX)	B	Dividend	J	T					
67. Jensen Quality Growth Fund Class I (JENIX)	B	Dividend	K	T					
68. JP Morgan Equity Income Fund (HLIEX)	A	Dividend	K	T					
69. JP Morgan Large Cap Growth Fund Select (SEEGX)	D	Dividend	K	T					
70. Nuveen Inv't TR NWQ Small Cap Value FD CL I (NSCRX)	B	Dividend	J	T					
71. Principal Midcap Fund Class I (PCBIX)	B	Dividend	J	T					
72. T Rowe Price Diversified Small Cap Growth FD (PRDSX)	A	Dividend	J	T					
73. Metropolitan West Total Return Bond Fund Class I (MWTIX)	A	Dividend	K	T					
74. PGIM ST Corp Bd Z (PIFZX)	A	Dividend	K	T					
75. PGIM Tot Ret Bd Z (PDBZX)	B	Dividend	K	T					
76. Templeton Global Bond ADV (TGBAX)	A	Dividend	J	T					
77. American Funds, The Income Fund of America Fund Class F2 (AMEFX)	B	Dividend	K	T					
78. Thornburg Income Builder CL I (TIBIX)	B	Dividend	K	T					
79. Cohen & Steers Real Estate Securities BD (CSDIX)	A	Dividend			Sold	02/12/18	K		

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

Part VII, lines 74 and 75: Corporate name changes; see lines 21 and 28, respectively, of the 2017 report.

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.

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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