

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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 05/13/2015
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 01/01/2014 to 12/31/2014
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Member - Board of Directors	St. John Medical Center Community Board
2.	
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

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. 2014

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.)*

	<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	J	T					
2. Third Federal Savings Checking Account	A	Interest	J	T					
3. Ohio PERS Retirement Fund	E	Distribution	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	B	Int./Div.	L	T					
7. IRA - UBS cash equivalent	B	Int./Div.	K	T					
8. UBS Resource Management Brokerage Account #4									
9. -UBS Bank USA Deposit Account	A	Interest	J	T					
10. -Pace Money Market Investments Fund Class P	A	Interest			Sold	03/21/14	J	A	
11. -American Funds Smallcap World F-1	A	Dividend			Closed	08/25/14	J		
12. -American Funds Smallcap World Fund Class F2 (X)	A	Dividend	J	T	Open	08/25/14	J		
13. -Artisan International Value Inv	A	Dividend	K	T					
14. -JP Morgan Large Cap Growth Fund Class A	A	Dividend			Closed	08/25/14	J		
15. -JP Morgan Large Cap Growth Fund Select (X)	A	Dividend	K	T	Open	08/25/14	J		
16. -Oppenheimer Developing Markets Fund Cl A	A	Dividend			Closed	08/25/14	J		
17. -Oppenheimer Developing Markets Fund Cl Y (X)	A	Dividend	J	T	Open	08/25/14	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 = \$50,001 - \$100,000
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	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 I (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. -Prudential Jennison Equity Income Fund A	A	Dividend			Closed	08/25/14	J		
19. -Prudential Jennison Equity Income Fund Class Z (X)	A	Dividend	K	T	Open	08/25/14	J		
20. -Third Ave Tr Real Estate Value FD	A	Dividend	J	T					
21. -THORNBURG CORE GROWTH FUND CLASS A	A	Dividend			Closed	08/25/14	J		
22. -THORNBURG CORE GROWTH FUND I (X)	A	Dividend	J	T	Open	08/25/14	J		
23. -EATON VANCE GLOBAL MACRO ABSOLUTE RETURN FUND A	A	Dividend			Closed	08/25/14	J		
24. -EATON VANCE GLOBAL MACRO ABSOLUTE RETURN FUND I (X)	A	Dividend	J	T	Open	08/25/14	J		
25. -LOOMIS SAYLES INVESTMENT GRADE BOND FUND CLASS A	A	Dividend			Closed	08/25/14	J		
26. -LOOMIS SAYLES INVESTMENT GRADE BOND FUND CLASS Y (X)	A	Dividend	J	T	Open	08/25/14	J		
27. -PIMCO TOTAL RETURN FUND CLASS A	B	Dividend			Closed	08/25/14	J		
28. -PIMCO TOTAL RETURN FUND CLASS A	B	Dividend			Sold (part)	04/23/14	J	A	
29. -PIMCO TOTAL RETURN FUND CLASS A	B	Dividend			Sold (part)	07/24/14	J	A	
30. -PIMCO TOTAL RETURN FUND CLASS P (X)	B	Dividend	K	T	Open	08/25/14	J		
31. -PIMCO TOTAL RETURN FUND CLASS P (X)	B	Dividend	K	T	Sold (part)	10/24/14	J	A	
32. -PIMCO TOTAL RETURN FUND CLASS P (X)	B	Dividend	K	T	Sold (part)	11/08/14	K	A	
33. -PRUDENTIAL SHORT-TERM CORPORATE BOND FUND CLASS A	A	Dividend			Closed	08/25/14	J		

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
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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				
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34. -PRUDENTIAL SHORT-TERM CORPORATE BOND FUND CLASS INC Z (X)	A	Dividend	K	T	Open	08/25/14	J		
35. -FT-FRANKLIN INCOME A FBOLD	B	Dividend			Closed	08/25/14	J		
36. FRANKLIN INC ADV (X)	B	Dividend	K	T	Open	08/25/14	J		
37. -IVY ASSET STRATEGY FUND CLASS A	A	Dividend			Closed	08/25/14	J		
38. -IVY ASSET STRATEGY FUND CLASS I (X)	A	Dividend	K	T	Open	08/25/14	J		
39. -PRINCIPAL GLOBAL DIVERSIFIED INCOME FUND CLASS A	A	Dividend			Closed	08/25/14	J		
40. -PRINCIPAL FDS INC, GLOBAL DIVERSIFIED INCOME FUND CLASS P (X)	A	Dividend	K	T	Open	08/25/14	J		
41. -AQR MANAGED FUTURES STRATEGY FUND CLASS N	A	Dividend			Closed	08/25/14	J		
42. -AQR MANAGED FUTURES STRATEGY FUND CLASS I (X)	A	Dividend	J	T	Open	08/25/14	J		
43. -PACE MONEY MARKET INVESTMENTS FUND	A	Dividend			Sold	03/21/14	J	A	
44. -THORNBURG CORE GROWTH FUND	A	Dividend			Closed	08/25/14	J		
45. -THORNBURG CORE GROWTH FUND I (X)	A	Dividend	J	T	Open	08/25/14	J		
46. -OPPENHEIMER SENIOR FLOATING RATE FUND CLASS A	A	Dividend			Closed	08/25/14	J		
47. -OPPENHEIMER SR FLOATING RATE FD CLASS Y (X)	A	Dividend	J	T	Open	08/25/14	J		
48. -AMG YACHTMAN FOCUSED FUND SERVICE CLASS	A	Dividend			Closed	06/06/14	J		
49. -AMG YACHTMAN FOCUSED FUND CLASS SVC (X)	A	Dividend	K	T	Open	06/06/14	J		

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

VII. INVESTMENTS AND TRUSTS

The following numbered assets are grouped in pairs with the first paired asset being designated as "exchange from" and the second paired asset being designated as "exchange to". There were no acquisitions nor dispositions involved.

-FROM 11 TO 12
-FROM 14 TO 15
-FROM 16 TO 17
-FROM 18 TO 19
-FROM 21 TO 22
-FROM 23 TO 24
-FROM 25 TO 26
-FROM 27 TO 30
-FROM 33 TO 34
-FROM 35 TO 36
-FROM 37 TO 38
-FROM 39 TO 40
-FROM 41 TO 42
-FROM 44 TO 45
-FROM 46 TO 47

The following pair of assets was designated as a "name change". There was no acquisition nor disposition involved.

-FROM 48 TO 49.

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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
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Washington, D.C. 20544