

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) Spiegel, S. Arthur	2. Court or Organization United States District Court, SDO, WD	3. Date of Report 11/14/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Senior District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final ☐	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address 838 Potter Stewart United States Courthouse Cincinnati, OH 45202		
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. Insert signature on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.	
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.	
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.	
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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)

1. Brokerage Account #1									
2. Anadarko Petroleum Corp.	A	Dividend	K	T					
3. Exxom Mobil Corp. (XOM)	D	Dividend	N	T					
4. Fifth Third Bancorp Ohio (FITB)	C	Dividend	M	T					
5. Marathon Oil Corp. (MRO)	A	Dividend	K	T					
6. Marathon Petroleum Co	A	Dividend	K	T					
7. PNC Financial Services Group (PNC)	C	Dividend	M	T					
8. Piper Jaffray Companies Inc. (PJC)		None	J	T					
9. Procter & Gamble Co. (PG)	D	Dividend	N	T					
10. JM Smucker Company New (SJM)	A	Dividend	J	T					
11. U.S. Bancorp. Delaware New (USB)	B	Dividend	L	T					
12. Union Pacific Corp (UNP)	C	Dividend	M	T					
13. United States Steel Corp	A	Dividend	J	T					
14. Eaton Vance Balanced Fund (EVIFX)	A	Dividend	J	T					
15. Gateway Fund (GATEX)	B	Dividend	M	T					
16. Victory Ohio Muni Bond Fund (SOHTX)	C	Dividend	M	T					
17.									

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		
3. Value Method Codes	Q ~Appraisal	R ~Cost (Real Estate Only)	S ~Assessment	T ~Cash Market	
(See Column C2)	U ~Book Value	V ~Other	W ~Estimated		

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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 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.									
19. RMA Tax Free Fund Inc.	A	Dividend	N	T					
20. Brokerage Account # 2 - Trust	E	Int./Div.	P1	T					
21. UBS RMA Money Market Portfolio (FKA Victory OhioMunicipal Mo	B	Dividend	J	T					
22. Bank of Nova Scotia Canada CAD (BNS)	H1				Sold	03/08/12			
23. Exxon Mobil Corp. (XOM)	H1				Sold	11/28/12			
24. JP Morgan Chase & Company (JPM)	B	Dividend	J	T					
25. Pepsico Inc. (PEP)	B	Dividend	J	T					
26.									
27.									
28. Procter & Gamble (PG)	D	Dividend	J	T	Sold (part)	11/28/12	J	E	
29. 3M Co. (MMM)	C	Dividend	J	T					
30. US Bancorp (USB)	B	Dividend	J	T					
31.									
32.									
33.									
34. Hamilton County, OH 3.125% due 12/01/12	A	Interest	J	T					

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		
3. Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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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)

35.									
36. Deerfield Twp. Ohio 4.00% due 12/01/13	A	Interest	J	T					
37. Vanguard Short Term Tax Exempt Fund (VWSTX)	A	Dividend	J	T					
38. Brokerage Account # 3									
39.									
40. Victory Fund for Income (GGIFX)	B	Dividend	K	T					
41. UBS Ret Money Fund	A	Dividend	J	T					
42.									
43.									
44.									
45.									
46.									
47.									
48.									
49.									
50.									
51.									

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		
3. Value Method Codes	Q –Appraisal	R –Cost (Real Estate Only)	S –Assessment	T –Cash Market	
(See Column C2)	U –Book Value	V –Other	W –Estimated		

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52.									
53.									

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	

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate if report is false)*

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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/ S. Arthur Spiegel**

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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