

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Parker, Thomas M.	2. Court or Organization U.S. Dist. Court. Northern Dist. of Ohio	3. Date of Report 04/18/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge - full time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 801 W. Superior Ave Chambers 11B Cleveland, OH 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. Judge	Summit County Court of Common Pleas (1-1-16 to 3-24-16)
2. Member of Board of Trustees	Shelter Care, Inc.
3. Member of Board of Trustees	Urban Vision, Inc. (Beginning Jan. 2016)
4. Trustee	☐ Irrevocable Gifting Trust FBO 1
5. Trustee	☐ Irrevocable Gifting Trust FBO 2
6. Trustee	☐ Irrevocable Gifting Trust FBO 3
7. Trustee	☐ Irrevocable Gifting Trust FBO 4
8. Trustee	☐ Irrevocable Gifting Trust FBO 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. 04/01/16	Ohio Public Employees Retirement System (participant in traditional service retirement plan)
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. 2016	Summit County, Ohio - Judicial salary (county portion 1-1-16 to 3-24-16)	\$1,552.68
2. 2016	State of Ohio - Judicial salary (state portion 1-1-16 to 3-24-16)	\$17,554.47
3. 2016	Ohio Public Employees Retirement System (retirement benefit)	\$10,692.90
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. 2016	Christ Community Chapel - spouse's salary
2. 2016	Summit Christian School - spouse's salary
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.	William D. Ford Federal Direct Student Loan Program	Student Loan (co-signer)	K
2.	UBS	Line of Credit	J
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. Alger Spectra Fund, Cl Z	A	Distribution	K	T	Sold (part)	07/26/16	J	A	
2. "					Sold (part)	08/04/16	J	A	
3. American Century Heritage Investment Fund	B	Distribution	K	T					
4. AMG Yacktmad Fund Class SVC	B	Dividend	K	T	Sold (part)	02/11/16	J		
5. "					Sold (part)	02/11/16	J		
6. AQR Managed Futures Strategy Fund Cl 1	A	Dividend	K	T					
7. Blackrock High Yield Bond Fund 1	B	Dividend	K	T	Buy (add'l)	02/11/16	J		
8. Columbia Select Large Cap Growth Fund Cl. Z	D	Distribution	K	T					
9. Delaware Value Fund Institutional Cl 1	A	Dividend	K	T					
10. Double Line Total Return Fund Institutional	B	Dividend	K	T					
11. Dreyfus/Standish Global Fixed Income Fund Cl. 1	B	Dividend	K	T	Sold (part)	08/04/16	J	A	
12. "					Sold (part)	10/24/16	J	A	
13. Exxon Mobil Corp common stock	A	Dividend	J	T					
14. Gabelli Small Cap Growth fund Cl. 1	A	Dividend	K	T					
15. John Hancock Global Absolute Return Strategies Fund Cl. 1	B	Dividend	K	T	Sold (part)	07/25/16	J		
16. "					Sold (part)	11/28/16	J		
17. John Hancock 2 Strategic Income Opportunity Fund Cl. 1	A	Dividend	K	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	Q = Appraisal (See Column C2)	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. JP Morgan Mid Cap Value Fund Cl. S	B	Dividend	K	T					
19. Legg Mason Western Asset Macro Opportunities Fund Cl. I	A	Dividend	K	T	Buy (add'l)	02/11/16	J		
20. Loomis Sayles Bond Fund Class Institutional	B	Dividend	K	T	Sold (part)	06/30/16	J		
21. "					Sold (part)	10/24/16	J		
22. Mainstay Floating Rate I FBOID	A	Dividend	K	T					
23. Prudential Global Total Return Fund, Inc. Cl. Z	A	Dividend	K	T	Buy	09/26/16	K		
24. Mainstay Marketfield Fund Cl. I (X)					Sold	02/11/16	J		
25. Oakmark International Fund Cl. I	A	Dividend	K	T	Sold (part)	08/04/16	J		
26. "					Sold (part)	10/24/16	J	A	
27. "					Sold (part)	10/26/16	J	A	
28. Victory RS Select Growth Fund Cl. Y (fund re-named since last report)	A	Distribution	K	T					
29. Schwab 1000 Index Fund	A	Dividend	J	T					
30. Sun America Focused Dividend Strategy Fund Cl. W	A	Dividend	K	T					
31. Templeton Global Bond Advantage Fund	A	Distribution			Sold	09/23/16	K		
32. Virtus Emerging Markets Opportunities Fund Cl. I	A	Dividend	K	T					
33. UBS Bank	A	Interest	J	T					
34. Flexshares IBOXX 3 YR TIPS IDX ETF	A	Dividend			Sold	08/29/16	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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. Flexshares UPSTREAM NATURAL IDX ETF	A	Dividend			Sold	08/29/16	K		
36. Guggenheim Timber ETF					Sold	08/29/16	J	B	
37. ISHARES 1-3 YR TREAS. BOND ETF	A	Dividend			Sold	08/29/16	J	A	
38. ISHARES 3-7 YR. TREAS. BOND ETF	A	Dividend			Sold	08/29/16	J	A	
39. ISHARES CORE S&P MIDCAP ETF	A	Dividend			Sold	08/29/16	K	E	
40. ISHARES CORE S&P SMALL CAP ETF	A	Dividend			Sold	08/29/16	K	E	
41. ISHARES IBOXX HIGH YIELD BOND ETF	A	Dividend			Sold	08/29/16	K		
42. ISHARES IBOXX INVT GRADE BOND ETF	A	Dividend	J	T	Sold (part)	08/29/16	K	C	
43. ISHARES S&P 500 GROWTH ETF IV	A	Dividend			Sold	08/29/16	K	E	
44. ISHARES S&P VALUE ETF IV	A	Dividend			Sold	08/29/16	K	E	
45. POWERSHARES SENIOR LOAN ETF	A	Dividend			Sold	08/29/16	J		
46. SPDR BARCLAYS SHORT TERM CORP. ETF	A	Dividend			Sold	08/29/16	J		
47. SPDR DOW JONES INTER REAL ESTATE ETF	A	Dividend			Sold	08/29/16	J	B	
48. SPDR DOW JONES REIT ETF IV	A	Dividend			Sold	08/29/16	J	C	
49. Vanguard FTSE All World Ex US ETF	A	Dividend			Sold	08/29/16	L	B	
50. Vanguard Emerging Markets ETF	A	Dividend			Sold	08/29/16	K		
51. Vanguard FTSE All World Ex US Small Cap ETF	A	Dividend			Sold	08/29/16	J	A	

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52. Wisdomtree Emerging Markets Local ETF	A	Dividend			Sold	08/29/16	J		
53. ISHARES CORE US AGGRT BOND ETF IV: AGG	A	Dividend	L	T	Buy	08/29/16	L		
54. ISHARES CORE US TREASURY BOND ETF: GOVT	A	Dividend	K	T	Buy	08/29/16	K		
55. ISHARES MSCI ACWI ETF IV: ACWI	A	Dividend	L	T	Buy	08/29/16	L		
56. ISHARES MSCI EAFE SMALL CAP ETF: SCZ	A	Dividend	J	T	Buy	08/29/16	J		
57. SPDR DOW JONES GLOBAL REAL ESTATE ETF: RWO	A	Dividend	K	T	Buy	08/29/16	K		
58. SPDR MSCI ACWI EX-US ETF: CWI	A	Dividend	L	T	Buy	08/29/16	L		
59. SPDR S&P GLOBAL INFRASTRUCTURE ETF: GII	A	Dividend	K	T	Buy	08/29/16	K		
60. SPDR S&P GLOBAL NATURAL RESOURCS ETF: GNR	A	Dividend	K	T	Buy	08/29/16	K		
61. VANGUARD MID CAP ETF IV: VO	A	Dividend	J	T	Buy	08/29/16	J		
62. VANGUARD MORTGAGE BACKED SEC ETF: VMBS	A	Dividend	J	T	Buy	08/29/16	J		
63. VANGUARD RUSSELL 1000 GROWTH ETF IV: VONG	A	Dividend	J	T	Buy	08/29/16	J		
64. VANGUARD RUSSELL 1000 VALUE ETF IV: VONV	A	Dividend	J	T	Buy	08/29/16	J		
65. VANGUARD TOTAL STOCK MARKET ETF: VTI	A	Dividend	L	T	Buy	08/29/16	L		
66. Charles Schwab Bank	A	Int./Div.	J	T					
67. Schwab Gov't Money Market Fund	A	Dividend	J	T					
68. Blackrock College Advantage Aggr. 13-16 Age Based Fund A			K	T					

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69. Blackrock College Advantage Aggr. 17+ Age Based Fund A			J	T	Sold (part)	07/25/16	J		
70. PNC Bank Savings Account	A	Interest	J	T					
71. PNC Bank Savings Account	A	Interest	J	T					
72. Account Receivable - Committee to Re- Elect Judge Tom Parker - writeoff					Closed	12/17/16	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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

The Trustee positions I have listed in Part I are not otherwise reflected in any other part. The trusts were established by [REDACTED] prior to [REDACTED] death for the benefit of [REDACTED]. I received no income from my service as trustee and have no beneficial interest in trust assets. Thus, these trusts have no assets that are reportable in Part VII.

Regarding the account receivable from the Committee to Re-elect Judge Tom Parker, reflected in Part VII, Line 72, this was the balance due from my state court judicial election campaign account. The remaining balance was written off and the campaign account was closed in December 2016, during the reporting period.

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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/ **Thomas M. Parker**

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