

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) Rose, Thomas M.	2. Court or Organization U.S. District Ct., S.D. Ohio	3. Date of Report 05/6/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (senior status)	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 200 West Second Street 9th Floor, Federal Building Dayton, OH 45402		
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.	Partner	Rose and Buerger Farms LLP
2.		
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.	1976	Public Employees Retirement System, no control, retirement
2.	2005	Northwestern Mutual Individual retirement account - self directed (rolled from Ohio Deferred Comp Fund)
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. 2018	Ohio Public Employee Retirement System (Retirement)	\$91,555.44
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	Ohio Public Employee Retirement System (Retirement) Co., OH/State of Ohio- Greene County Clerk of Courts/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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE CODE
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. Franklin Co Hosp Rev Bond 11/1/23 (3531867K9)	A	Dividend	J	T					
2. Chillicothe Ohio School Bonds (169196JZ6)	A	Dividend	J	T					
3. Akron OH G.O. Bond 12/1/30 (010033P51)	A	Dividend	J	T					
4. American Muni Power (02765UKH6) Rev Bond	A	Dividend	K	T					
5. Ross County, OH Hosp Fac Rev. Bonds (Adena)(778260EY1) (12-1/28)	A	Interest			Redeemed	12/03/18	K	A	
6. Cincinnati, OH Economic Dev Bonds (172254HX5)	A	Dividend	J	T					
7. Cincinnati, OH Urban Redev Bonds (172309BA3)	A	Dividend	K	T					
8. Coventry Ohio Local School District Bonds (222867DD2)	A	Dividend	J	T					
9. Alerian MLP ETF	A	Interest	J	T					
10. Deerfield Twp Ohio Tax Bonds (244570DC8)	A	Dividend	J	T					
11. Johnson-Monroe Local School Dist (479545CQ6)	A	Dividend	J	T					
12. Ohio University General Receipts Bonds (671104A40)	A	Dividend	J	T					
13. Warrenville Heights Bonds (936113AU3)	A	Dividend	K	T					
14. Key Bank	A	Dividend	J	T	Buy	11/07/18	J		
15. Columbus, OH G.O. Bonds (199492WY1)	A	Dividend	K	T	Buy	10/04/18	K		
16. Ohio St. High Ed Fac. Comm Bond (67756AR46)	A	Dividend	K	T					
17. Carnival Cruise Lines	A	Dividend	J	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	F = \$50,001 - \$100,000 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	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000 (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. Red Hat	A	Dividend	K	T	Sold (part)	04/03/18	J	C	
19. Boeing Co. Common Stock	A	Dividend	K	T	Sold (part)	01/29/18	K	E	
20. Thornburg Value Fund Class A Re/Re/Re 50586	A	Dividend	K	T	Buy	12/24/18	J		
21. Thornburg Invest. Income Class A 50590	B	Dividend	K	T	Buy	12/27/18	J		
22. Johnson and Johnson	A	Dividend	J	T	Buy	02/09/18	J		
23. Caterpillar	A	Dividend	K	T	Sold (part)	04/03/18	J	D	
24. Facebook Common Stock	A	Dividend	K	T	Sold (part)	01/29/18	K	D	
25.					Sold (part)	2/13/18	K	D	
26. Cisco	A	Dividend	K	T	Buy	11/02/18	J		
27. Weyerhaeuser stock	A	Dividend			Sold	12/24/18	J	A	
28. Timkin	A	Dividend	J	T					
29. Akamai	A	Dividend	K	T					
30. Wells Fargo	A	Dividend			Sold	06/28/18	J	A	
31. Dow Dupont, Inc. FKA Dow Chemical	A	Dividend	J	T					
32. Teva Pharmaceutical	A	Dividend			Buy	02/15/18	J		
33.	A	Dividend			Buy	06/28/18	J		
34.					Sold	12/24/18	K	A	

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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	
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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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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35. Campbell Soup	A	Dividend	J	T	Buy	10/31/18	J		
36. Nordstrom, Inc.	A	Dividend	J	T	Buy	02/28/18	J		
37.	A	Dividend	J	T	Buy	04/20/18	J		
38. TJX	A	Dividend	J	T					
39. Alcoa	A	Dividend	J	T					
40. Bank New York Mellon	A	Dividend	J	T	Buy	02/16/18	J		
41. Fidelity Advisor Mid Capp II Fund FLLMX	A	Dividend	J	T	Buy	01/03/18	J		
42. Fidelity Advisor New Insights Fund Class FINSX	A	Dividend	K	T	Buy	01/03/18	J		
43. New World Fund Class F-2 NFFFX	A	Dividend	K	T	Buy	01/03/18	J		
44. Deutsche (DWS) Echange Commodity Strategy Fund Inst. SKIRX	A	Dividend	K	T	Buy	01/03/18	J		
45. The Oakmark International Fund OAKIX	A	Dividend	K	T	Buy	01/03/18	J		
46. MFS Value Fund Class MEIIX	A	Dividend	K	T	Buy	01/03/18	J		
47. Dreyfus Ins. Deposit DIDI	A	Dividend	J	T					
48. T Rowe Price Real Estate TRREX	A	Dividend	J	T	Buy	01/03/18	J		
49. Northern Small Cap Value Fund NOSGX	A	Dividend	J	T	Buy	01/03/18	J		
50. Pimco Income Fund Class PONPX	B	Dividend	K	T	Buy	01/03/18	J		
51. Europacific Growth Fund (Am Imos) AEPFX	A	Dividend	K	T	Buy	01/03/18	J		

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52. Am. Century Diversified Bonds ADFIX	A	Dividend			Buy	01/03/18	J		
53.					Sold	07/16/18	K		
54. Goldman Sachs Int Sm Cap Investor Gicix	A	Dividend	J	T	Buy	07/16/18	J		
55. TIAA - CREF Bond Advisor TIBHX	A	Dividend	K	T	Buy	07/16/18	K		
56. Dodge & Cox Income Fund DODIX	A	Dividend	K	T	Buy	01/03/18	J		
57. Hartford World Bond Fund HWDIX	A	Dividend	K	T	Buy	01/03/18	J		
58. John Hancock Discp Fund JVMIX	A	Dividend	J	T	Buy	01/03/18	J		
59. The Oakmark Inter Small Cap Fund OAKEX	A	Dividend			Buy	01/03/18	J		
60.					Sold	07/16/18	J	A	
61. Finish Line FINL	A	Dividend			Sold	06/18/18	J	A	
62. Mahoning Co. Swr System (560072CE8)	A	Dividend	K	T					
63. County of Hamilton GO Bond (40727TCT9)	A	Dividend	K	T					
64. Franklin, Ohio Cty School Bond (354172HUS)	A	Dividend	K	T					
65. Ohio State Hosp Fac Rev Bond (67756IKP6)	A	Dividend	K	T					
66. Chillicothe Hosp Fac Bond (169203AJ5)	A	Dividend	J	T					
67. Lancaster, Ohio City School Bonds (514264DP2)	A	Dividend	J	T					
68. Berkshire Hathaway BRKB	A	Dividend	L	T	Buy	02/09/18	K		

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69.	A	Dividend	L	T	Buy	02/13/18	K		
70. India Fund Inc. (IFN)	A	Dividend			Buy	01/24/18	J		
71.	A	Dividend			Sold	12/24/18	K	A	
72. International Paper Inc (IP)	A	Dividend			Sold	12/24/18	J	A	
73. Little Miami Ohio Loc Sch Bonds (537292MN1)	A	Dividend	K	T	Buy	12/31/18	K		
74. International Business (IBM)	A	Dividend			Buy	01/24/18	K		
75.	A	Dividend			Buy	02/09/18	K		
76.	A	Dividend			Sold	10/31/18	K	D	
77. Carlyle Group LP (CG)	A	Dividend	J	T					
78. Ohio St Higher Education Fac Com 67756DHG4	A	Dividend	J	T					
79. Sweney Cartwright Stock Cash Account	C	Interest	M	T					
80. Rose and Buerger Farms LLP	A	Distribution	K	W					

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

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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. Rose**

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
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Washington, D.C. 20544