

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) Rose, Thomas M.	2. Court or Organization U.S. District Ct., S.D. Ohio	3. Date of Report 5/11/2015
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 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. 2014	Ohio Public Employee Retirement System (Retirement)	\$84,056.00
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. 2014	Greene 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.)*

	<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.	Old Fort Banking	Mortgage on Investment Property/Cedarville, OH	M
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. Napoleon Ohio SD GO Bonds 12/1/14	A	Dividend			Redeemed	12/01/14	J	A	
2. Wilmington Ohio Water Rev Bond 6/15/16	A	Dividend	J	T					
3. SCelina Ohio G.O. Bond 12/1/20	A	Interest			Redeemed	12/04/14	K	A	
4. SCenterville Ohio Hlth Ca (Bethany Lutheran) Vlg Proj 11/1/14	A	Interest			Redeemed	11/03/14	K	A	
5. SCenterville Ohio Hlth Ca (Bethany Lutheran) Vlg. Proj 11/17	B	Interest	K	T					
6. SClyde Green Springs School Dist. Obligation Bond 12/1/15	A	Dividend	K	T					
7. Field, OH Local Sch GO Bonds 12/1/18	A	Dividend	J	T					
8. Franklin Co Health Care Fac Bond (Ohio Presb) 7/1/26	A	Dividend	J	T					
9. SHamilton County Ohio Facs Rev Bonds Children's Hosp 5-13/14	B	Interest			Redeemed	05/15/14	K	A	
10. SMahoning County Ohio Gen Obligation Bonds 12/1/21	B	Interest	K	T					
11. Ohio St Water Dev. Bonds (First Eng) 7/1/33	A	Dividend	K	T					
12. Cleveland Ohio ARPT Sys Revenue 1/1/18	A	Interest	K	T					
13. Cleveland Ohio ARPT Sys Revenue 1/1/15	A	Interest	K	T					
14. Ohio State Wtr Dev Auth Bond 6/1/33	A	Interest	J	T					
15. Hamilton Cty, OH Swr Sys FAC Bonds 12/1/17 (X)	A	Interest	K	T					
16. Ross County, OH Hosp Fac Rev. Bonds (Adena) (12-1/28)	A	Interest	K	T					
17. Sprint Nextel Common Stock	A	Dividend			Sold	04/29/14	J	A	

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 = \$250,000.01 - \$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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18. Alerian MLP ETF	A	Interest	K	T					
19. Eaton	A	Dividend	K	T					
20. Corning	A	Dividend			Sold	04/29/14	K	D	
21. Ford	A	Dividend	J	T					
22.	A	Dividend			Buy (add'l)	03/05/14	J		
23. Conoco Phillips	A	Dividend	J	T					
24. Boeing Co. Common Stock	A	Dividend	K	T					
25.	A	Dividend	K	T	Buy	05/07/14	J		
26. GE Common Stock	A	Dividend	K	T					
27.	A	Dividend			Buy (add'l)	02/10/14	J		
28.	A	Dividend			Buy (add'l)	12/24/14	J		
29. Thornburg Value Fund Class A Re/Re/Re 50586	A	Dividend	K	T					
30. Thornburg Invest. Income Class A 50590	B	Dividend	K	T					
31. Sprint Nextel Corp	A	Dividend			Sold	04/29/14	J	A	
32. Ishares China Index	A	Dividend			Sold	09/26/14	K	A	
33. Johnson and Johnson	A	Dividend	K	T					
34. Caterpillar	A	Dividend	K	T					

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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. Facebook Common Stock	A	Dividend	K	T					
36.	A	Dividend			Buy (add'l)	04/01/14	J		
37.	A	Dividend			Buy (add'l)	04/09/14	J		
38.	A	Dividend			Buy (add'l)	06/11/14	J		
39. Weyerhaeuser stock	A	Dividend	K	T					
40. Timkin	A	Dividend	J	T					
41. Akamai	A	Dividend	J	T					
42. Applied Material	A	Dividend	J	T					
43. Pioneer	A	Dividend			Sold	10/01/14	J	B	
44. Johnson Control	A	Dividend	K	T					
45.	A	Dividend			Buy (add'l)	05/02/14	J		
46.	A	Dividend			Buy (add'l)	05/23/14	J		
47. Dresser Ran	A	Dividend	J	T					
48. Joy Global	A	Dividend			Buy (add'l)	03/15/14	J		
49.	A	Dividend			Sold	10/01/14	J	A	
50.	A	Dividend			Sold	10/01/14	K	A	
51. Sandridge Common Stock	A	Dividend			Sold	12/22/14	J	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	
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52. Bank of America Common	A	Dividend			Sold	07/30/14	J	A	
53. Nokia	A	Dividend			Buy	02/28/14	J		
54.					Sold	12/12/14	J	A	
55. JC Penney	A	Dividend	J	T	Buy	08/25/14	J		
56. Direct TV	A	Dividend	K	T	Buy	12/23/14	K		
57. Dow Chemical	A	Dividend	J	T	Buy	10/31/14	J		
58. Honeywell	A	Dividend	J	T	Buy	10/31/14	J		
59. TJX	A	Dividend	J	T	Buy	02/13/14	J		
60. Walt Disney	A	Dividend	J	T	Buy	11/26/14	J		
61. Columbia Acorn International Fund	A	Dividend	J	T					
62. Fidelity Advisor Mid Capp II Fund	A	Dividend	J	T					
63. Fidelity Advisor New Insights Fund Class	A	Dividend	K	T					
64. Harbor Bond Fund Institutional Class	A	Dividend			Sold	09/22/14	K	A	
65. Harbor Real Return Fund Institutional	A	Dividend			Sold	09/22/14	J	A	
66. The Oakmark International Fund	A	Dividend	J	T					
67. Perkins Mid Cap Value Fund	A	Dividend			Sold	09/12/14	J	A	
68. MFS Value Fund Class	A	Dividend	K	T					

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69. MFS International Growth Fund Class W	A	Dividend			Sold	09/22/14	J	A	
70. T Rowe Price Emerging Markets	A	Dividend	J	T					
71. T Rowe Price Real Estate	A	Dividend	J	T					
72. Scout International Fund	A	Dividend			Sold	09/22/14	J	A	
73. Templeton Global Bond Fund Class A	A	Dividend	J	T					
74. Northern Small Cap Value Fund	A	Dividend	J	T					
75. Pimco Income Fund Class	A	Dividend	K	T					
76. Europacific Growth Fund	A	Dividend	J	T	Buy	09/22/14	J		
77. Am. Century Diversified Bonds	A	Dividend	J	T	Buy	09/22/14	J		
78. Dodge & Cox Income Fund	A	Dividend	K	T	Buy	09/22/14	K		
79. Hartford World Bond Fund	A	Dividend	J	T	Buy	09/22/14	J		
80. Int Growth & Income Fund	A	Dividend	J	T	Buy	09/22/14	J		
81. Pimco Commod. Plus Fund	A	Dividend	J	T	Buy	09/22/14	J		
82. Principal High Yield	A	Dividend	J	T	Buy	05/06/14	J		
83. John Hancock Discp Fund	A	Dividend	J	T	Buy	05/06/14	J		
84. Metropolitan West Total Return Fund	A	Dividend	J	T	Buy	10/17/14	J		
85. Sweney Cartwright Stock Cash Account	C	Interest	M	T					

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86. Rose and Buerger Farms, LLP (fka KSJ Stables LLP)	A	Distribution	L	W					
87. 3711 St. Rt. 72. Greene County, Ohio	E	Rent	N	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
One Columbus Circle, N.E.
Washington, D.C. 20544