

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                                                  |                                                                                                                                                                                                                                                                                                     |                                                                  |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Rose, Thomas M.                                                                                                                                             | <b>2. Court or Organization</b><br><br>U.S. District Ct., S.D. Ohio                                                                                                                                                                                                                                 | <b>3. Date of Report</b><br><br>06/20/2012                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>U.S. District Judge (active)                                                                         | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input checked="" type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2011<br>to<br>12/31/2011 |
| <b>7. Chambers or Office Address</b><br><br>200 West Second Street<br>9th Floor, Federal Building<br>Dayton, OH 45402                                                                                                            |                                                                                                                                                                                                                                                                                                     |                                                                  |
| <p><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the <b>NONE</b> box for each part where you have no reportable information. Insert signature on last page.</p> |                                                                                                                                                                                                                                                                                                     |                                                                  |

## 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         | Wiggins & Rose Stables L.L.P.      |
| 2. | Partner         | KSJ Stables Llp                    |
| 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><br>(yours, not spouse's) |
|-------------|-----------------------------------------------------|----------------------------------------|
| 1. 2011     | Ohio Public Employee Retirement System (Retirement) | \$78,432.00                            |
| 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.          |                        |
| 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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Amcap Fund Inc. Class A Am Funds                                                                                         | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. Small Cap World Fund Class A Am Funds                                                                                    | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. Aim Mutual Fund Inc. Class A Am Funds                                                                                    | C                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 4. Capital World Bond Fund Class A Funds                                                                                    | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. Euro Pacific Growth B Fd. Class A Am Funds                                                                               | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 6. Archer - Daniels - Midland Co.                                                                                           | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/03/11                | K                               | D                              |                                                                   |
| 7. Babcock Wilcox                                                                                                           | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/03/11                | J                               | A                              |                                                                   |
| 8. Bank of Am Coop Pref                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 9. Berkshire                                                                                                                | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/03/11                | J                               | A                              |                                                                   |
| 10. BP P L C ADR Spon                                                                                                       | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 04/04/11                | J                               | B                              |                                                                   |
| 11. Central Fund of Canada LTD CL                                                                                           | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 09/29/11                | K                               |                                |                                                                   |
| 12. Cheseapeake Corp                                                                                                        | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/13/11                | J                               | B                              |                                                                   |
| 13.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 03/16/11                | J                               |                                |                                                                   |
| 14.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 08/13/11                | J                               | A                              |                                                                   |
| 15. Cisco System Inc.                                                                                                       | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/03/11                | J                               | A                              |                                                                   |
| 16. Citigroup Cap Trust                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 17. Claymore Exchange/ Zacks YLD nka<br>Guggenheim Mult                                                                     | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/03/11                | J                               | A                              |                                                                   |

|                                                  |                                                                                       |                                                        |                                                              |                                                              |                                                     |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|--------------------------------------------------------------|--------------------------------------------------------------|-----------------------------------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H = \$1,000,001 - \$5,000,000       | D = \$5,001 - \$15,000<br>I = More than \$5,000,000          | E = \$15,001 - \$50,000<br>J = \$50,001 - \$100,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                                                     |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                              | T = Cash Market                                              |                                                     |

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☐ NONE (No reportable income, assets, or transactions.)

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code I<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. Comm Vault Sys                                                                                                          | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/03/11                | J                               | B                              |                                                                   |
| 19. Exelon Corp                                                                                                             | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/05/11                | J                               | A                              |                                                                   |
| 20. Fomento Economico Mexicano                                                                                              | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 03/07/11                | K                               | D                              |                                                                   |
| 21. Huntington Bancshares                                                                                                   | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/03/11                | J                               | A                              |                                                                   |
| 22. Ishares Tr DJ Sel Div Indx                                                                                              | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/03/11                | J                               | A                              |                                                                   |
| 23. Ishares Tr Ftse Znhua IDX (Y)                                                                                           |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 24. Ishares TR S&P Global 100 (Y)                                                                                           |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 25. J.P. Morgan Chase                                                                                                       | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 26. McDermott                                                                                                               | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/03/11                | J                               | A                              |                                                                   |
| 27. Microsoft Corp                                                                                                          | A                                       | Interest                                      |                                                 |                                           | Sold                                            | 08/03/11                | J                               | A                              |                                                                   |
| 28. Napoleon Ohio SD GO Bonds 12/1/14                                                                                       | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 29. Nat City Cap                                                                                                            | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 30. PNC                                                                                                                     | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 03/11/11                | J                               | B                              |                                                                   |
| 31. Newell Rubbermaid Inc                                                                                                   | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/03/11                | J                               | A                              |                                                                   |
| 32. Northridge Ohio SD (Mont Co) GO Bonds 12/1/16                                                                           | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 33. Oracle                                                                                                                  | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/03/11                | J                               | A                              |                                                                   |
| 34. SPDR Index SHS FDS Mideast Africa                                                                                       | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 03/07/11                | J                               | A                              |                                                                   |

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

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|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35. Springfield Ohio SD (Y)                                                                                                 |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 36. Wilmington Ohio Water Rev Bond                                                                                          | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 37. Wisdomtree Trust Emg Mkts                                                                                               | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 03/07/11                | J                               | A                              |                                                                   |
| 38. \$American Muni Power Ohio Inc Revenue<br>Bond 2/1/12                                                                   | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 39. @\$Buckeye Ohio TOB Settlem BE Fing<br>Auth Asset 6/1/12                                                                | B                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 40. \$Celina Ohio G.O. Bond 12/1/20                                                                                         | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 41. \$Centerville Ohio Hlth Ca (Bethany<br>Luthern) Vlg Proj 11/1/14                                                        | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 42. \$Centerville Ohio Hlth Ca (Bethany<br>Luthern) Vlg. Proj 11/17                                                         | B                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 43. \$Clyde Green Springs School Dist.<br>Obligation Bond 12/1/15                                                           | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 44. \$Cuyahoga Cnty Ohio Hosp Revenue Bonds                                                                                 | A                                       | Interest                                      |                                                 |                                           | Redeemed                                        | 11/22/11                | J                               |                                |                                                                   |
| 45. Fairfield Co. Hospital (Y)                                                                                              |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 46. Field, OH Local Sch GO Bonds 12/1/18(X)                                                                                 | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 47. Franklin Co Health Care Fac Bond (Ohio<br>Presb) 7/1/26                                                                 | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 48. \$Franklin County Ohio Hea Care Facs (Y)                                                                                |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 49. \$Franklin Ohio Pub Imps General<br>Obligation Bonds 12/1/11                                                            | A                                       | Interest                                      |                                                 |                                           | Redeemed                                        | 12/01/11                | J                               |                                |                                                                   |
| 50. Franklin City (Warren Co) OhioVAR (Y)                                                                                   |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 51. General Electric                                                                                                        | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/03/11                | J                               | A                              |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52. \$Hamilton Cnty Ohio Hlth Care Fac Bonds 1/1/13                                                                         | B                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 53. \$Hamilton County Ohio Facs Rev Bonds Children's Hosp 5-13/14                                                           | B                                       | Interest                                      | K                                               | T                                         | Redeemed (part)                                 | 05/16/11                | J                               |                                |                                                                   |
| 54. \$Huber Hts (Montgomery Co) 12/1/10 (Y)                                                                                 |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 55. \$Independence Ohio LSD 12/1/16                                                                                         | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 56. Juniper Networks                                                                                                        | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/03/11                | J                               | A                              |                                                                   |
| 57. \$Lorain County Ohio Hosp Ref & Impt Rev Bonds Catholic Hlthr                                                           | A                                       | Interest                                      |                                                 |                                           | Redeemed                                        | 10/03/11                | K                               |                                |                                                                   |
| 58. \$Mahoning County Ohio Gen Obligation Bonds 12/1/21                                                                     | B                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 59. \$Mansfield (Richland Cnty) Genl Oblig Bonds 12/1/13                                                                    | B                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 60. Mahoning Co. Ohio Fac Bonds (Y)                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 61. \$Ohio St Bldg Auth Revenu Bonds 10/1/10 (Y)                                                                            |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 62. \$Ohio St Higher Edl Fac (Ohio Christian Univ Proj) 11/27(Y)                                                            |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 63. Ohio St Water Dev. Bonds (First Eng) 7/1/33                                                                             | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 64. Thornburg Value Fund - A Exchange in                                                                                    | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/02/11                | L                               | E                              |                                                                   |
| 65. Sweney Cartwright Stock Cash Account                                                                                    | B                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 66. Wiggins & Rose Stables L.L.P.                                                                                           |                                         | None                                          | J                                               | W                                         |                                                 |                         |                                 |                                |                                                                   |
| 67. KSJ Stables LLP                                                                                                         | D                                       | Distribution                                  | J                                               | W                                         |                                                 |                         |                                 |                                |                                                                   |
| 68. Alerian MLP ETF                                                                                                         | A                                       | Interest                                      | K                                               | T                                         | Buy                                             | 03/07/11                | K                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 69. Alcoa                                                                                                                   | A                                       | Dividend                                      |                                                 |                                           | Buy                                             | 03/16/11                | J                               |                                |                                                                   |
| 70.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 08/03/11                | J                               | A                              |                                                                   |
| 71. Conoco Phillips                                                                                                         | A                                       | Dividend                                      |                                                 |                                           | Buy                                             | 04/04/11                | J                               |                                |                                                                   |
| 72.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 08/03/11                | J                               | A                              |                                                                   |
| 73. Thornburg LTD                                                                                                           | B                                       | Interest                                      | L                                               | T                                         | Buy                                             | 08/02/11                | L                               |                                |                                                                   |
| 74. Duke Energy                                                                                                             | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 09/02/11                | K                               |                                |                                                                   |
| 75. Johnson Control                                                                                                         | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 09/22/11                | J                               |                                |                                                                   |
| 76.                                                                                                                         | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 10/06/11                | J                               |                                |                                                                   |
| 77. Dupont                                                                                                                  | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 09/22/11                | J                               |                                |                                                                   |
| 78.                                                                                                                         | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 09/27/11                | J                               |                                |                                                                   |
| 79. Caterpillar                                                                                                             | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 10/28/11                | K                               |                                |                                                                   |
| 80.                                                                                                                         | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 12/19/11                | K                               |                                |                                                                   |
| 81. Eaton                                                                                                                   | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 10/28/11                | J                               |                                |                                                                   |
| 82. Corning                                                                                                                 | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 11/01/11                | K                               |                                |                                                                   |
| 83. Ford                                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 11/04/11                | J                               |                                |                                                                   |
| 84. Microsoft                                                                                                               | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 11/07/11                | J                               |                                |                                                                   |
| 85. Conoco Phillips                                                                                                         | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 10/31/11                | J                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

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Name of Person Reporting

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                    |   |          |   |   |     |          |   |  |  |
|----------------------------------------------------|---|----------|---|---|-----|----------|---|--|--|
| 86. Cleveland Ohio ARPT Sys Revenue 1/1/18         | A | Interest | K | T | Buy | 10/05/11 | K |  |  |
| 87. Cleveland Ohio ARPT Sys Revenue 1/1/15         | A | Interest | K | T | Buy | 11/29/11 | K |  |  |
| 88. Ohio State Wtr Dev Auth Bond 6/1/33            | A | Interest | J | T | Buy | 10/5/11  | J |  |  |
| 89. Hamilton Cty, OH Swr Sys FAC Bonds 12/1/17 (X) | A | Interest | K | T |     |          |   |  |  |

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

**FINANCIAL DISCLOSURE REPORT**

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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  
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One Columbus Circle, N.E.  
Washington, D.C. 20544