AO 10
Rev. 1/2013

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2012

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

1. Person Reporting (last name, first, middle initial)	2. Court or Organization	3. Date of Report
Rose, Thomas M.	U.S. District Ct., S.D. Ohio	5/9/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	5a. Report Type (check appropriate type)	6. Reporting Period
U.S. District Judge (active)	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final 5b. ☐ Amended Report	01/01/2012 to 12/31/2012

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.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Partner	KSJ Stables LLP
2.		
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see pp. 14-16 of filing instructions.)*

☐ NONE *(No reportable agreements.)*

DATE	PARTIES AND TERMS
1. 1976	Public Employees Retirement System, no control, retirement
2. 2005	Northwestern Mutual Individual retirement account - self directed (rolled from Ohio Deferred Comp Fund)
3.	

Name of Person Reporting	Date of Report
Rose, Thomas M.	5/9/2013

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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2012	Ohio Public Employee Retirement System (Retirement)	$80,306.64
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.)*

DATE	SOURCE AND TYPE
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT Page 3 of 11	Name of Person Reporting Rose, Thomas M.	Date of Report 5/9/2013

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.			

Name of Person Reporting	Date of Report
Rose, Thomas M.	5/9/2013

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)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. Amcap Fund Inc. Class A Am Funds	A	Dividend			Sold	01/03/12	K	A	
2. Small Cap World Fund Class A Am Funds	A	Dividend			Sold	01/06/12	K	A	
3. Aim Mutual Fund Inc. Class A Am Funds	C	Dividend			Sold	01/03/12	L	A	
4. Capital World Bond Fund Class A Funds	A	Dividend			Sold	01/03/12	L	A	
5. Euro Pacific Growth B Fd. Class A Am Funds	A	Dividend			Sold	01/06/12	K	A	
6. Bank of Am Coop Preferred Stock	A	Dividend	J	T					
7. Citigroup Cap Trust Preferred Stock	A	Dividend			Sold	7/18/12	J	A	
8. J.P. Morgan Chase Preferred Stock	A	Dividend			Sold	7/12/12	J	A	
9. Napoleon Ohio SD GO Bonds 12/1/14	A	Dividend	K	T					
10. Nat City Cap Preferred Stock	A	Dividend	J	T					
11. Northridge Ohio SD (Mont Co) GO Bonds 12/1/16	A	Dividend	J	T					
12. Sprint Nextel Common Stock	A	Dividend	J	T					
13. Wilmington Ohio Water Rev Bond 6/15/16	A	Dividend	J	T					
14. $American Muni Power Ohio Inc Revenue Bond 2/1/12	A	Interest			Redeemed	02/01/12	K	A	
15. @$Buckeye Ohio TOB Settlem BE Fing Auth Asset 6/1/12	B	Interest			Redeemed	06/01/12	K	A	
16. $Celina Ohio G.O. Bond 12/1/20	A	Interest	K	T					
17. $Centerville Ohio Hlth Ca (Bethany Luthern) Vlg Proj 11/1/14	A	Interest	K	T					

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

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Rose, Thomas M.	5/9/2013

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)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	Place "(X)" after each asset exempt from prior disclosure	(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.	$Centerville Ohio Hlth Ca (Bethany Lutheran) Vlg. Proj 11/17	B	Interest	K	T					
19.	$Clyde Green Springs School Dist. Obligation Bond 12/1/15	A	Dividend	K	T					
20.	Field, OH Local Sch GO Bonds 12/1/18	A	Dividend	J	T					
21.	Franklin Co Health Care Fac Bond (Ohio Presb) 7/1/26	A	Dividend	J	T					
22.	$Hamilton Cnty Ohio Hlth Care Fac Bonds 1/1/13	B	Interest	K	T					
23.	$Hamilton County Ohio Facs Rev Bonds Children's Hosp 5-13/14	B	Interest	K	T					
24.	$Independence Ohio LSD 12/1/16	A	Interest	K	T					
25.	$Mahoning County Ohio Gen Obligation Bonds12/1/21	B	Interest	K	T					
26.	#$Mansfield (Richland Cnty) Genl Oblig Bonds12/1/13	B	Interest	K	T					
27.	Ohio St Water Dev. Bonds (First Eng) 7/1/33	A	Dividend	K	T					
28.	Sweney Cartwright Stock Cash Account	B	Interest	J	T					
29.	Wiggins & Rose Stables L.L.P.		None			Closed	1/1/12	J		
30.	KSJ Stables LLP	D	Distribution	K	W					
31.	Alerian MLP ETF	A	Interest	K	T					
32.	Thornburg LTD	B	Interest			Sold	04/20/12	L	A	
33.	Duke Energy	A	Dividend			Sold	11/15/12	K	A	
34.	Johnson Control	A	Dividend			Sold	01/19/12	J	B	

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2. Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
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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 (1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35.	A	Dividend			Sold	03/15/12	J	B	
36. Dupont	A	Dividend			Sold	10/16/12	J	A	
37.	A	Dividend			Sold	10/16/12	J	A	
38. Caterpillar	A	Dividend			Sold	03/06/12	K	B	
39. Eaton	A	Dividend	K	T	Buy	3/14/12	K		
40. Coming	A	Dividend	J	T					
41. Ford	A	Dividend	J	T					
42. Microsoft	A	Dividend	J	T					
43. Conoco Phillips	A	Dividend	J	T					
44. Cleveland Ohio ARPT Sys Revenue 1/1/18	A	Interest	K	T					
45. Cleveland Ohio ARPT Sys Revenue 1/1/15	A	Interest	K	T					
46. Ohio State Wtr Dev Auth Bond 6/1/33	A	Interest	J	T					
47. Hamililon Cty, OH Swr Sys FAC Bonds 12/1/17 (X)	A	Interest	K	T					
48. Ross County, OH Hosp Fac Rev. Bonds (Adena)	A	Interest	K	T	Buy	01/26/12	K		
49. Cisco Systems Common Stock	A	Dividend			Buy	02/10/12	K		
50.	A	Dividend			Sold	07/18/12	K	A	
51. Abbott Lab Common Stock	A	Dividend			Buy	02/17/12	K		

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2. Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
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52.	A	Dividend			Sold	07/23/12	K	B	
53. Boeing Co. Common Stock	A	Dividend	K	T	Buy	02/17/12	K		
54. Boeing Co. Common Stock	A	Dividend	K	T	Buy	4/12/12	J		
55. Eaton Corp. Common Stock	A	Dividend	K	T	Buy	03/14/12	K		
56. GE Common Stock	A	Dividend	K	T	Buy	03/26/12	K		
57. Weyhaeuser Co. Common Stock	A	Dividend			Buy	04/05/12	K		
58.	A				Sold	07/18/12	K	B	
59. Berkshire B Common Stock	A	Dividend	K	T	Buy	04/19/12	K		
60. Sun Trust Common Stock	A	Dividend	J	T	Buy	04/10/12	J		
61. Thornburg Value Fund Class A Re/Re/Re [redacted]	A	Dividend	K	T	Buy	04/20/12	K		
62. Thornburg Invest. Income Class A [redacted]	B	Dividend	K	T	Buy	04/20/12	K		
63. U.S. Bank Common Stock	A	Dividend			Buy	3/30/12	J		
64.	A	Dividend			Sold	12/31/12	J	A	
65. Phillips 66 Common Stock	A	Dividend			Buy	05/13/12	J		
66.	A	Dividend			Sold	10/9/12	J	B	
67. Sprint Nextel Corp	A	Dividend	J	T	Buy	8/17/12	J		
68. Ishares China Index	A	Dividend	J	T	Buy	10/22/12	J		

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	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
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69. Ishares China Index	A	Dividend	J	T	Buy	12/19/12	J		
70. Johnson and Johnson	A	Dividend	J	T	Buy	12/19/12	J		
71. Caterpillar	A	Dividend	K	T	Buy	12/13/12	K		
72. Columbia Acom International Fund	A	Dividend	J	T	Buy	1/4/12	J		
73. Credit Suisse Commodity Return	A	Dividend	J	T	Buy	1/4/12	J		
74. Fidelity Advisor Mid Capp II Fund	A	Dividend	J	T	Buy	1/4/12	J		
75. Fidelity Advisor New Insights Fund Class	A	Dividend	K	T	Buy	1/4/12	K		
76. Franklin High Income Fund Class A	A	Dividend	J	T	Buy	1/4/12	J		
77. Harbor Bond Fund Institutional Class	A	Dividend	K	T	Buy	1/4/12	K		
78. Harbor Real Return Fund Institutional	A	Dividend	J	T	Buy	1/4/12	J		
79. The Oakmark International Fund	A	Dividend	J	T	Buy	1/4/12	J		
80. Perkins Mid Cap Value Fund	A	Dividend	J	T	Buy	1/4/12	J		
81. MFS Value Fund Class W	A	Dividend	K	T	Buy	1/4/12	K		
82. MFS International Growth Fund Class W	A	Dividend	J	T	Buy	1/4/12	J		
83. T Rowe Price Emerging Markets	A	Dividend	J	T	Buy	1/4/12	J		
84. T Rowe Price Real Estate	A	Dividend	J	T	Buy	1/4/12	J		
85. Scout International Fund	A	Dividend	J	T	Buy	1/4/12	J		

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86. Templeton Global Bond Fund Class A	A	Dividend	J	T	Buy	1/14/12	J		
87. Northern Small Cap Value Fund	A	Dividend	J	T	Buy	1/14/12	J		
88. Pimco Income Fund Class A	A	Dividend	J	T	Buy	1/14/12	J		
89.									
90.									
91.									
92.									

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

Name of Person Reporting	Date of Report
Rose, Thomas M.	5/9/2013

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