



United States District Court

Southern District of Ohio
200 West Second Street
Room 910
Dayton, Ohio 45402

Chambers of
Thomas M. Rose
District Judge

(937) 512-1600
[REDACTED]

July 9, 2008

Ortrie D. Smith
Judicial Conference of
The United States Committee
on Financial Disclosure
One Columbus Circle, N.E.
Washington D.C. 20544

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FINANCIAL
DISCLOSURE OFFICE

Re: Judge Thomas M. Rose Calendar Year 2007
Financial Disclosure Report
Your Letter of June 23, 2008

Dear Mr. Smith:

This letter is in response to your June 23, 2008 letter requesting additional information to complete my 2007 Annual Financial Disclosure Report.

In Part VII, page 5, lines 25 and 26, "SPDR Index SHS FDS Mideast Africa" and "Widsomtree Trust Emg Mkts" were purchased during 2007. "SPDR Index SHS FDS Mideast Africa" was purchased 10/24/07, by me, for a value less than \$15,000 (J). "Wisdomtree" was purchased 11/06/07, by me, for a value less than \$15,000 (J).

In Part VII, page 4, lines 1, 2, 4 and 5, I did list various specific mutual funds. These mutual funds are contained in my self directed retirement account with Northwestern Mutual Ins. The name of said fund family are as follows:

1. American Funds - Amcap Funds Inc. Class A
2. American Funds - Small Cap World Funds Inc. Class A
4. American Funds - Bond Fund of Am. Inc. Class A
5. American Funds - Euro Pacific Growth Ind. Class A

In Part VII, page 6, line 48, the appropriate value method code (Q-W) for \$Ohio St. Bldg.

Auth. Revenue Bonds is T.

Hopefully, this information will be sufficient to finalize and close my 2007 report. If not, please do not hesitate to contact me.



**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2007**

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

1. Person Reporting (last name, first, middle initial) Rose, Thomas M	2. Court or Organization U.S. District Ct., S.D. Ohio	3. Date of Report 05/08/2008
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) <input type="checkbox"/> Nomination, Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final 5b. <input type="checkbox"/> Amended Report	6. Reporting Period 01/01/2007 to 12/31/2007
7. Chambers or Office Address 200 West Second Street 9th Floor, Federal Building Dayton, OH 45402	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	

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. Sign on last page.*

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	Rose Stables (terminated)
3.	Partner	KSJ Stables Llp
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> <i>(yours, not spouse's)</i>
1. 2007	Ohio Public Employee Retirement System (Retirement)	\$ 70,932
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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Name of Person Reporting

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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.	Huntington Bank fka Sky Bank	Mortgage on rental property #1 - Xenia, Ohio	K
2.			
3.			
4.			
5.			

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Name of Person Reporting Rose, Thomas M	Date of Report 05/08/2008
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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 Month - Day	(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	A	Dividend	K	T					
2. --Small Cap World Fund Inc. Class A	A	Dividend	K	T					
3. --Aim Mutual Fund Inc. Class A	C	Dividend	K	T					
4. --Bond Fund of Am Inc. Class A	B	Dividend	L	T					
5. --Euro Pacific Growth B Fd. Class A	A	Dividend	K	T					
6. Archer - Daniels - Midland Co.	A	Dividend	L	T					
7. BP P L C ADR Sponsored	A	Dividend	K	T					
8. IPATH MSCI India Index ETN	A	Dividend	K	T	Buy	2/28	K		TR *
9. Central Fund of Canada LTD CL	A	Dividend	J	T	Buy	10/19	J		TR *
10. Claymore Exchange Traded FD Zacks YLD Hog	A	Dividend	J	T	Buy	9/28	J		TR *
11. Diamonds Tr Unit	A	Dividend	J	T	Buy	9/25	J		TR *
12. Fomento Economico Mexicano	A	Dividend	J	T	Buy	9/25	J		TR *
13. Huntington Bancshares	B	Dividend	K	T					
14. Ishares Comex Gold Tr Ishares	A	Dividend	J	T	Buy	9/27	J		TR *
15. Ishares Tr DJ Sel Div Indx	A	Dividend	J	T	Buy	10/19	J		TR *
16. Ishares Tr Ftse Znhua IDX	A	Dividend	K	T	Buy	2/28	K		TR *
17. Ishares TR S&P Global 100	A	Dividend	J	T	Buy	9/27	J		TR *

*TR - - Thomas M. Rose

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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Name of Person Reporting

Rose, Thomas M

Date of Report

05/08/2008

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18. Microsoft Corp	A	Dividend	J	T	Buy	10/19	J		TR *
19. National City Corp	B	Dividend	K	T	Part Sell	12/20	K	A	TR *
20. Newell Rubbermaid Inc	A	Dividend	J	T					
21. Nuveen Ohio Qual Incm Mun	A	Dividend	J	T					
22. Persinger Supply Co	A	Dividend			Sell	6/25	J	A	TR *
23. Salt Creek Valley Bank	B	Dividend			Sell	8/20	N	G	TR *
24. Salt Creek Valley Bank	A	Dividend			Sell	8/20	K	D	TR *
25. SPDR Index SHS FDS Mideast Africa	A	Dividend	J	T					
26. Wisdomtree Trust Emg Mkts	A	Dividend	J	T					
27. \$American Muni Power Oh	B	Interest	K	T	Buy	7/31	K		TR *
28. \$Broadview Hts. G O SA LT	A	Interest	K	T					
29. \$Canton Ohio Limited Tax	A	Interest	J	T					
30. \$Celina Ohio	A	Interest	K	T					
31. \$Centerville Ohio Hlth Ca Bethany Luthern Vlg Proj	A	Interest	K	T	Buy	10/2	K		TR *
32. \$Centerville Ohio Hlth Ca Bethany Lutheran Vlg. Proj	B	Interest	K	T	Buy	8/21	K		TR *
33. Columbus (Franklin Co) Ohio Gen Oblig Bds	B	Interest	K	T					
34. \$Cuyahoga Cnty Ohio Hosp Ref & Impt Revenue Bonds	A	Interest	J	T					

*TR - Thomas M. Rose

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	
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	(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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

35. \$Franklin County Ohio Hea Care Facs	A	Interest	K	T	Buy	11/7	K		TR *
36. \$Franklin Ohio Pub Imps General Obligation Bonds	A	Interest	J	T					
37. Franklin City (Warren Co) Ohio	A	Interest	K	T					
38. \$Hamilton Cnty Ohio Hlth	B	Interest	K	T					
39. \$Hamilton Cnty Ohio Hosp (Childrens Hosp)	A	Interest	K	T					
40. \$Hamilton County Ohio Facs Rev Bond	B	Interest	K	T					
41. \$Huber Hts (Montgomery Co)	B	Interest	K	T					
42. \$Independence Ohio GO	A	Interest	K	T					
43. \$Lorain County Ohio Hosp Ref & Impt Rev Bonds Catholic Hlter	A	Interest	K	T	Buy	12/13	K		TR *
44. \$Mahoning County Ohio Gen Obligation Bonds	B	Interest	K	T	Buy	11/23	K		TR *
45. #Mansfield (Richland Cnty Genl Oblig Bonds	B	Interest	K	T					
46. Medina County Ohio Hosp Gen Hosp	A	Interest	K	T					
47. Miamisburg (Montgomery County G O Ltd Bond	A	Interest	J	T					
48. \$Ohio St Bldg Auth Revenu Bonds	A	Interest	K						
49. \$Ohio St Higher Edl Fac (Ohio Christian Univ Proj)	B	Interest	K	T	Buy	8/21	K		TR *
50. \$Ohio St Pub Facs Commn Higher Ed Cap Revenue Bonds	B	Interest	K	T					
51. Olentangy Local Sch Dist	B	Interest			Redemption	12/3	K	A	

*TR - Thomas M. Rose

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$5,000,000 S = Assessment W = Estimated	T = Cash Market	

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Name of Person Reporting Rose, Thomas M	Date of Report 05/08/2008
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52. Southern LSD (Meigs Co)	A	Interest			Redemption	12/3	K	A	
53. Toledo, Ohio General Obligation Bond	A	Interest			Redemption	12/3	K	A	
54. Thornburg Invstmnt Inc. Bldr Cl A	B	Int./Div.	L	T					
55. Swency Cartwright Stock Cash Account	B	Interest	L	T					
56. Wiggins & Rose Stables L.L.P.	D	Distribution	J	W					
57. Rental Property #1, Xenia, OH Appraisal Date 2002		None	L	Q					
58. KSJ Stables LLP	E	Distribution	K	W					

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

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.



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)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544