AO 10
Rev. 1/2022

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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	04/25/2022
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 (senior status)	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Partner	Rose and Buerger Farms LLP
2.		
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements)*

☐ 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.		

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Rose, Thomas M.	04/25/2022

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

A. Filer's Non-Investment Income

☐ NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.	2021	Ohio Public Employee Retirement System (Retirement)	$97,180.00
2.	2021	Northwestern IRA Distribution (RMD)	$18,484.88
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
1.	2021	Ohio Public Employee Retirement System (Retirement) Co., OH/State of Ohio- Greene County Clerk of Courts/Salary
2.		
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ NONE *(No reportable reimbursements.)*

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

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Rose, Thomas M.	04/25/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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

	A	B		C		D				
	Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		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)	
1.	Energy Select SPDR ETF	A	Dividend	J	T					
2.	Chillicothe Ohio School Bonds (169196JZ6)	A	Dividend	J	T					
3.	Akron OH G.O. Bond 12/1/30 (010033P51)	A	Dividend	J	T					
4.	American Muni Power (02765UKH6) Rev Bond	A	Dividend	K	T					
5.	Cincinnati, OH Economic Dev Bonds (172254HX5)	A	Dividend	J	T					
6.	Cincinnati, OH Urban Redev Bonds (172309BA3)	A	Dividend	K	T					
7.	Coventry Ohio Local School District Bonds (222867DD2)	A	Dividend			Redeemed	11/01/21	J	A	
8.	Johnson-Monroe Local School Dist (479545CQ6)	A	Dividend			Redeemed	12/01/21	J	A	
9.	Ohio University General Receipts Bonds (671104A40)	A	Dividend	J	T					
10.	Warrenville Heights Bonds (936113AU3)	A	Dividend	K	T					
11.	Key Bank	A	Dividend	J	T					
12.	Columbus, OH G.O. Bonds (199492WY1)	A	Dividend	K	T					
13.	Carnival Cruise Lines	A	Dividend	J	T					
14.	Ford Motor	A	Dividend	J	T					
15.	Boeing Co. Common Stock	A	Dividend	K	T					
16.	Thornburg Value Fund Class A Re/Re/Re 50586	A	Dividend	L	T					
17.	Thornburg Invest. Income Class A 50590	B	Dividend	L	T					

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

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A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		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)	
18. Johnson and Johnson	A	Dividend	K	T					
19. Caterpillar	A	Dividend	K	T	Sold (part)	06/08/21	J	A	
20. Facebook Common Stock NKA Meta Platforms	A	Dividend	K	T					
21. Cisco	A	Dividend	K	T					
22. Vanguard ETF	A	Dividend	J	T					
23. SPDR ETF Portfolio	A	Dividend	J	T					
24. Corteva	A	Dividend	J	T					
25. Timkin	A	Dividend	K	T					
26. Akamai	A	Dividend	K	T					
27. Dow Dupont, Inc. FKA Dow Chemical	A	Dividend	K	T					
28. Campbell Soup	A	Dividend	J	T					
29. Target Corp	A	Dividend	J	T					
30. TJX	A	Dividend	J	T					
31. Astrazeneca	A	Dividend	J	T					
32. Moderna	A	Dividend	J	T					
33. Honeywell Inter	A	Dividend	K	T					
34. Fidelity Advisor New Insights Fund Class FINSX 316071604	A	Dividend	K	T					

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
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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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)	B (2) Type (e g , div , rent, or int)	C Gross value at end of reporting period (1) Value Code 2 (J-P)	C (2) Value Method Code 3 (Q-W)	D Transactions during reporting period (1) Type (e g , buy, sell, redemption)	D (2) Date mm/dd/yy	D (3) Value Code 2 (J-P)	D (4) Gain Code 1 (A-H)	
35. New World Fund Class F-2 NFFFX 649280823	A	Dividend	J	T	Sold (part)	09/07/21	J	A	
36.					Sold (part)	10/26/21	J	A	
37. Deutsche (DWS) Ehance Commodity Strategy Fund Inst. SKIRX 25159L836	A	Dividend	J	T	Sold (part)	10/26/21	J	A	
38. The Oakmark International Fund OAKIX 413838202	A	Dividend	K	T	Sold (part)	01/19/21	J	A	
39.					Sold (part)	09/18/21	J	A	
40.					Sold (part)	10/26/21	J	A	
41. MFS Value Fund Class MEIIX 552983694	A	Dividend	K	T					
42. Marion Cty 569120AV0	A	Dividend	K	T					
43. Northern Small Cap Value Fund NOSGX 665162400	A	Dividend	K	T	Sold (part)	10/26/21	J	A	
44. Pimco Income Fund Class PONPX 72201M719	B	Dividend	J	T					
45. Europacific Growth Fund (Am Imos) AEPFX 29875E100	A	Dividend	K	T	Sold (part)	09/07/21	J	A	
46. Principal Real Estate Securities 74253Q580	A	Dividend	K	T	Sold (part)	10/26/21	J	A	
47. Principal Global Mult. Strategy Fund 74255L696	A	Dividend			Sold	11/19/21	J	A	
48. Am. Century Short Duration Fund 0249327774	A	Dividend	J	T					
49. Baron Asset Fund Inst. Class 068278605	A	Dividend	K	T	Sold (part)	10/26/21	J	A	
50. Goldman Sachs Absolute Fund 38145N220	A	Dividend	J	T					
51. Goldman Sachs Int Sm Cap Investor Gicix	A	Dividend	J	T	Sold (part)	10/26/21	J	A	

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52. TIAA - CREF Bond Advisor TIBHX 87245P718	A	Dividend	K	T					
53. Dodge & Cox Income Fund DODIX 256210105	A	Dividend	K	T					
54. Hartford World Bond Fund HWDIX 41664M235	A	Dividend	J	T					
55. John Hancock Discp Fund JVMIX 47803W406	A	Dividend	K	T	Sold (part)	10/26/21	J	A	
56. Mahoning Co. Swr System 560072CE8	A	Dividend	K	T					
57. County of Hamilton GO Bond (40727TCT9)	A	Dividend	K	T					
58. Franklin, Ohio Cty School Bond (354172HUS)	A	Dividend	K	T					
59. Ohio State Hosp Fac Rev Bond (67756IKP6)	A	Dividend	K	T					
60. Chillicothe Hosp Fac Bond (169203AJ5)	A	Dividend	J	T					
61. Lancaster, Ohio City School Bonds (514264DP2)	A	Dividend	K	T					
62. Hamilton Co. Hsp Bond 40727ZS53	A	Dividend	K	T					
63. Lorain Oh G.O. Bond 5436893U5	A	Dividend	K	T					
64. Upper Arlington Sch 915506MS5	A	Dividend	K	T					
65. Burkshire Hathaway BRKB	A	Dividend	M	T					
66. Little Miami Ohio Loc Sch Bonds (537292MN1)	A	Dividend	K	T					
67. Carlyle Group LP (CG)	A	Dividend	J	T					
68. Ohio St Higher Education Fac Com 67756DHG4	A	Dividend	J	T					

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69.	Boenning and Scattergood Cash fka Sweeney Cartwright Cash	C	Interest	L	T					
70.	Rose and Buerger Farms LLP	A	Distribution	K	W					
71.	Goldman Sachs Large Caps 381430503	A	Dividend	K	T					
72.	Ishare Gold Tr Ishares 464285105	A	Dividend	J	T					
73.	Ishare Tr MSCI USA Value Factor ETF 46432F388	A	Dividend	J	T	Buy (add'l)	01/19/21	J		
74.						Sold (part)	10/26/21	J	A	
75.	Western Asset Core Bond Fund Class 1 - 957663305	A	Dividend	J	T					
76.	Oxford Lane Capital Corp Preferred 691543300	A	Dividend			Redeemed	04/15/21	J	A	
77.	Keycorp Perf Ser E Bond 493267-70-2	A	Dividend	J	T					
78.	PNC Financial Var PFD	A	Dividend	J	T					
79.	NM FDIC Insured Deport Program	A	Dividend	J	T					
80.	200 Greif Inc. CLA GEF -@37.11 (**-see Section VIII for explanation	A	Dividend	J	T					
81.	Advance Micro Device	A	Dividend	J	T	Buy	06/08/21	J		
82.	Salesforce	A	Dividend	K	T	Buy	06/08/21	K		
83.	Verizon	A	Dividend	K	T	Buy	10/11/21	K		
84.	Walt Disney	A	Dividend	J	T	Buy	05/14/21	J		
85.	Blackrock Sys Inst. Fund	A	Dividend	J	T	Buy	01/19/21	J		

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86. General Electric (**see explanation in Section VIII)	A	Dividend	J	T	Buy	02/13/20	J		
87.					Buy	11/12/20	J		

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

** VII -

Line No. 86 General Electric A Dividend J T Buy 02/13/20 J
Buy 11/12/20 J

These purchases were inadvertently left off of the 2020 disclosure report

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IX. CERTIFICATION.

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

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

Signature: s/ Thomas M. Rose

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite G-330
One Columbus Circle, N.E.
Washington, D.C. 20544