AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

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	04/30/2024
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	01/01/2023 **to** 12/31/2023
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.		

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.	2023	Ohio Public Employee Retirement System (Retirement)	$100,930.32
2.	2023	Northwestern IRA Distribution (RMD)	$16,221.35
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.	2023	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.	04/30/2024

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)	
1.	Energy Select SPDR ETF	A	Dividend	J	T					
2.	Chillicothe Ohio School Bonds	A	Dividend	J	T					
3.	Akron OH G.O. Bond	A	Dividend	J	T					
4.	American Muni Power	A	Dividend	K	T					
5.	Cincinnati, OH Economic Dev Bonds (172254HX5)	A	Dividend	J	T					
6.	Cincinnati, OH Urban Redev Bonds (172309BA3)	A	Dividend	J	T					
7.	Warrenville Heights Bonds	A	Dividend	K	T					
8.	Key Bank	A	Dividend	J	T					
9.	Columbus, OH G.O. Bonds	A	Dividend	K	T					
10.	Carnival Cruise Lines	A	Dividend	J	T					
11.	Ford Motor	A	Dividend	J	T					
12.	Boeing Co. Common Stock	A	Dividend	L	T					
13.	Thornburg Value Fund Class A Re/Re/Re 50586	A	Dividend	L	T					
14.	Thornburg Invest. Income Class A 50590	C	Dividend	L	T					
15.	Johnson and Johnson	A	Dividend	K	T					
16.	Caterpillar	B	Dividend	K	T					
17.	Facebook Common Stock NKA Meta Platforms	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
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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Rose, Thomas M.	04/30/2024

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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)	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)	
18. Cisco	B	Dividend	K	T					
19. Vanguard ETF	A	Dividend	K	T					
20. SPDR ETF Portfolio	A	Dividend	J	T					
21. Corteva	A	Dividend	J	T					
22. Timkin	A	Dividend	K	T					
23. Akamai	A	Dividend	K	T					
24. Dow Dupont, Inc. FKA Dow Chemical	A	Dividend	K	T					
25. Campbell Soup	A	Dividend	J	T					
26. Target Corp	A	Dividend	J	T					
27. TJX	A	Dividend	K	T					
28. Astrazeneca	A	Dividend	J	T					
29. Moderna	A	Dividend	J	T					
30. Honeywell Inter	A	Dividend	K	T					
31. Fidelity Advisor New Insights Fund Class FINSX	A	Dividend	K	T	Sold (part)	12/08/23	J		
32. New World Fund Class F-2 NFFFX	A	Dividend	J	T	Sold (part)	09/26/23	J		
33. Deutsche (DWS) Ehance Commodity Strategy Fund Inst.	A	Dividend	J	T					
34. The Oakmark International Fund OAKIX	A	Dividend	K	T	Sold (part)	12/06/23	J		

1. Income Gain Codes: (See Columns B1 and D4)
A =$1,000 or less
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D =$5,001 - $15,000
E =$15,001 - $50,000
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G =$100,001 - $1,000,000
H1 =$1,000,001 - $5,000,000
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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
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3. Value Method Codes (See Column C2)
Q =Appraisal
R =Cost (Real Estate Only)
S =Assessment
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☐ NONE *(No reportable income, assets, or transactions.)*

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35. MFS Value Fund Class MEIIX	A	Dividend	K	T					
36. Marion Cty	A	Dividend	K	T					
37. Northern Small Cap Value Fund	A	Dividend	J	T					
38. Pimco Income Fund Class	A	Dividend	J	T					
39. AmEuropacific Growth Fund (Am Imos)	A	Dividend	K	T					
40. Principal Real Estate Securities	A	Dividend	K	T					
41. Baron Asset Fund Inst. Class	A	Dividend	K	T					
42. Goldman Sachs Absolute Fund	A	Dividend			Sold	02/07/23	J		
43. Goldman Sachs Int Sm Cap Investor Gicix	A	Dividend	J	T					
44. TIAA - CREF Bond Advisor	A	Dividend	K	T	Sold (part)	02/07/23	J		
45. Dodge & Cox Income Fund	B	Dividend	K	T					
46. John Hancock Discp Fund	A	Dividend	J	T	Sold (part)	11/06/23	J		
47. Mahoning Co. Swr System	A	Dividend	K	T					
48. County of Hamilton GO Bond -See VIII for additional info	A	Dividend	K	T					
49. Franklin, Ohio Cty School Bond	A	Dividend	K	T					
50. Ohio State Hosp Fac Rev Bond	A	Dividend	K	T					
51. Chillicothe Hosp Fac Bond	A	Dividend	J	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
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52. Lancaster, Ohio City School Bonds	A	Dividend	J	T					
53. Hamilton Co. Hsp Bond	A	Dividend	K	T					
54. Lorain Oh G.O. Bond	A	Dividend	K	T					
55. Upper Arlington Sch	A	Dividend	K	T					
56. Burkshire Hathaway BRKB	A	Dividend	M	T					
57. Little Miami Ohio Loc Sch Bonds	A	Dividend	K	T					
58. Carlyle Group LP (CG)	A	Dividend	J	T					
59. Ohio St Higher Education Fac Com	A	Dividend	J	T					
60. Thurston Springer fka Boenning and Scattergood	C	Interest	L	T					
61. Rose and Buerger Farms LLP	A	Distribution	K	W					
62. Goldman Sachs Large Caps	A	Dividend	K	T	Sold (part)	02/08/23	J		
63. Ishare Gold Trust	A	Dividend			Sold	09/27/23	J		
64. Ishare Tr MSCI USA Value Factor ETF	A	Dividend	J	T	Sold (part)	02/08/23	K		
65. Western Asset Core Bond Fund Class 1	A	Dividend	K	T					
66. Keycorp Perf Ser E Bond	A	Dividend	J	T					
67. NM FDIC Insured Deport Program	A	Dividend	J	T					
68. 200 Greif Inc. CLA GEF	A	Dividend	J	T					

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69. Advance Micro Device	A	Dividend	J	T					
70. Salesforce	A	Dividend	K	T					
71. Verizon	A	Dividend	J	T					
72. Walt Disney	A	Dividend	J	T					
73. Blackrock Sys Inst. Fund	A	Dividend	K	T					
74. General Electric	A	Dividend	J	T					
75. Amazon	A	Dividend	J	T					
76. Blackrock Income Fund	A	Dividend	J	T					
77. Montgomery Co. Hosp. Rev. Facs Bond	A	Dividend	J	T					
78. Westbanco Inc	B	Dividend	K	T					
79. Hamilton Co Conv Fac Bond	B	Dividend	K	T					
80. GE Healthcare Tech Inc.	A	Dividend	J	T	Spinoff (from line 74)	01/04/23	J		
81. Cuyahoga Falls Sch Bond	A	Dividend	K	T	Buy	04/18/23	K		
82. State of Ohio Hosp Rev Bond University Hospital	A	Dividend	J	T	Buy	11/02/23	J		
83. American Electric Power	A	Dividend	J	T	Buy	11/02/23	J		
84. AGR Diversified Fund	A	Dividend	J	T	Buy	02/06/23	J		
85. John Hancock Diversified	A	Dividend	J	T	Buy	02/06/23	J		

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86. Ishares ESG ETF	A	Dividend	J	T	Buy	09/27/23	J		
87. Fidelity Advisor Focus Emerging Market Fund	A	Dividend	J	T	Buy	09/24/23	J		
88.									
89.									
90.									

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

Line 48 - County of Hamilton GO Bond is a duplicate entry with Line 79 and should be deleted.

Name of Person Reporting	Date of Report
Rose, Thomas M.	04/30/2024

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. § 13141 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. § 13106)

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